Terminal Evaluation of the UNEP/GEF Project "Strengthening Law Enforcement Capabilities to Combat Wildlife Crime for Conservation and Sustainable Use of Species in South Africa: (Target – Rhinoceros)" GEF ID 4937

Evaluation Office of UNEP

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Strengthening Law Enforcement Capabilities to Combat Wildlife Crime for Conservation and Sustainable Use of Species in South Africa: (Target – Rhinoceros)
GEF ID: 4937
August 2019

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ABOUT THE EVALUATOR

Dave Balfour has 25 years' experience in the planning and management of protected areas, protected area systems and institutions, biodiversity research and monitoring, biodiversity policy development and protected area expansion. A key focus of his work has been the conservation and management of large mammals, including both the black and white rhinoceros, and he has co-authored over 30 peer reviewed technical management guidelines and scientific papers, including on Theory of Change[1]. He has also carried out strategic, programmatic and technical reviews, including for several phases of the World Wildlife Fund-South Africa Rhino programme.

Dave has worked in three protected area management agencies and over forty protected areas in six African countries. He was a park ecologist in Hluhluwe-iMfolozi Park in South Africa for nine years where he worked at the coalface of rhino ecology and conservation management. Following this, he held an executive position in the Eastern Cape Parks and Tourism Agency for five years, and since June 2014, has consulted on a range of conservation ecology and protected area projects. He has been contracted by government as well as the NGOs and private sector. Most recently has been a core member of the team implementing the GEF/UNDP project *Rhino Impact Bonds: An Innovative Financing Mechanism for Site-Based Rhinoceros Conservation* with project sites in South Africa, Zimbabwe and Kenya and for which the Zoological Society of London is the Implementing Agency. Balfour chairs the Southern Africa Development Community Rhino Management Group and is a member of the IUCN/SSC African Rhino Specialist Group.

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[1] Balfour, D, Barichievy C, Gordon C, & Brett R. A Theory of Change to grow number of African rhino at a conservation site. Conservation Science and Practice. 2019; e40. https://doi.org/10.1111/csp2.40

ABOUT THE EVALUATION

Joint evaluation No

Report language English

Evaluation type Terminal Project Evaluation

Brief description: This report is a terminal evaluation of a UNEP-GEF funded project implemented between 2014 and 2019. The project's overall objective was to improve the effectiveness of efforts to combat crime against rhinos in South Africa's Protected Area system using forensic-based technologies, data gathering and analysis and data management systems at the national level, as well as through improved cooperation structures and mechanisms at international level, supporting law enforcement efforts along the entire trafficking chain. The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and to determine outcomes and impacts (actual and potential), including their sustainability.

Key words: Law enforcement; wildlife crime; rhinoceros; South Africa; forensic; information management; international cooperation.

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Acronyms and Abbreviations

AfRSG	African Rhino Specialist Group of the IUCN/SSC
CEO	Chief Executive Officer
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
COP	Conference of the Parties
CSIR	Council for Scientific and Industrial Research
CSO	Civil Society Organization
DEA	Department of Environmental Affairs
DNA	Deoxyribonucleic acid
EFSL	Environmental Forensic Science Laboratory
EKZNW	Ezemvelo KZN Wildlife
EMI	Environmental Management Inspectorate
EWT	Endangered Wildlife Trust
FSL	Forensic Science Laboratory of South African Police Service
GEF	Global Environment Facility
HiP	Hluhluwe-iMfolozi Park
ICCWC	International Consortium on Combating Wildlife Crime
INTERPOL	International Criminal Police Organisation
IUCN	International Union for Conservation of Nature
IUCN/SSC	IUCN Species Survival Commission
KNP	Kruger National Park
KZN	KwaZulu-Natal
LACE	Legal Authorizations, Compliance and Enforcement Branch
M&E	Monitoring and Evaluation
METT	Management Effectiveness Tracking Tool
MoU	Memorandum of Understanding
MTS	Medium Term Strategy
NBSAP	National Biodiversity Strategies and Action Plans
NGO	Non-Governmental Organization
NWCRU	National Wildlife Crime Reaction Unit
PIF	Project Identification Form
PIR	Project Implementation Review report
PM	Project Manager
PPG	Project Preparation Grant
PROA	Private Rhino Owners Association
PSC	Project Steering Committee
RCIS	Rhino Crime Information System
RhODIS®	Rhino DNA Indexing System
SADC	Southern African Development Community
SANParks	South Africa National Parks
SAPS	South Africa Police Service

SOP	Standard Operating Procedures
SSC	South-South Cooperation Mechanism
ToC	Theory of Change
TRAFFIC	The Wildlife Trade Monitoring Network
UN Environment	United Nations Environment Program
UNODC	United Nations Office on Drugs and Crime
VGL	Veterinary Genetics Laboratory
WCAFT	Wildlife Crime Analysis and Forecasting Tool
WWF-SA	World Wide Fund for Nature – South Africa

Project Identification Table[2]

Project summary			
Implementing Agency	UN Environment Programme		
Executing Agency	South African Department of Environmental Affairs		
Sub-programme	Ecosystem Management	Expected accomplishments	(a) increasingly integrate an ecosystem management approach into development and planning processes; (b) have capacity to utilize ecosystem management tools; and (c) begin to realign their environmental programmes and financing to address degradation of selected priority ecosystem services.
	Environmental Governance	Expected accomplishments	(a) that States increasingly implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions; and b) that national and international stakeholders have access to sound science and po(licy advice for decision-making
UNEP approval date	8 May 2014	PoW outputs	(i)National-level capacity for assessing biodiversity critical to ecosystem functioning and resilience is developed (ii)Tools and methodologies for valuing ecosystem services are developed, pilot tested and incorporated into national systems for accounting, planning and management (ii) Mechanisms to enhance inter-sectoral coordination and multi-stakeholders participation in integrating ecosystem

[2] Information extracted from the ToR for the Terminal Evaluation and updated where additional information was provided.

			considerations into national development processes are institutionalized
GEF project ID	4937	Project type	Full Size Project
GEF OP#	Ecosystems	Focal areas	Biodiversity
GEF approval date	5 December 2013	GEF strategic priority/objective	Improve sustainability of Protected Area (PA) systems
Expected start date	19th May 2014	Actual start date	26 May 2014
Planned completion date	31 May 2018	Actual completion date	31 Dec 2019 (operational completion)
Planned project budget at approval (GEF Grant)	$2,690,455	GEF grant expenditure (end April 2019 (including unspent but project committed funds[3])	$2,271,934
Actual GEF allocation	$2,690,455	GEF grant unspent but committed[4]	$157,582
PPG GEF cost	$36,818	PPG co-financing	$160,000
Expected co-financing	$23,795,000	Secured co-financing	$96,743,337.68
First disbursement	July 2014 ($250,000)	Date of financial closure	31 December 2019
No. of revisions	0	Date of last revision	N/A
Number of S/C meetings	6	Date of last Steering committee meeting	20 April 2018
Mid-term review - planned date	Not undertaken	Mid-term review – actual date	Not undertaken
Terminal evaluation date (expected)	July 2018	Terminal evaluation date (actual)	Sept 2018
Coverage - Country(ies):	South Africa	Coverage - Region(s):	South Africa
Dates of previous project phases:	n/a	Status of future project phases:	A PIF for a GEF 7 project implemented by UNEP Ecosystems Division and executed by Department of Environmental Affairs South Africa (DEA) has been approved and its PPG process is ongoing: *South Africa Biodiversity Economy and Illegal Wildlife Trade Project ID NO. 10200* . The value of GEF financing is

[3] The committed funds total $157,582 and are allocated to i) a final audit, ii) development of a DEA Ops Room.
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			$5,000,000 with $37,872,260 co-financing A GEF 6 project titled "Strengthening institutions, information management and monitoring to reduce the rate of illegal wildlife trade in South Africa" worth USD 5,000,000 was approved and the process of signing the PCA is underway. GEF ID: 9525.

Executive Summary

1. This report presents the terminal evaluation of the project "Strengthening Law Enforcement Capabilities to Combat Wildlife Crime for Conservation and Sustainable Use of Species in South Africa: (Target – Rhinoceros)" which was implemented from June 2014 to December 2019. It was executed by the Department of Environmental Affairs (DEA) in South Africa based on a US$2,690,455 grant allocation from the Global Environment Facility (GEF) and a commitment of US$96,743,338 in co-financing (combination of cash and in-kind contributions) from a range of stakeholders. The project spent or committed 100% of the $2,690,455 GEF grant. Due to insufficient information to breakdown co financing further, it remains unclear what percentage of the co-financing was directly supporting project activities and the intended results and what was more "aligned" with the project's overall objective and allocated to more broadly combat rhino poaching and the associated illegal trade in rhino horn. Nevertheless, the large figures illustrate the commitment of the South African Government and NGOs to engage a problem which has been identified as a global priority and which is a GEF focus.

2. The high-level project objective was to improve the effectiveness of efforts to combat wildlife crime in South Africa's protected area system with a focus on rhino, which are currently under enormous threat due to poaching and illegal trade in their horns. The project sought to improve effectiveness through improved forensic technologies and capacity, strengthened data gathering, data analysis and data sharing systems at the national level, and enhanced cooperation structures and mechanisms at the international level to support law enforcement efforts along the whole trafficking chain. The project's overall performance is rated as *'Satisfactory'*.

3. Project strengths included strategic relevance, efficiency and output achievement. With respect to *strategic relevance*, the project is strongly aligned to the GEF, UN Environment and national priorities. The GEF grant specifically contributed to three of the Executing Agent's, priorities. *Efficiency* rated highly as the project was executed on time, within budget and demonstrated adaptive management as necessary by replacing the Wildlife Crime Analysis Forecasting Tool (WCAFT) with the Rhino Crime Information System (RCIS) when the assumption that the South African Police Service (SAPS) would share relevant information with third parties in support of the fight against rhino crime did not hold. The choice of the Department of Environmental Affairs in South Africa as the executing agency was appropriate and served the project well. The Deputy Director General of the Legal, Authorisations, Compliance and Enforcement Branch and the Chief Director: Enforcement in this department clearly were supportive of the project and played an important role, not only in shaping the original project concept but also in guiding their staff towards achieving project results. The project manager and assistant played strong roles in executing on time and within budget. With respect to *outputs*, all were rated as *'Satisfactory'* being of high quality and owned by the stakeholders/ users. (See section D for examples of performance at both output and outcome level).

4. The project was also rated positively on achievement of direct outcomes and sustainability. The direct outcomes have been mostly achieved, and overall sustainability was rated *'Moderately Likely'*. At the individual level, the project built

forensic capacity and understanding across diverse stakeholders from rangers to magistrates. At the institutional level, the Veterinary Genetics Laboratory (VGL) at the University of Pretoria are better able to process and analyse the intended levels of forensic evidence in both poaching and rhino horn trafficking cases. As well, chemical fingerprinting[5] techniques, conforming to internationally compatible standards, are being used in national and international cases of rhino crime to support investigations and prosecutions through the VGL. Storage and sharing of DNA and forensic data on the Rhino DNA Index System (RhODIS®) database and associated systems and sharing relevant information with national and international enforcement agencies increased levels of forensic samples and DNA information being available and used to prosecute perpetrators of rhino crimes. It remains too early to understand the rate of convictions. In its recent amendment, the UN Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) proposes broader use of this data amongst the rhino range states. Although it is not possible to tightly attribute it to increased capacity and data sharing, it is worth noting that in the final years of the project, outside of South Africa, there were 23 cases of individuals being prosecuted for rhino crimes across 11 countries (in Europe, Africa and Asia).

5. Achieving the desired impact is, at least in part, dependent on the ongoing capacity and support of donors, civil society partners and the private sector to provide supplementary financing to fill critical public funding gaps. There are ongoing financial commitments focusing on wildlife crime in South Africa, evidenced by the large volume of co-financing this project has received from the South African Government and civil society as well as the follow on GEF 7 project[6], aimed at sustaining and growing the project outcomes and impacts.

6. While the project has many strengths, there were areas where the project did not perform well e.g. Monitoring and Reporting and Financial Management, both rated as *'Moderately Unsatisfactory'.* In both instances reasonable efforts were made to achieve a satisfactory outcome but, in the absence of appropriate and necessary guidance and feedback from the Implementing Agency, the Project Implementation Reports were poorly focussed with little structure in the writing[7]. Monitoring and reporting was affected by the absence of a proper inception process and little feedback from the Task Manager during the project[8]. The evaluation notes that organising a start-up[9] workshop is the responsibility of the Executing Agent, however the Implementing Agency is expected to 'advise on, and participate in, the project start-up workshop', GEF, 2017, p.g. 41. Weak project supervision by the Implementing Agency

[5] During the commenting process on this evaluation report it was suggested that 'chemical fingerprinting' is not related to DNA. However, as several respondents made reference to it during interviews, it has been left to stand.

[6] South Africa Biodiversity Economy and Illegal Wildlife Trade. Project ID NO. 10200 Strengthening South Africa's capacity to implement the National Integrated Strategy to Combat Wildlife Trafficking (NISCWT)". The value of GEF financing is $4,437,156 with $37,872,260 co-financing.

[7] While descriptions of the project's activities etc is provided, the focus of the text does not always appear appropriate to the headings, e.g. Executive Summary, PIR 2018.

[8] UNEP Task Managers made two visits during the life of the project up to the date of the data collection for this evaluation (i.e. during May 2014 and December 2018), specifically in 2017 and 2018. The GEF Guidelines on Project and Programme Cycle Policy, 2017, pg 41, refers to one supervisory mission per year.

[9] This evaluation notes that the GEF Guidelines appear to use the terms 'start-up' and 'inception' workshops interchangeably.

was in part a result of high turnover and weak handovers (i.e. no[10] written material relating to handovers was provided to the evaluation during data collection) between Task Managers [four in total] and Financial Management Officers [three in total] over project life. Better guidance, particularly in the early stages of the project, and regular feedback (e.g. email correspondence indicates that comments on mid-year and annual reports would be forthcoming, but this feedback was never received; email correspondence shows the Executing Agency sought confirmation of who was the Task Manager during Oct - Dec 2016) is likely to have improved the rating of monitoring and reporting considerably.

7. Weaknesses in financial reporting were largely driven by the communication lapses between representatives of the Implementing Agent and the Executing Agency. These communication challenges also affected the exchange of financial information.

8. Notwithstanding challenges, the project still succeeded in strengthening South African law enforcement capability at the individual and institutional levels and helped enhance the use of forensic evidence in criminal trials, evidenced by the increasing number of investigations and prosecutions using credible forensic data across South Africa. (See VI. Conclusions and Recommendations, Ratings Table).

9. Overall evidence suggests that the answer to the strategic question, *What progress towards strengthening law enforcement capabilities to combat wildlife crime and sustainable use of species in South Africa would there have been without the project over the last 4-5 years?* is positive as the project strengthened capacity in forensic methods at the individual and institutional levels and encouraged data sharing across South African law enforcement agencies, as well as internationally, to investigate and prosecute wildlife crimes.

10. This evaluation proposes a number of recommendations for consideration by UN Environment (seeC. Recommendations): that mechanisms are put in place, especially for the follow-on project, to verify the existence of the following; a project supervision plan, an inception workshop report, protocols[11] for formalising project design changes, protocols for gathering baseline data and a mid-term assessment, as these are examples of best practise in project management and are in line with the GEF M&E guidelines[12] . A useful additional lesson is that when an appropriate Executing Agency is selected, in this case the DEA, then the project is well served. For example, the central role that DEA have in South Africa regulating and enabling biodiversity conservation (which includes rhinoceros), placed them in the ideal position to make the relevant connections and to coordinate the multiparty engagements

[10] One handover report was provided to the evaluator during the final review of this report by a UNEP Nairobi headquarter's staff member, but not from the Task Manager or project team. This handover report contains two summary paragraphs on the project.
[11] The GEF Guidelines on the Project and Program Cycle Policy, 2017, from pg 60 provides the protocols for changes in project design for Full Sized Projects.
[12] The GEF Guidelines on the Project and Program Cycle Policy, 2017, pg15 provides examples of elements of an M&E plan that include: Inception Report; Supervision Missions; Learning Missions/Site visits; Mid-Term Review; Monitoring and Evaluation Indicators (which implies baseline data), GEF Tracking Tool etc.

required of the project. This illustrates the value of careful partner selection in project design.

11. The UNEP Evaluation Office notes that the end date of this project was extended by approx. 6 months during the terminal evaluation process (i.e from May to December 2019). The evaluation notes that the extension was requested by the Government of South Africa to allow them to pay the suppliers for equipment and was not for the implementation of technical activities. However, this means that the evaluation was initiated outside the 6-month period (prior to operational completion) allowed by the GEF Guidelines for Terminal Evaluation[13]. Early terminal evaluations have difficulty meeting the results-focussed needs of both UN Environment and the GEF.

[13] The GEF Guidelines stipulate that Terminal Evaluations should only be initiated within six months of the operational completion of a project. (Guidelines on the Project and Program Policy Cycle, GEF, 2017, pg 78)

I. Introduction

12. This document presents the Terminal Evaluation of the UN Environment-GEF Project "*Strengthening Law Enforcement Capabilities to Combat Wildlife Crime for Conservation and Sustainable Use of Species in South Africa: (Target – Rhinoceros)*". The intention of the evaluation is to contribute to institutional learning and to meet UN Environment's accountability to its funding partners.

13. The target audience for this evaluation include the implementing and executing agencies (UN Environment, DEA) and the GEF, as well as other project partners and stakeholders e.g. SANParks, Ezemvelo KZN Wildlife (EKZNW), the VGL and the SAPS and particularly their Forensic Science Laboratory.

14. The GEF-UNEP Rhino Programme[14], the project, contributed to UN Environment's expected accomplishments under improved management effectiveness of existing and new protected areas. Subsumed under this, the project contributes to Programme of Work Outputs: (i) National-level capacity for assessing biodiversity critical to ecosystem functioning and resilience is developed; (ii) Tools and methodologies for valuing ecosystem services are developed, pilot tested and incorporated into national systems for accounting, planning and management; and (ii) Mechanisms to enhance inter-sectoral coordination and multi-stakeholders participation in integrating ecosystem considerations into national development processes are institutionalized.

15. The project specifically aimed to support, complement and build on the on-going efforts of the Government of South Africa to tackle the drastic increase in the number of incidents of rhino poaching in the country and the continued leakage of certain horn stocks into the international illegal trade, and thereby the negative impact rhino poaching is having on the country's Protected Area (PAs) network and the management authorities' ability to provide effective management of PAs. In order to do this, it focused on three key areas (gaps) – insufficient capacity to deliver and use forensic evidence; suboptimal mechanisms and institutional arrangements for sharing, analysing and managing information among national actors needed to tackle poaching and the illegal trade; and weak international collaboration and exchange arrangements to deal with the illegal trade in rhino horn at the international level.

16. Approved in December 2013, the project was implemented from June 2014 to December 2019. UN Environment, as Implementing Agency, was assigned the responsibility of providing technical and financial oversight to the DEA, South Africa which was the designated Executing Agency. At that point the project had a total secured budget of US$ 2,690,455, grant allocation from the GEF, with an anticipated cash co-financing of US$ 6,080,000 and in-kind co-financing of US$ 17,715,000, totalling a co-financing commitment of US$ 23,795,000.

17. The project was structured around three components, initially defined as:

Component 1: Use of forensic technology to combat rhino poaching and the illegal rhino horn trade;

[14] UNEP defines a 'programme' as *'a group of synergistic projects contributing to a common outcome(s) and managed in a coordinated way to obtain benefits not available from managing the projects individually'.*

Component 2: Information sharing and analysis for more effective law enforcement among national actors to tackle rhino poaching and the illegal trade in rhino horn; and

Component 3: Cooperation and exchange at the international level to tackle poaching and the illegal trade along the whole trafficking chain.

18. There is a follow-on GEF 7 project proposal, South Africa Biodiversity Economy and Illegal Wildlife Trade, (Project ID NO. 10200), whose PIF has been approved and which will be managed under the same arrangements- UNEP Ecosystems Division is the implementing agent and DEA is the executing agency. The estimated programmed project budget is $4,437,156 (GEF grant) with $37,872,260 (co-financing). Although the recently concluded project, (the subject of this evaluation) did not conduct a mid-term evaluation or review, it is hoped that the terminal evaluation recommendations and lessons learnt will inform the design of the follow-on project.

19. There is also a GEF 6 project titled "Strengthening institutions, information management and monitoring to reduce the rate of illegal wildlife trade in South Africa" worth USD 5,000,000 which was approved and the process of signing the PCA is underway. GEF ID: 9525. The project will be managed under the same management arrangements where UNEP Ecosystems Division is the Implementing Agent and DEA is the Executing Agency.

II. Evaluation Methods

20. Using UN Environment's standard evaluation criteria: strategic relevance, efficiency, effectiveness, sustainability, financial management, quality of project design, nature of external context, and monitoring and reporting, the Terminal Evaluation was conducted over a number of phases. Data were collected by reading project documents as well as through observation and interviews with project participants. Documents provided by the project team via the UN Environment Evaluation Manager and directly by the Executing Agency (Annex A) were read. These included official documents relevant to project development and implementation e.g. the CEO Endorsement Request, Project Implementation Reports, Steering Committee Minutes and Financial Reports, as well as documents produced as outputs of the project, e.g. training manuals and policy developments (national Norms and Standards).

21. This was followed by a desk-based development of a draft Reconstructed Theory of Change (RToC) based on the project Logical Framework[15]. The draft RToC developed clearly articulated Direct Outcomes, Intermediate States and Impacts as per UN Environment guidelines. The draft RToC was subsequently revised, based on comments from both the UN Environment Evaluation Office and the Task Manager and Project Manager, to establish the final RToC on which the assessment of the project's performance was based.

[15] This was necessary as the project was designed prior to the UN Environment adopting a Theory of Change methodology to conceptualize and describe the project structure.

22. A stakeholder analysis process was conducted to assess the level of interest, influence, expertise and the extent to which the project affected stakeholders.

23. The second phase sought to gather additional data and perspectives relating to project implementation by interviewing stakeholders (*c.*37% women). A purposive sampling approach was used, identifying a diverse array of representatives of the partners, staff, experts and support staff relevant to the project. Twenty-seven in-person interviews were conducted overall. The purpose of the interviews was explained to all interviewees, including the explanation that all participation is voluntary. This was particularly important in the context of rhino security in which there are high levels of sensitivity. Responses to interviews were recorded in a notebook. The evaluation benefited from the willingness of the stakeholders, on the whole, to share openly with the evaluator and to provide detailed information.

24. An evaluation matrix was developed to guide the primary data collection and plan how interview questions would relate to the evaluation criteria. The evaluation matrix also covered the questions to answer the strategic question presented in the TORs for the terminal evaluation, *what progress towards strengthening law enforcement capabilities to combat wildlife crime and sustainable use of species in South Africa would there have been without the project over the last 4-5 years?* To ensure the evaluation approach was sensitive to gender, the evaluation matrix also interrogated the impact of interventions on marginalized groups and tried to ensure gender balance in selecting interviewees. The evaluation matrix was then customized into interview guides, designed to be administered via Skype and in-person. The consultant's mission included a trip to the VGL and HiP (Annexure B).

25. The semi-structured interviews included staff from UN Environment (Task Manager and the Fund Management Officer), senior management and the team implementing the project within the Executing Agency, project stakeholders and other experts with knowledge of the project. Interviewees included representatives from DEA, Council for Scientific and Industrial Research (CSIR), SANParks, Ezemvelo KZN Wildlife (EKZNW), SAPS (investigations), SAPS (forensics), National Prosecuting Authority (NPA), NGOs (Peace Parks Foundation [PPF], World Wide Fund for Nature [WWF-SA] and Endangered Wildlife Trust [EWT]) and the Private Rhino Owners Association (PROA). Follow up discussions were held with three individuals. Useful insight and information were obtained when the evaluator attended a series of presentations by key project stakeholders during which they summarised their involvement and contribution to the project.

26. Data was triangulated from various sources to first refine the RToC into a Theory of Change at Evaluation, and then to form the basis of findings especially in areas such as effectiveness and sustainability.

27. An effort was made to ensure that evaluation judgments were based on sound evidence and ratings applied in accordance with the Evaluation Office's "Evaluation Criteria Ratings Matrix". The analysis built on sound evaluation principles including integrity, honesty, confidentiality, systematic inquiry and cultural sensitivity. The project team sought to identify not only what happened in this project but where possible, to explain underlying issues influencing why, exploring various complex dynamics related

to project performance, presenting diverse perspectives about project challenges and successes.

28. It is worth noting that in assessing the level of achievement for the outcomes, an attempt was made to use the indicators and baselines as described in the CEO Endorsement Request. This was not possible however as the indicators and targets in the PIRs differ from those described in the logframe (A.1 Logical Framework Table, pg 24) in the CEO Endorsement[16].

29. The evaluation was limited geographically to South Africa, in accordance with the project proposal's description of the project's implementation area. Although the project included signing of international MoUs it was beyond the scope of the project to influence the manner and extent of the implementation of the MoUs outside of South Africa.

30. For the purposes of full disclosure, once the Terminal Evaluation was launched, the initial evaluator drafted an inception report before having to withdraw due to unavoidable personal circumstances.

31. A draft version of the Terminal Evaluation Report underwent a three-stage review and revision process. First it was submitted to UN Environment Evaluation Office for internal review. The revised draft was shared with the UN Environment Task Manager and Fund Management Officer, and once revised, it was further shared with the DEA and other partners, and subsequently revised based on the feedback that was received. The first draft of the Terminal Evaluation Report was submitted to UN Environment in April 2019.

III. The Project

A. Context

32. Illegal trade in wildlife and wildlife products is a significant criminal activity worth billions of US Dollars annually. In Africa, in general, and South Africa specifically, this illegal trade affects many species including rhinos. African rhinos are poached to acquire their horn which is illegally exported and sold in consumer countries which are generally in the Far East. The annual rate of rhino poaching in South Africa has increased tenfold since 2008 and poses a significant threat to the survival of both species in the country and on the continent. The poaching, which initially targeted easily accessible and less secure protected areas and exterminated a number of rhino populations, had shifted focus to the Kruger National Park (KNP) and HiP at the time of project inception.

33. The source of material for much of the illegal trade in wildlife and wildlife products is protected areas due to their role as refugia; this is true for rhino which are restricted to protected areas in South Africa. At the time of project initiation, there were marginally

[16] The Evaluation Office notes that the official version of the 2017-2018 PIR was made available during the report commenting phase, updating the incorrect draft PIR supplied earlier in the evaluation process.

over 5,000 black rhino *Diceros bicornis* and 20,000 white rhino *Ceratotherium simum* in Africa. Of these, approximately 85% of the white rhino and 35 to 40% of the black rhino were in South Africa[17].

34. Led by CITES, the global conservation community increasingly recognized that effective tackling of poaching and trafficking of wildlife products in any country will require a higher degree of collaboration and coordination by all countries, and that forensic science will play a greater role.

35. With the upsurge in rhino poaching, the South African government implemented a series of actions between 2010 and 2014, and established coordinating structures between the relevant departments and agencies within the state, to combat wildlife crime in general but with a focus on rhino poaching and the illegal trade in rhino horn. These actions included implementing pro-active anti-poaching initiatives, improving investigative and prosecutorial measures, and introducing responsive legislation and policy to address rhino poaching, as well as improving international collaboration around law enforcement. In parallel to these activities, the VGL had pioneered the use of forensics in rhino protection which resulted in the development of the RhODIS®, a database for storing the unique DNA profile of individual rhinos, and which had the potential to become compatible with international standards for forensic evidence. Fundamental to the use of the database were the appropriate scientific and forensic methods for processing and extracting DNA from forensic and other rhino samples.

36. Launched in 2014, this project aimed to improve the effectiveness of efforts to combat wildlife crime in South Africa's protected areas along the whole trafficking chain through improved forensic technology and capacity, strengthened data gathering, sharing and analysis nationally, and enhanced cooperation structures and mechanisms internationally. The focus of the project was to improve the DNA-based forensic capability of South Africa in relation to combatting rhino poaching and illegal trade in rhino horn, together with improving the data sharing and coordination systems of relevant groups to better enable control the recent upsurge in rhino poaching.

37. Specifically the project aimed to complement the baseline investments[18] by the government of South Africa by (a) supporting the deployment of innovative forensic technologies for enforcement in Protected Areas; (b) improving information management by linking relevant databases on rhino conservation and rhino crime; and (c) supporting the use of forensics, information-sharing and analysis at the international level to improve law enforcement efforts.

[17] Richard H Emslie, Tom Milliken, Bibhab Talukdar, Gayle Burgess, Keryn Adcock, David Balfour and Michael H Knight. 2018. (Compilers) *African and Asian Rhinoceroses – Status, Conservation and Trade: A report from the IUCN Species Survival Commission African and Asian Rhino Specialist Groups and TRAFFIC to the CITES Secretariat pursuant to Resolution Conf. 9.14* (Rev. CoP17).
[18] These baseline investments were not quantified at the time of project development and remain unknown.

B. Objectives and components

38. The stated project objective was to *Improve the conservation status of wildlife populations in protected areas in Southern Africa threatened by the illegal wildlife trade, and by extension other species and protected areas suffering a similar fate elsewhere*. Within that, the specific objective was to *Improve the effectiveness of efforts to combat wildlife crime in South Africa's protected area system, focused on rhinoceros*.

39. The three components of the project were: Component 1: *Use of forensic technology to combat rhino poaching and the illegal rhino horn trade*; Component 2: *Information sharing and analysis for more effective law enforcement among national actors to tackle rhino poaching and the illegal trade in rhino horn*; and Component 3: *Cooperation and exchange at the international level to tackle poaching and the illegal trade along the entire trafficking chain*.

40. Component 1 sought to strengthen the capacity, including rapid response times, of the SAPS to better investigate and prosecute poaching and rhino horn related crimes as well as to obtain an increased number of convictions with longer custodial sentences, using reliable forensic information. Achieving this, it is hoped, would result in fewer individuals poaching and thus fewer rhinos being killed.

41. Component 2 sought to strengthen the capacity of the counter poaching agencies (rangers within protected areas, SAPS, DEA) by increasing their ability to pre-empt poaching events through more effective use and sharing of information. The intention is that efficient and effective use is made of available information which is then appropriately analysed and shared among relevant counter-poaching teams in order that they can be more proactive in their approach.

42. Component 3 acknowledged that a key driver of rhino poaching - the demand for horn - lay outside South Africa and that most horn was destined to leave the country, commonly through other African range states, and enter into the illegal markets in consumer countries. There was thus a benefit to be gained by establishing closer and more effective working relationships between South Africa and the law enforcement communities in other African rhino range states and in consumer countries.

43. Each component comprised of multiple outputs (Table 1) which were modified, in discussion with the current Task Manager and DEA during the development of the RToC.

Table 1. Original project components, outcomes and outputs at design.

(*see Tables 3, 4 and 5 for agreed modifications to the results formulations).*

Outcomes at CEOR	**Outputs at CEOR**
Component 1: Use of forensic technology to combat rhino poaching and the illegal rhino horn trade.	

Improved and more effective forensic capacity (techniques, procedures, training, equipment and institutional arrangements) to combat rhino poaching in South Africa's protected areas and the associated illegal trade in rhino horn, with service providers put onto a sustainable financial and institutional footing	1.1: Critical resources (equipment, personnel, etc.) at key public- and private-sector wildlife forensics facilities, notably the Veterinary Genetics Laboratory (VGL) at the University of Pretoria and SAPS Forensics Laboratories, are provided to improve identification and traceability of rhino horns for enforcement purposes
	1.2: New wildlife forensic approaches and techniques to tackle rhino poaching and associated illegal sale of rhino horn developed and piloted for adoption in South Africa's PAs
	1.3: Wildlife crime scene investigation protocols (Standard Operating Procedures) and other relevant procedures reviewed, revised and formalized, and essential wildlife crime scene and forensics equipment provided
	1.4: Targeted training and awareness-raising programs on the relevance and collection of forensic evidence for tackling wildlife crime in South Africa delivered to specific groups dealing with criminal cases involving rhinos
	1.5: Initial steps taken for the establishment of a dedicated joint structure between DEA and SAPS (provisionally an Environmental Forensic Section) to coordinate and analyse all wildlife forensic evidence, initially focused on rhinoceros
Component 2: Information sharing and analysis for more effective law enforcement among national actors to tackle rhino poaching and the illegal trade in rhino horn.	
Improved gathering and analysis of relevant data and enhanced national coordination platforms for information management and threat forecasting to combat rhino poaching and the associated illegal trade in rhino horn within and outside South Africa's Protected Areas system	2.1: Systems for gathering key information on individual rhinos, including their DNA, populations, movements (restricted activities) and provenance and relevant crime and law enforcement data are improved, and available to key vetted, national and provincial wildlife and enforcement agencies (DEA, SANParks, SAPS) through secure, linked databases
	2.2: A Wildlife Crime Analysis and Forecasting Tool (WCAFT) that links the key rhino management and conservation and crime and law enforcement databases, developed to analyse restricted activities related to rhinos, e.g. poaching and illegal trade, and to better forecast and prioritise action against potential future restricted activities, which can then be mapped within Pas
Component 3: Improved cooperation and exchange between South Africa and other relevant countries to tackle poaching of rhinos and the illegal trade in rhino horn along the whole trafficking chain.	
Improved cooperation and exchange between South Africa and other relevant countries to tackle	3.1: Sections of the Action Plans (APs) for the Memoranda of Understanding (MoUs) and other appropriate agreements between South Africa and other relevant countries dealing with rhino poaching and illegal trade in rhino horn implemented
	3.2: Procedures established, 'good practice' captured and disseminated, and capacity built, for the exchange of relevant data

poaching of rhinos and the illegal trade in rhino horn along the whole trafficking chain	and samples of illegally traded wildlife parts and derivatives (with a focus on rhinos) between South Africa and relevant national and international enforcement agencies, such as ICCWC members and other relevant organisations, to assist with forensic investigations
	3.3: RhODIS® upgraded to become the global standard and database for storage of rhino DNA and profiles

C. Stakeholders

44. The primary stakeholders for the project are identified in the modified Johari diagram below (Figure 1). Efforts to combat wildlife crime in Protected Areas in South Africa require a wide range of engagements and activities which fall under the purview of different ministries departments and agencies; these include DEA, SANParks, provincial parks agencies and the SAPS. In this project DEA was the Executing Agency which worked closely with SANParks and EKZNW as well as the VGL and the SAPS which had a high interest and influence in the project.

45. Many of the stakeholders reflected in the top left and bottom right quadrants contributed to the project in terms of co-financing. As is clear from Figure 1, the project had a strong focus on government departments, institutions and agencies (including the specific individuals currently in leadership posts), as well as selected NGOs. This project structure, in and of itself, provided limited scope to engage under-represented or marginalized groups. Despite this, communities surrounding protected areas are important stakeholders and have been identified in Figure 1.

46. Key stakeholders include DEA, the overarching ministry responsible for environmental matters in South Africa and the Executing Agency for this project; SANParks, which reports directly to DEA; EKZNW, the provincial agency responsible for state owned protected areas in KwaZulu-Natal province, and which has concurrent responsibility with DEA for some environmental functions; PROA, which, although regulated through legislation, has no formal state ties. The CSIR is a key stakeholder with respect to information management technology and data analysis, storage and sharing. The SAPS and VGL are key stakeholders with respect to the analysis of DNA and other forensic capabilities. A number of conservation NGOs are involved in co-financing activities and the prosecutorial and judicial systems in the country, which are beneficiaries of improved forensic capacity.

47. The project identifies China, Vietnam, Thailand, Laos and Mozambique as countries with which MoUs should be signed. For this reason, they too are important stakeholders even though the evaluator did not get to interview any of their representatives for this evaluation.

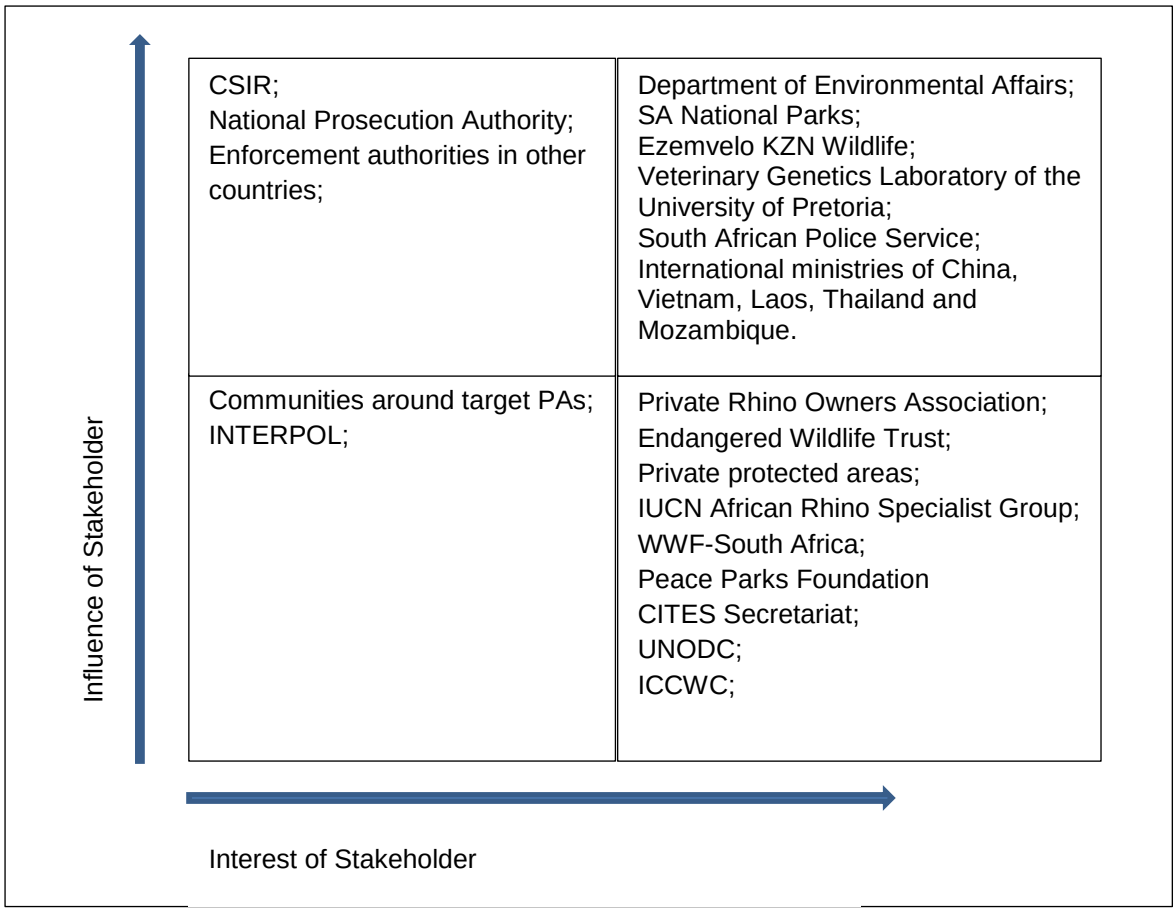

Figure 1. The key stakeholders in the project arranged to reflect their influence and interest in the project.

D Project implementation structure and partners

48. The role of the Ecosystems Division of UN Environment in Nairobi was to provide support and guidance to the project while the role of the Department of Environmental Affairs, South Africa was to execute the project (Figure 2). DEA is the overarching ministry responsible for environmental matters in South Africa and had responsibility for coordination, management, delivery, day-to-day administration and reporting on the project. SANParks reports directly to DEA and is responsible for Kruger National Park (KNP). EKZNW, the provincial agency responsible for state owned protected areas in KwaZulu-Natal province, is responsible for Hluhluwe-iMfolozi Park (HiP) and has concurrent responsibility with DEA for some environmental functions at the provincial level. Private rhino owners, although regulated through legislation, have no formal management or oversight body and self-organise under PROA. The University of Pretoria, SAPS and the NPA are independent national bodies.

49. Over and above its national responsibilities, DEA plays an important role at the regional level as a lead partner in the implementation of the Regional Rhino Conservation Strategy for the SADC Region. In this role, DEA works closely with other rhino range states and has access to extensive international stakeholder groups.

50. The primary forum for project decision making and communication was the PSC which was chaired by DEA (the Project Manager) and guided and informed in the manner reflected in (**Figure 2**).

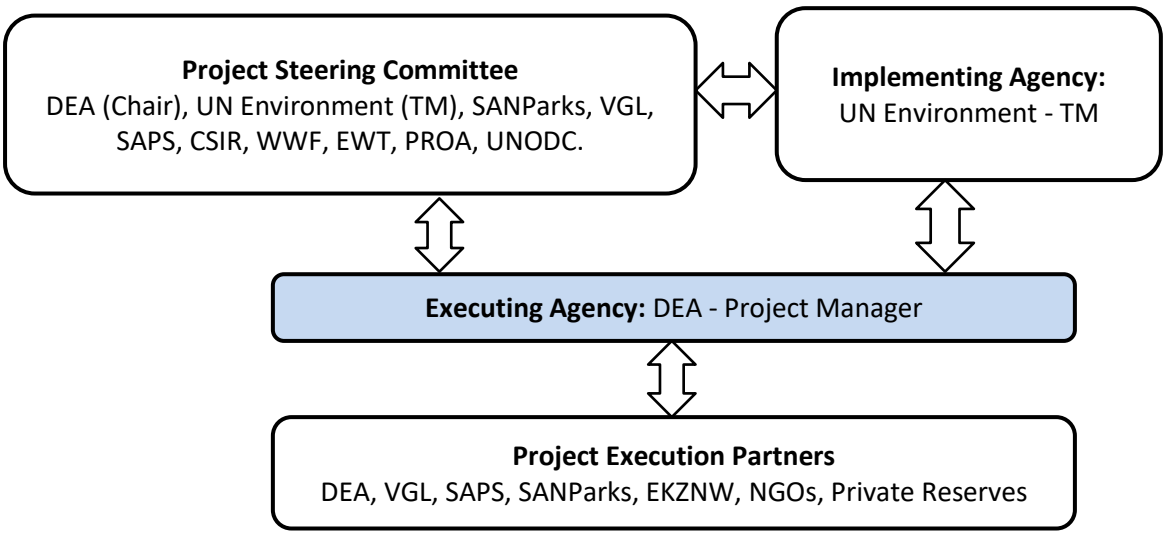

Figure 2. Project implementation structure showing key partners and the central role of DEA.

E. Changes in project design during implementation

51. There was one formal no-cost amendment changing the project technical end date from 30 April 2019 to 31 December 2019 to allow for prior procurement commitments to be paid by the DEA. The majority of technical activities under the components below were implemented by 30 June 2018 during the project manager's tenure. After 30 June 2018 project funds committed during the project period but for which expenditure had been delayed, were spent by the Executing Agency.

52. A change in choice of information system was made and communicated to the Project Steering Committee early during project implementation but was not a formal revision as this did not increase the overall project budget. The decision was taken to develop the RCIS as an alternative to the WCAFT as it was not reliant on the SAPS institutional constraints and was able to be embedded in DEA. The RCIS had closely aligned objectives of using existing tools to analyse data, predict potential crimes and to share the resultant information, the scale of operation was more focussed on protected areas than had been intended for the WCAFT.

F. Project financing

53. This section documents the project budget at design by component, the amount of the Project Preparation Grant (PPG) and co-financing expected and secured, broken down by source. Project expenditure reports were broken down by line item rather than component as per current reporting system constraints.

54. At the onset, the project spent the full GEF contribution US$ 36,818 in project preparation. During implementation, the project spent US$ $2,690,455 (which includes

funds not spent by June 2019 but which have been formally committed to project expenditure[19]) from the GEF grant and secured co-financing of US$ 48,749,780 in cash and US$ 47,993,558 in kind against a GEF grant of US$ 2,690,455 and expected co-financing of US$ 6,080,000 in cash and US$ 17,715,000 in kind. Interviews and co-financing reports revealed that while the co-financing did indeed contribute to the higher-level project objective and were related to the outcomes, it was difficult to link it to specific outputs as the financial data had not been aggregated in the same fashion. (Table 2).

Table 2.Grant amounts and co-financing for the project components.

Project Component	Expected Outcomes	Expected Outputs	Grant Amount	Confirmed Co-financing
1. Use of forensic technology to combat rhino poaching and the illegal rhino horn trade	1.1 Improved and more effective forensic capacity (techniques, procedures, training, equipment and institutional arrangements) to combat rhino poaching in South Africa's protected areas and the associated illegal trade in rhino horn, with service providers put onto a sustainable financial and institutional footing	1.1.1 Critical resources (equipment, personnel, etc) at key public- and private-sector wildlife forensics facilities, notably the Veterinary Genetics Laboratory (VGL) at the University of Pretoria and SAPS Forensics Laboratories, are provided to improve identification and tracking of rhino horns for enforcement purposes 1.1.2 New wildlife forensic approaches and techniques to tackle rhino poaching and associated illegal sale of rhino horn developed for adoption in South Africa's PAs 1.1.3 Wildlife crime scene investigation protocols (SOPs) and other relevant procedures reviewed, revised and formalized, essential wildlife crime scene and forensics equipment provided 1.1.4 Targeted training and awareness-raising programmes delivered to specific groups dealing with criminal cases involving rhinos on the relevance and collection of forensic evidence for tackling wildlife crime in South Africa 1.1.5 Initial steps taken for the establishment of a dedicated institutional structure in South Africa	1,481,001	11,800,000

[19] The committed funds total $157,582 and are allocated to i) a final audit, ii) development of a DEA Ops Room.

		(provisionally an Environmental Forensic Section) to coordinate and analyse all wildlife forensic evidence, initially focused on rhinoceros		
2. Information sharing and analysis for more effective law enforcement among national actors to tackle rhino poaching and the illegal trade in rhino horn	2.1 Improved gathering and analysis of relevant data and enhanced national coordination platforms for information management and threat forecasting to combat rhino poaching and the associated illegal trade in rhino horn within and outside South Africa's Protected Areas system	2.1.1 Systems for gathering key information on individual rhinos, including their DNA, populations, movements (restricted activities), provenance and relevant crime and law enforcement data are improved, and available to key vetted national and provincial wildlife and enforcement agencies (DEA, SANParks, SAPS) through secure, linked databases 2.1.2 A Wildlife Crime Analysis and Forecasting Tool (WCAFT) that links the key rhino management and conservation and crime and law enforcement databases, developed to analyse restricted activities related to rhinos, e.g. poaching and illegal trade, and better forecast and prioritise action against potential future restricted activities, which can then be mapped within Pas	652,000	6,750,000
3. Cooperation and exchange at the international level to tackle poaching and the illegal trade along the whole trafficking chain	3.1 Improved cooperation and exchange between South Africa and other relevant countries to tackle poaching of rhinos and the illegal trade in rhino horn along the whole trafficking chain	3.1.1 Sections of the Action Plans (APs) for the Memoranda of Understanding (MoUs) and other appropriate agreements, between South Africa and other relevant countries dealing with rhino poaching and illegal trade in rhino horn implemented 3.1.2 Procedures established, 'good practice' captured and disseminated, and capacity built, for the exchange of relevant data and samples of illegally traded parts and derivatives (with a focus on rhinos) between South Africa and relevant national and international enforcement agencies, such as ICCWC members and other relevant organisations, to assist with forensic investigations	329,000	3,500,000

		3.1.3 RhODIS upgraded to become the global standard and database for storage of rhino DNA and profiles		
GEF TF			83,000	580,000
GEF TF			2,545,001	22,630,000
GEF TF			145,545	1,165,000
			2,690,455	**23,795,000**

55. A summary of project co-financing, as provided to the evaluator, is presented in Table 3 below.

Table 3. Summary of project co-financing in US$ as provided[20].

Co-Finance	**Committed Amounts (CEO Endorsement Document)**			**Amounts Received (final co - financing reports + PIR)**		
Source	**Cash**	**In-Kind**	**Total**	**Cash**	**In-Kind**	**Total**
DEA	1,803,000.00	4,207,000.00	6,010,000.00	32,730,797.00	4,207,000.00	36,937,797.00
SANPark	4,128,000.00	9,632,000.00	13,760,000.00	15,869,983.00	37,029,960.00	52,899,943.00
VGL		1,400,000.00	1,400,000.00		1,572,260.00	1,572,260.00
WWF-S.A	149,000.00	1,276,000.00	1,425,000.00	149,000.00	1,780,831.00	1,425,000.00
EWT			-		100,000.00	100,000.00
CSIR			-		924,622.00	924,622.00
PPF		-	-		1,178,884.00	1,178,884.00
ICCWC		300,000.00	300,000.00		300,000.00	300,000.00
CITES		800,000.00	800,000.00		800,000.00	800,000.00
UNEP		100,000.00	100,000.00		100,000.00	100,000.00
TOTAL	**6,080,000.00**	**17,715,000.00**	**23,795,000.00**	**48,749,780.00**	**47,993,557.68**	**96,743,337.68**

IV. Theory of Change at Evaluation

56. The CEO Endorsement Request did not include a Theory of Change (ToC) as this was not a GEF/UNEP requirement at the time the project was formulated. The CEO Endorsement Request had a Results Framework (project Logical Framework), which identifies project components, anticipated outputs and outcomes, including mid-term and end-of-project targets. As part of the evaluation process, a ToC at design was "reconstructed" based on the project Logical Framework. This reconstructed ToC (RToC) was refined and validated through consultation with the UN Environment Task Manager and a senior representative of the Executing Agency (DEA).

57. The RToC retains the three original project components which form the basis for the three logic streams of the impact pathways at evaluation (Figure 3). While there is a clear relationship between the Outcomes of the original project design and the reconstructed Direct Outcomes, the Intermediate States and Impacts were developed anew as part of the RToC. The reconstructed Direct Outcomes and Intermediate

[20] Confirmation email of June 7, 2019 from the Financial Management Assistant, UN Environment

States trace out pathways to scale up the project interventions from specific sites to rhino sites broadly across South Africa.

Reconstructed impact pathway 1.

58. Under Component 1, the project aimed to improve the abilities (facilities, equipment and staff skills) of the VGL of the University of Pretoria and the planned Forensic Science Laboratory (FSL) of the South African Police Services (SAPS) as well as the SAPS investigators and the Environmental Management Inspectors (EMIs) of DEA who are responsible for rhino management and law enforcement, to appreciate the value of forensics for predicting, preventing and prosecuting cases of rhino poaching and trafficking in rhino products (Table 4).

Reconstructed impact pathway 2.

59. Under Component 2, the project aimed to increase collaboration between key management and law enforcement stakeholder institutions, together with increased data, collection, data analysis and information sharing. This impact pathway aims to enable increased levels of proactive counter-poaching interventions based on predicted poaching patterns leading to early interception of potential poachers prior to a shot being fired. Better information which is better shared will also contribute to improved prosecutions resulting in increased conviction rates in the courts. The core institutions identified included DEA, SANParks, SAPS, the NPA and the VGL. PROA members, conservation NGOs and the IUCN/SSC African Rhino Specialist Group (AfRSG) were identified as potential participants (Table 5).

Reconstructed impact pathway 3.

60. Under Component 3, the project aimed to increase the level and effectiveness of South Africa's collaboration with other rhino range states and rhino horn consumer countries, in tackling poaching of rhinos and illegal trafficking (Table 6).

Assumptions and drivers

61. The assumptions and drivers (i.e. conditions that need to hold in support of the intended change process) are presented in Table 7. The assumptions (external factors and conditions that are beyond the control of the project and its partners) and drivers (external factors and conditions that can be influenced by the project and its partners) which underpin the transition from Direct Outcomes to Intermediate States and then Impacts for the RToC are presented in Annexure E. Their contribution to the RToC is illustrated in Figure 3.

Table 4. Component 1: reconstructed outputs and outcomes for the ToC at TE

Outputs at CEOR (Component 1)	Reconstructed Outputs at TE	Explanation for proposed changes	Outcomes at CEOR	Reconstructed outcomes at TE	Explanation for proposed changes
1.1: Critical resources (equipment, personnel, etc.) at key public- and private-sector wildlife forensics facilities, notably the Veterinary Genetics Laboratory (VGL) at the University of Pretoria and SAPS Forensics Laboratories, are provided to improve identification and traceability of rhino horns for enforcement purposes.	Output 1.1 Veterinary Genetics Laboratory (VGL) has critical equipment and skilled staff to efficiently process rhino DNA analyses.	The output has been edited to sharpen the focus on the VGL which is to be provided with specific equipment and skills. Development of a new SAPS laboratory is a separate output.	1. Improved and more effective forensic capacity (techniques, procedures, training, equipment and institutional arrangements) to combat rhino poaching in South Africa's protected areas and the associated illegal trade in rhino horn, with service providers put onto a sustainable financial and institutional footing.	Outcome 1: a) Project-provided forensic kits used to investigate cases of illegal horn (SAPS & SAN Parks) b) Prosecuting dockets contain project supported forensic evidence/ methodologies (NPA). c) Judgements in cases of poaching or illegal horn trade include project supported forensic evidence (Judiciary).	The outcome at CEOR has been split into three outcomes at TE: the outcomes refer to the different institutions which should have enhanced capacity due to provision of skills, equipment and awareness. They are also more specific regarding the specific evidence relating to each outcome.
1.2: New wildlife forensic approaches and techniques to tackle rhino poaching and associated illegal sale of rhino horn developed and piloted for adoption in South Africa's Pas.	Output 1.2: Techniques to improve determination of the time of death for rhino carcasses and the use of rhino horn chemical fingerprinting to establish the geographic origin of rhino horn within target protected areas, tested.	This output has been edited to focus on the new techniques and what they might achieve.			
1.3: Wildlife crime scene investigation protocols (Standard Operating Procedures) and other	Output 1.3: Standard wildlife crime scene investigation and forensics collection	Output has been edited to focus on the delivery			

Outputs at CEOR (Component 1)	Reconstructed Outputs at TE	Explanation for proposed changes	Outcomes at CEOR	Reconstructed outcomes at TE	Explanation for proposed changes
relevant procedures reviewed, revised and formalized, and essential wildlife crime scene and forensics equipment provided.	procedures, kits and mobile forensic units supplied for use in the field.	of the forensic equipment.			
1.4: Targeted training and awareness-raising programs on the relevance and collection of forensic evidence for tackling wildlife crime in South Africa delivered to specific groups dealing with criminal cases involving rhinos.	Output 1.4: Environmental management inspectors, prosecutors, magistrates and judges trained on the importance of, and procedures for, the use of forensics in rhino protection work (with supporting material produced).	Output has been edited to focus on training and awareness among the relevant authorities.			
1.5: Initial steps taken for the establishment of a dedicated joint structure between DEA and SAPS (provisionally an Environmental Forensic Section) to coordinate and analyze all wildlife forensic evidence, initially focused on rhinoceros.	Output 1.5: SAPS and DEA collaborate to initiate an environmental crime capacity Forensic Science Laboratory at the SAPS.	Output has been edited to focus on initiating the development of SAPS forensic capacity.			
	Output 1.6: Sustained use of forensic sciences strengthened by reviewing DEA regulations on DNA collection and mainstreaming project into work programs of enforcement institutions.	A sixth output has been added to capture the mainstreaming of forensic work		Outcome 2: a) Standard Operating Procedures, Norms and Standards, and departmental policies include	This is a new outcome crafted to specifically capture the various aspects of

Outputs at CEOR (Component 1)	Reconstructed Outputs at TE	Explanation for proposed changes	Outcomes at CEOR	Reconstructed outcomes at TE	Explanation for proposed changes
		through regulations, budgets and work plans.		project supported forensic methodologies and procedures (DEA, SAPS, SANParks) b) Work programs and budgets include project supported forensic methodologies and procedures (DEA, SAPS, SANParks).	mainstreaming of regulation (SOPs, N&S & policy), work plans and budgets

Table 5. Component 2: reconstructed outputs and outcomes for the ToC at TE

Outputs at CEOR (Component 2)	Reconstructed Outputs at TE	Explanation for proposed changes	Outcomes at CEOR	Reconstructed outcomes at TE	Explanation for proposed changes
2.1: Systems for gathering key information on individual rhinos, including their DNA, populations, movements (restricted activities) and provenance	Output 2.1: Protocols and agreements for collecting and sharing critical rhino data agreed amongst South African institutions (SAPS, Customs	Output has been edited to focus on what the output would deliver. It	Outcome 2: Improved gathering and analysis of relevant data and	Outcome 3: Information gathering and sharing by SANParks, SAPS, DEA &	CEOR outcome 2 has been edited to make it less wordy and to

Outputs at CEOR (Component 2)	Reconstructed Outputs at TE	Explanation for proposed changes	Outcomes at CEOR	Reconstructed outcomes at TE	Explanation for proposed changes
and relevant crime and law enforcement data are improved, and available to key vetted, national and provincial wildlife and enforcement agencies (DEA, SANParks, SAPS) through secure, linked databases	Authority, SA National Defence Force, DEA, SANParks, & PROA).	also focusses on protocols and agreements rather than systems.	enhanced national coordination platforms for information management and threat forecasting to combat rhino poaching and the associated illegal trade in rhino horn within and outside South Africa's Protected Areas system	PROA to combat rhino poaching and illegal trade in wildlife is enhanced through formal agreements and protocols. Outcome 4: Information from project supported systems (Cmore, iBase and Analyst Notebook) is being used by anti-poaching staff to predict patterns of poaching and to pre-emptively intervene and prevent poaching events.	sharpen focus on what the set of outputs under the outcome would deliver. It has therefore been split into two outcomes; one to indicate improvement in the systems for gathering and sharing information; and the second to reflect the improvements made in the utilization of the information.
2.2: A Wildlife Crime Analysis and Forecasting Tool (WCAFT) that links the key rhino management and conservation and crime and law enforcement databases, developed to analyze restricted activities related to rhinos, e.g. poaching and illegal trade, and to better forecast and prioritize action against potential future restricted activities, which can then be mapped within PAs	Output 2.2: A Wildlife Crime Analysis and Forecasting Tool (WCAFT) developed, (building on existing tools, and linked to the databases mentioned and agreements developed, under output 2.1), which can be used to analyze data to predict potential crimes and prioritize interventions to prevent actual crimes against rhinos.	Output has been edited to focus on what the output would deliver			

Table 6. Component 3: reconstructed outputs and outcomes for the ToC at TE

Outputs at CEOR (Component 2)	Reconstructed Outputs at TE	Explanation for proposed changes	Outcomes at CEOR	Reconstructed outcomes at TE	Explanation for proposed changes
3.1: Sections of the Action Plans (APs) for the Memoranda of Understanding (MoUs) and other appropriate agreements between South Africa and other relevant countries dealing with rhino poaching and illegal trade in rhino horn implemented.	Output 3.1: 5 MoUs (in which the priority actions to be implemented aim to tackle trafficking of rhino products globally) signed with Vietnam, Thailand, China, Laos and Mozambique.	Output has been edited to focus on ensuring that the MoUs are signed.	3. Improved cooperation and exchange between South Africa and other relevant countries to tackle poaching of rhinos and the illegal trade in rhino horn along the whole trafficking chain	Outcome 5: Action plans emanating from MOUs are being implemented by DEA and Vietnam, Thailand, China, Laos & Mozambique. Outcome 6: A fully functional RhODIS®, using internationally compatible standards, sharing relevant information with national and international enforcement agencies.	CEOR outcome 3 has been edited to sharpen the focus on two areas to which the outputs would collectively contribute. The first is on improving collaboration and cooperation while the second is on improving the quantity and quality of forensic information available
3.2: Procedures established, 'good practice' captured and disseminated, and capacity built, for the exchange of relevant data and samples of illegally traded wildlife parts and derivatives (with a focus on rhinos) between South Africa and relevant national and international enforcement agencies, such as ICCWC members and other relevant organizations, to assist with forensic investigations.	Output 3.2: Information and material sharing protocols, between relevant South African and international enforcement agencies, to assist with forensic investigations, agreed.	Output has been edited to focus on agreement being reached between relevant agencies to enable information & material sharing.			
3.3: RhODIS® upgraded to become the global standard and database for storage of rhino DNA and profiles.	Output 3.3: An expanded RhODIS, using internationally compatible standards, for rhino	Output has been edited to focus on what the project is			

Outputs at CEOR (Component 2)	Reconstructed Outputs at TE	Explanation for proposed changes	Outcomes at CEOR	Reconstructed outcomes at TE	Explanation for proposed changes
	forensic DNA typing and data sharing protocols.	able to deliver.			
	Output 3.4: Lessons learned and "good practice" in the use of forensics shared through workshops, courses and colloquia to combat poaching and illegal trade in rhino horn.	A fourth output has been added to emphasize capturing and sharing of best practices.			

62. A visual representation of the reconstructed theory of change is presented below (Figure 3) with what were "Components" now identified as "Interim Outcomes". Changes were made within each of the Interim Outcomes and the total number of reconstructed outputs increased from ten to twelve. The description of individual outputs has been changed to reflect a more nuanced view that, in hindsight, has developed regarding what is possible and reasonable for the project.

63. In the development of this RToC it is envisaged that the scope of the Intermediate State is national within South Africa i.e. it is beyond the level of the sites, but it is national rather than international in scope.

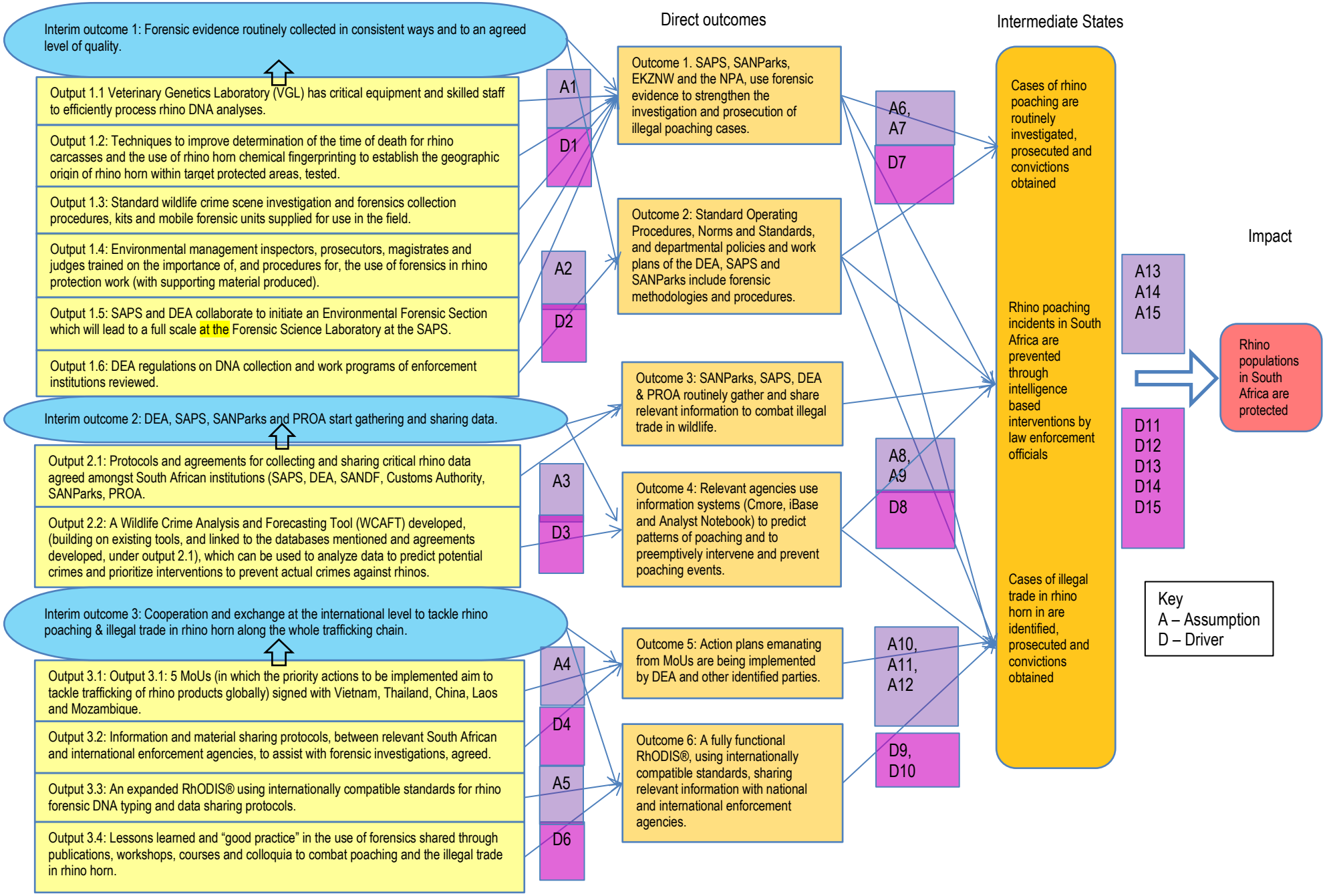

Figure 3. Schematic representation of the reconstructed Theory of Change at Terminal Evaluation.

Table 7. Assumptions and drivers underpinning the ToC (outputs to outcomes).

Level	Assumptions	Drivers
A1: Transition from Outputs 1.1, 1.2, 1.3, 1.4 and 1.5 to Direct Outcome 1.	• Co-finance would be available in a manner that is synchronized with project implementation; • The procurement and delivery of equipment will be early enough for it to make a difference during the project; • That there are adequate numbers of suitable EMIs, police, prosecutors & magistrates to receive training; • That space would be available for the establishment of the Environmental Forensic Laboratory of the SAPS; • Review and revision of existing legislation/regulations on rhino data collection, storage and analysis would not be delayed by bureaucratic processes;	D1. Senior management of regulatory and enforcement, prosecutorial and judicial institutions (DEA, SAPS & NPA) and protected area managers e.g. SANParks, Ezemvelo KZN Wildlife, PROA; include mechanisms to sustain these efforts in their annual work plans. D2. Senior staff in the relevant agencies are supportive of the need to establish a mechanism for information sharing and mandate staff to achieve this state.
A2: Transition from Output 1.6 to Direct Outcome 2.	• Management of the enforcement institutions (SANParks, SAPS & NPA) accept that work related to forensics is part of their jobs.	
A3: Transition from Outputs 2.1 and 2.2 to Direct Outcomes 3 and 4..	• Institutional mandates allow for information sharing; • Mistrust between the various groups holding relevant information on rhino conservation and management and crime and law enforcement databases can be overcome by the project and mechanisms can be established to initiate and sustain the sharing of crime-related data.	
A4: Transition from Outputs 3.1 and 3.2 to Direct Outcome 5.	• Institutional capability and political will within enforcement agencies in rhino horn recipient and transit countries exists to share information with RSA and other countries; • Developing and signing MoUs with the target countries would be a speedy process with limited delays.	D3. Continued international pressure and funding for programs to support anti-poaching projects, catalyzing domestic investments in the same. D4. An individual is assigned the responsibility of promoting the signing of the MoUs. D5. An individual is assigned the responsibility and mandated to ensure that the work plans in the MoUs are implemented. D6. Senior management of enforcement institutions embrace wildlife forensics and mainstream related work into the institutions programs and budgets.
A5: Transition from Outputs 3.3 and 3.4 to Direct Outcome 6.	• Value of forensic evidence, including DNA, in fighting wildlife crime is accepted and widely adopted in criminal trials; • The capacity, improved data/information and increased collaboration established by the project can adapt to rapidly-evolving strategies, capacity and resources of rhino horn poachers and wildlife traffickers; • Financial resources for fighting wildlife crime will not be diverted to addressing increasing human crime cases due to limited public sector budgets.	

V. Evaluation Findings

A. Strategic relevance

64. The project is fully aligned with UN Environment's Mandate, Medium Term Strategy and Thematic Priorities and with its capacity building and South-South cooperation policies; with regional, sub-regional and national priorities; with GEF and donor agencies priorities and is complementary to other relevant initiatives identified by the evaluation. The project has strengthened information sharing within South Africa and across rhino range states, thus fulfilling the requirement for South-South Cooperation. Therefore, its strategic relevance is rated *highly satisfactory* according to the UN Environment Evaluation Office Criterion Ratings Matrix.

UN Environment's Mandate, Medium Term Strategy and Thematic Priorities, Program of Work

65. As described in the Introduction, the project was extremely well aligned with UN Environment Medium Term Strategy (MTS) thematic priorities, The alignment with UN Environment's Medium Term Strategy and Thematic Priorities (Sub-programmes) is demonstrated by the project objective to improve the effectiveness of efforts to combat wildlife crime in South Africa's Protected Area system, focused on rhinoceros, through improved forensic-based technologies, data gathering and analysis and data management systems at national level, and increased cooperation structures and mechanisms at international level to support law enforcement efforts along the whole trafficking chain.

66. The project contributes to two outputs of the UN Environment Program of Work (2012-2013), where it contributes to four sub-programmes. The project was clearly aligned with the Strategic Objectives on Ecosystem Management and Environmental Governance of the UNEP Program of Work (2012- 2013). The objective of the Ecosystem Management sub programme was that countries utilize the ecosystem approach to enhance human well-being. The project clearly contributed to the three expected accomplishments under this sub-programme – namely, that countries and regions: (a) increasingly integrate an ecosystem management approach into development and planning processes; (b) have capacity to utilize ecosystem management tools; and (c) begin to realign their environmental programmes and financing to address degradation of selected priority ecosystem services.

67. The objective of the Environmental Governance sub-programme was that environmental governance at country, regional and global levels is strengthened to address agreed environmental priorities. The project clearly contributed to two of the four expected achievements of this UN Environment sub-program; namely: (a) that States increasingly implement their environmental obligations and achieve their environmental priority goals, targets and objectives through strengthened laws and institutions; and b) that national and international stakeholders have access to sound science and po(licy advice for decision-making. In addition, the log frame contains reference to the MTS for 2014 – 2017 Program, where all the indicators are referenced to Environmental Governance - Expected Accomplishment (b): "the capacity of countries to develop and enforce laws and strengthen institutions to achieve

internationally agreed environmental objectives and goals and comply with related obligations is enhanced".

Donor Priorities

68. Within the GEF Biodiversity Focal Area, the project is consistent with GEF Biodiversity Focal Area Strategic Objective One: "Improve sustainability of Protected Area (PA) systems", and aims to make significant contributions to Outcome 1.1: "Improved management effectiveness of existing and new protected areas", and will specifically deliver benefits under Output 2 coverage (2,130,077 ha) of unprotected threatened species (two species of rhino in South Africa) by improving the conservation status of protected areas where the two species of rhino already exist (by reducing poaching and providing improved capacity for law enforcement activities). It will also contribute to Outcome 1.2 "Increased revenue for protected area systems to meet total expenditures required for management", through helping to reduce poaching in protected areas and therefore reduce the level of expenditure which is currently being allocated to rhino security efforts (in some cases up to 80% of the reserve's operational budget) allowing expenditures on other important management activities.

Relevance to Regional, Sub-regional and National Priorities

69. The project is extremely relevant for national priorities as it supports the country's efforts to combat wildlife crime and responds directly to the strategies of the DEA. The project was strongly aligned with national priorities. In 2014, the Cabinet of South Africa declared rhino crime to be a priority crime and instructed that a number of integrated measures be put in place to combat it, including the "Compulsory Measures" which include a) strengthening and persisting with pro-active anti-poaching operations; (b) continuous joint operations with key neighbouring countries; c) improved intelligence gathering and analysis capability; d) improving general protection in parks and provincial reserves where rhino are present, with the help of relevant technology, and e) introduction of responsive legislation and policy amendments to address rhino poaching. The project contributed to the achievement of all five of these measures.

70. In addition, South Africa had pioneered the use of forensics in rhino protection and the project contributed to strengthening this work, establishing it as a mainstream activity through support to the VGL at the University of Pretoria and initiating steps to establish the EFSL within the SAPS as well as increasing the data in the Rhino DNA Index System (RhODIS®). Support further extended to the training of prosecutors to enhance the use of forensics in prosecutions and to a number of key rhino protected areas where mobile forensic units were provided as well as sample kits for the collection of biological samples for forensic work were developed to better protect the chain of custody of the evidence. Amendments were introduced to the Norms and Standards for sample collection and identification of live and poached rhinos under the National Environmental Management: Biodiversity Act 10 of 2004 to require that samples are collected using RhODIS® kits and that these samples are then submitted for analysis and inclusion on the RhODIS® database.

71. The efforts of the South African government to improve the use and value of forensic science in its efforts to combat rhino crime are supported by non-governmental

organisations such as the PPF, WWF-SA, the EWT as well as PROA. All of these bodies contribute to funding the fight against poaching and illegal trafficking of rhino horn. The alignment of this project with the civil society efforts further strengthens the strategic relevance of the project.

Project Complementarity or Duplication

72. There is additionally clear recognition of the importance of collaboration with other GEF projects directly addressing illegal wildlife trade in protected areas, as well as those that indirectly address the threat of illegal and unsustainable wildlife trade in the rest of Africa. Notable among these are the World Bank-GEF '*Wildlife Consumption in Vietnam: Reforming Policies and Practices to Strengthen Biodiversity Conservation*' project (GEF ID 4286), and the World Bank-GEF '*Strengthening protection and management effectiveness for wildlife and protected areas*' project in Lao Peoples Democratic Republic (GEF ID 4650).

73. The efforts of the South African Government to improve the use and value of forensic science in its efforts to combat rhino crime are supported by non-governmental organisations such as the Peace Parks Foundation, the World Wide Fund for Nature, the Endangered Wildlife Trust and StopRhinoPoaching.Com. All of these NGOs were, and continue to contribute to funding the fight against poaching and illegal trafficking of rhino horn. The alignment of this project with the civil society efforts further strengthens the strategic relevance of the project.

B. Quality of project design

74. The quality of project design is rated as *satisfactory*. This score is an aggregate score against an agreed template in which seven evaluation areas are scored *satisfactory.* These dimensions are nature of the external context; project preparation, strategic relevance, governance and supervision arrangements, financial planning and budgeting, efficiency, intended results and causality, and six evaluation areas are scored *moderately satisfactory* – they are; log frame and monitoring, partnerships, risk identification and social safeguards; sustainability/replication and catalytic effects; learning, communication and outreach, and addressing project weaknesses and gaps identified by the Project Review Committee.

Design Strengths

75. Although the project did not have a Theory of Change and was planned using a Log Frame Analysis, it did have a sharp focus on a narrow range of gaps in the government's efforts to tackle the escalation in rhino poaching. This narrow focus resulted in a clear analysis with the logic and linkages between activities, outputs and outcomes relatively direct. This structure allowed for a relatively easy development of a RToC.

76. The proposed governance and supervision model was justified and appropriate for the project. As the national Executing Agency, DEA is clearly suited to this role because it coordinates and influences many partners in the country who implement baseline programmes on protected area management, rhino and other species conservation, including prevention of rhino poaching and illegal trading in rhino horns. DEA manages the Environmental Management Inspectorate in South Africa, tasked with regulating

environmental issues and that works closely with the SAPS in investigating wildlife and rhino related crimes.

77. The Project Steering Committee built on the Project Development Working Group which guided the project design and is constituted by relevant partners in the protected area management and rhino conservation work in the country. The project budget was adequate given the scope and duration of the project. The multi-year workplan was detailed, clear and realistic.

Design Weaknesses

78. During the project design phase, it was envisaged that the project would fall under the newly formed Wildlife Information Management Unit (WIMU) within the Biodiversity and Conservation Branch of DEA. WIMU however has a primary focus on biodiversity matters and is not fundamentally an enforcement and compliance unit. This matter was dealt with in the early stages of project implementation, when it was decided that the Legal Authorisations, Compliance and Enforcement Branch (LACE) within DEA, was better suited to serve in the role of hosting the project and the project was moved under the Chief Director: Enforcement within LACE. The initial selection of WIMU represents a weakness in the project design as insufficient assessment was made of the project's implementation structure and staff who later became responsible for the project were not involved in the design discussions. It is noted that the move itself had no negative effects on the project's performance during implementation.

79. Other design weaknesses included: the lack of baselines; no addressing of the Project Review Committee's outreach recommendation during a start-up workshop; and failing to assess certain key assumptions in adequate depth.

80. Certain assumptions made by the Project Development Working Group did not hold and this had significant implications for the project. Key was the assumption that certain organs of state e.g. the SAPS, would be willing and able to share data and information on their databases. This assumption was incorrect as there are policies and protocols within the SAPS which prevent this data sharing from taking place. The implication for the project and for information sharing thus affected outputs and outcomes for Component 1 and Component 2 of the project.

81. The evaluator also probed another assumption of whether groups linked to gender or the under-represented/ vulnerable communities are considered relevant to this type of project and found a unanimous opinion that this project did not merit a gender mainstreaming lens in the analysis of its context, design or log frame. However, given the strong contribution made by the women's group Black Mamba (see para 105) the evaluation finds that a gender lens may have been beneficial at the design stage.

82. Apart from the assumptions, the evaluation also found weaknesses in baseline data collection. Nine of the sixteen indicators at CEOR had no baseline values (including all four of the indicators at objective level) and eight of sixteen indicators did not have clear target values. These details thus needed to be established during the project implementation phase. The total budget for Monitoring and Evaluation was US$ 83,000. This is approximately 3.1 % of the total grant and thus within the normal range

of 3-5% for the M&E function, but it did not accommodate the additional effort required to set targets and to establish baselines.

83. The Project Review Committee recommended development of a communications and outreach strategy. The response was that this would be done during the inception period. In the absence of an inception workshop report or a full Project Document, the conclusion is that this did not happen.

84. The project addressed many of these weaknesses during its implementation, which supports a finding of positive adaptive management.

C. Nature of external context

85. The nature of the external context is rated as *highly favourable*. There were no particularly challenging operational factors which affected the project. South Africa is a politically stable country and there was no conflict or civil strife during the project implementation phase. Transfer of political power took place in a peaceful manner. Although there was a sub-regional drought which clearly had ecological implications, the conditions fell within the range of what can normally be expected and there were no unusual natural disasters which affected the project.

D. Effectiveness

86. The delivery of outputs was rated as *satisfactory***.** The salient outputs were delivered on time, of good quality and with high levels of user ownership amongst the DEA and other intended users. The assessment of the delivery of the outputs is presented in table form in Annex D.

i) Delivery of outputs

Component 1: *Forensic evidence routinely collected in consistent ways and to an agreed level of quality*.

87. Most of the outputs of Component 1 (to which more than half of the project budget was allocated), were found to have been well delivered and Component 1 is given a rating of *satisfactory*. Half the outputs were found to have been delivered to a full extent. These were related to improvements in the VGL (output 1.1), improvements in the collection of forensic evidence (output 1.3) and the training and awareness of investigators, prosecutors and magistrates (output 1.4). The output on reviewing relevant regulations within DEA (output 1.6) resulted in new Standard Operating Procedures being developed as well as protocols for SAPS related to rhino crime scenes and carcasses. The outputs relating to the development of new forensic techniques (output 1.2) and the establishment of a new environmental forensic laboratory (EFSL) for the SAPS (output 1.5) were partially achieved.

88. Output 1.1: The VGL was supplied with critical equipment, a new modern forensic laboratory and the staff complement was increased with improved skills. In addition, storage facilities and refrigerator space were expanded substantially. The DNA analysis capability was increased through the purchase, installation and commissioning of new equipment. These interventions resulted in approximately 6000 backlogged samples being processed for forensics together with an additional 5,200

new samples, which represents a significant improvement in capacity and efficiency at a time when the number of rhinos poached annually was near an all-time high.

89. Output 1.2: Techniques to improve determination of the time of death for rhino carcasses were not tested, but the use of rhino horn chemical fingerprinting to establish the geographic origin of rhino horn within target protected areas was tested and this is currently being used as evidence in rhino horn law enforcement cases. Additional innovation included the development and deployment of the eRhODIS® mobile app for managing data on DNA samples in an appropriate manner. Initial testing on the ability to lift human DNA from the carcass of a rhino was also done.

90. Output 1.3: Over 5,100 standard wildlife crime scene investigation and forensic collection kits were supplied for use in the field and ten mobile forensic units (the originally planned six plus four additional units catalysed by the project and co-financed by the US Department of State) were assembled and supplied for use in the field.

91. Output 1.4: Over 1,700 environmental management inspectors were trained, and 105 prosecutors and 116 magistrates attended colloquia at which the importance of, and procedures for, the use of forensics in rhino protection work was explained. Supporting material was produced and supplied by the project and co-financing was provided by EWT and the US State Department. Communication with individual prosecutors and magistrates was assisted by a close working relationship between the project and the South African Judicial Education Institute.

92. Output 1.5: Collaboration between the SAPS and DEA to initiate an environmental forensic science laboratory was established. Early plans to set up the lab at the CSIR failed after three years due to the unexpectedly high rental rates that were requested by the host agency. An alternative venue was found and work on altering the structure of the building prior to equipping and fitting out the labs was initiated, although not completed, during the project period. The project did not provide equipment or make a financial contribution to the SAPS FSL.

93. Output 1.6: DEA regulations on DNA collection were reviewed and efforts to mainstream project outcomes into work programmes of enforcement institutions were advanced. This included developing procedures protecting the chain of custody when collecting DNA samples from rhino crime scenes. Procedures relating to the collection of DNA from rhino horn are now formalised into CITES (CITES resolution: Conf. 9.14. Rev Cop 17). Amendments were made to national regulations in relation to the marking of rhino horns for stockpiling purposes.

Component 2: *DEA, SAPS, SANParks and PROA start gathering and sharing data.*

94. Due to the change from the WCAFT to the RCIS system, there were delays in achieving this component, but once the shift had been made, both outputs under Component 2 were achieved and are rated as *satisfactory*.

95. Output 2.1: The protocols and agreements for collecting and sharing critical data which underpin the RCIS were developed and agreed on between DEA, SANParks and EKZNW (as well as PPF who co-financed this activity). In addition, the project supported the configuration of databases, the capture of data, establishing secure

cloud storage and general integration work as well as renewing the *Analyst Notebook* and *IBase* database licenses for DEA, SANParks and KZN Wildlife and acquiring *Intellishare* licences to enable the other eight provinces to link in to the system.

96. Output 2.2: The RCIS was linked to the placement and use of the patrol optimization system and an integrating platform (*Cmore*), in HiP where data are being routinely collected and there is potential to link to at least one private reserve (Balule Private Nature Reserve).

97. The Balule Private Nature Reserve was also the site where the "Black Mambas" were established as a first line of detection of potential poachers on a rhino reserve. The Black Mambas are a team of women only rangers who patrol the reserve looking for signs of incursions by anybody who may be a potential rhino poacher. Although the project did not itself establish the Black Mambas, their activities fed information directly into the patrol optimisation platform at Balule Private Nature Reserve which was project supported.

Component 3: *Cooperation and exchange at the international level to tackle rhino poaching and illegal trade in rhino horn along the whole trafficking chain*.

98. Half of the outputs in Component 3 were rated *highly satisfactory*. These related to the information sharing internationally (output 3.2) and RhODIS® achieving internationally compatible standards (output 3.3). The other two outputs relating to the signing of MoUs (output 3.1) with other countries and the formal sharing of lessons learned (output 3.4) were rated *satisfactory* and *moderately unsatisfactory respectively*).

99. Output 3.1: Four MoUs, agreeing to collaborate and cooperate on actions which can be undertaken to tackle the trafficking of wildlife products, were signed between South Africa and each of Vietnam, China, Laos and Mozambique. An MoU with Thailand has not been signed and remains outstanding. There are three action plans linked to the four MoUs (no action plan has been signed with Laos) and these action plans are very broad in nature with very few or no specific actions that are focussed on rhino and the crisis that they are facing. Within South Africa the action plans are implemented by DEA officials as well as other responsible parties such as the SAPS.

100. Output 3.2: Information and material sharing protocols were developed between relevant South African and international enforcement agencies with the aim of assisting forensic investigations. Guidelines for the collection of forensic materials, samples and information were developed and protocols for sharing such information between countries have been agreed (through a CITES resolution (Conf. 9.14. Rev Cop 17) and presented at Interpol meetings. This agreement has been actively used and over 20 cases have been, or are being, taken through the South Africa courts using information shared under this protocol.

101. Output 3.3: An expanded RhODIS®, using internationally compatible standards, for rhino forensic DNA typing and data sharing protocols, has been achieved. The standards which are being used by VGL and RhODIS® have been *de facto* adopted by Vietnam, India, and a range of African countries including Kenya, Namibia, Botswana, Mozambique and Uganda. This is a significant step forward and

although it is currently not captured in legal and scientific documentation, the adoption of the same standards as RhODIS® is an important step forward in terms of enabling effective cross-country collaboration on rhino crime scene forensic work. Forensic techniques supported by the project have been used in 23 international and many more national rhino crime cases using forensic evidence between 2015 and 2018.

102. Output 3.4: There was no separate formal process of disseminating lessons learned in relation to the use of forensic evidence. However, lessons learned and "good practice" in the use of forensics were shared through publications, workshops, courses and colloquia which were held under the project. These reached over 2,000 individuals. Internationally, ongoing engagement between South African and other country's scientific and law enforcement staff includes sharing of lessons learned.

103. The *satisfactory* rating for delivery on the project outputs was achieved, in part, due to the level of preparation and readiness (evaluated as a Factor Affecting Performance) of the Executing Agent. Although there was an initial inappropriate placing of the project within the Biodiversity Conservation Branch, as soon as it was moved to the Legal, Authorisation, Compliance and Enforcement branch, implementation moved rapidly.

104. Likewise, the rating of *satisfactory* for stakeholder participation, was derived based on a clear early analysis of the relevant stakeholders which was modified when elements of component 2 were adapted, strong efforts made by the project to promote stakeholder ownership of project outputs and outcomes and regular structured and semi-structured engagement with stakeholders through individual activities and the PSC. This included the promotion of collaboration and collective action by stakeholder groups (e.g. the development of the Nerve Centre in HiP).

105. Although gender was not considered prominently in the context and design of the project, the evaluation did enquire about the role that gender played in the project through activities, outputs and intended outcomes. Aside from the participation of women in general, when they are simply doing so as part of their normal day-to-day functioning, the project supported the establishment of the women-only Black Mambas on the Balule Private Nature Reserve, who, due to their novelty, were provided with broad publicity and received international recognition for their work (see https://www.blackmambas.org/). The model established by the Black Mambas, although it has been widely praised, has not been repeated in other reserves at the time this evaluation.

ii) Achievement of direct outcomes (from RToC)

106. The project was largely effective in making progress towards the direct outcomes as detailed in the reconstructed RToC. Overall, achievement of six direct outcomes was rated as *satisfactory***.**

107. Most of the assumptions linking the outputs to the outcomes were valid. In instances where the assumptions did not hold, project momentum was maintained through adaptive management. For example, Assumption 1, *that space would be available for the establishment of the FSL for the SAPS*, did not hold as there were extensive delays in acquiring appropriate lab space at the CSIR. After three years,

alternative space was acquired, and progress was made. A further example, Assumption 3, *that there would be sufficient trust between DEA and the SAPS in relation to data sharing,* largely held, but a different, unanticipated barrier to data sharing, i.e. the absence of appropriate institutional protocols, meant that this aspect of the project needed to be abandoned and a new areas which would benefit from data sharing and where there were no impediments in place, were initiated.

108. The primary drivers at this level of the causal pathways (D1 to D6) were, to a large extent, in place and this enabled the achievement of the Direct Outcomes. This was particularly the case for D6 (*senior management of the enforcement institutions embrace wildlife forensics*) and D1 (*senior staff have mainstreamed mechanisms to sustain forensics in their work programmes*). D4 (*an individual is assigned to promote the MoUs*) and D5 (*an individual is assigned the responsibility of ensuring that the activities of the MoU are undertaken*) were also clearly in place. D2 (*senior staff support the need to establish a mechanism to share data*) and D3 (*continued international pressure and funding for programmes to support anti-poaching projects and catalysing domestic investments*) were partially in place.

109. Direct Outcome 1: *SAPS, SANParks, EKZNW and NPA, use forensic evidence to strengthen the investigation and prosecution of illegal poaching cases*, is a practice oriented outcome with the aim of strengthening the use of forensic evidence in rhino crime scene investigation and prosecutions. This direct outcome was *partially achieved* and rated as *satisfactory*.

110. Interviews and document reviews confirm that the indicators for the outcome i.e. a) Project-provided forensic kits are being used in investigating cases of illegal horn by SAPS & SANParks; b) Prosecuting dockets carried by the SAPS and NPA contain project-supported forensic evidence; c) Judgements in cases of poaching or illegal horn trade prosecuted by the NPA include project-supported forensic evidence; d) the RhODIS® database continues to increase in size due to samples provided by SANParks, EKZNW, and PROA; and e) A SAPS Environmental Crime Forensic Science Laboratory was established and equipped and functional, was substantially, but not fully, achieved.

111. Contributing to this outcome is the need to have baseline (reference) and forensic (evidence) samples routinely collected and processed for DNA determination, and this needs to be done in a manner that is consistent with the needs of the forensic laboratories and the applicable legislation to ensure that it will be available for use in rhino crime scene prosecutions and will stand up to defence cross examination. It is also important that the reference databases (RhODIS®; assisted by eRhODIS®) are continually updated to ensure that specimens from as many rhinos as possible are in it. Coupled to this it is important that any samples collected for forensic evidence purposes are processed rapidly and the results are made known to the investigators and prosecutors. A key consideration is securing the chain of custody of all samples, and the associated data, from both samples and crime scenes. All these elements require both appropriate equipping, agreed procedures to be followed, tamper-proof data management and storage and effective management of each step. It also requires heightened levels of awareness of the value of forensic evidence by investigators and prosecutors so that they can incorporate it into rhino crime scene prosecutions.

112. Inspection of the VGL facilities, as well as evaluation interviews with SAPS and SANParks and EKZNW made it clear that many samples have been and continue to be submitted to VGL and that these samples are being processed and entered into the RhODIS® database. In addition, progress has been made in the use of chemical finger printing techniques at the VGL. Interviews with both SAPS and NPA officials indicated that, although they could not provide formal records, the forensic and reference data in the RhODIS® database are being used in investigations and in cases before the courts (23 cases involving 11 countries in Africa, Europe and Asia).

113. Evaluation interviews indicated that park rangers, commonly the "first responders" to a poaching scene, of which over 1500 were trained through the project, generally have a clear understanding of the processes which they needed to follow. It was also indicated that the forensic kits which they require to collect samples with were available with little or no delay in over 90% of instances.

114. There remains a challenge to get samples to the VGL before they spoil. In hot remote areas where rhino poaching commonly occurs, it is necessary for an officer to collect samples from multiple rhino carcasses over a couple of days and this limits opportunities to drive them through to the VGL facilities (commonly over 300 km away). This does result in some samples spoiling, even when using the project-provided forensic trailers, but the losses are estimated to be less than 5%.

115. As the SAPS, not park rangers, are charged with the responsibility of investigating rhino crime scenes, all forensic samples are routed through the SAPS forensic laboratory. The SAPS are currently unable to process them, and so this function is currently outsourced. Clear and effective protocols are in place for moving forensic samples between the laboratories and for sharing the resultant data. The interview with the responsible person in the SAPS indicated that they were satisfied with the arrangements.

116. The process of building the reference database at the VGL is unaffected by the teething problems at the FSL and the manager felt confident that they would be able to continue to grow and collaborate where appropriate. With the expanded, better equipped and better staffed laboratories confidence was also expressed that the RhODIS®, database would continue to grow.

117. Increasingly the RhODIS® database is able to a) match samples from a rhino carcass to a horn or other rhino derivatives which have been seized, or b) to match a person to a rhino crime scene site or tool found at a site. An unintended and positive aspect of the growing levels of forensic evidence is that it enables insights into the transnational smuggling techniques. For example, horns from the same rhino, have been found in different suitcases picked up through separate seizures events, indicating that the couriers are deliberately spreading the risk and channelling horns through different routes to get them to their destination countries.

118. The opinion expressed by a representative of the SAPS priority crimes directorate and shared by senior members of SANParks indicated that investigators increasingly appreciate the value of forensic evidence and the importance of collecting it. Forensic capability was seen as a valuable addition to their toolbox. This is because

forensics provide hard evidence and not perception or hearsay. The prosecutors interviewed tended to support this view although with qualification, with the suggestion being made that it is important not to over emphasise the role of forensics at the expense of other evidence as they all have equal value.

119. Direct Outcome 2: *Standard Operating Procedures, Norms and Standards, and departmental policies and workplans within DEA, SAPS and SANParks include forensic methodologies and procedures* is a systems-focused outcome with the aim of promoting the use of forensic evidence in rhino crime related investigations and prosecutions. This direct outcome was *partially achieved* and rated as *satisfactory*.

120. Through the project period a number of policy developments in DEA contributed towards countering wildlife crime in general and rhino related crime specifically. These include the self-explanatory norms and standards a) for the marking of rhino and their horn and b) for the hunting of rhinoceros for trophy hunting purposes as well as guidelines for procedures for taking DNA samples from seized whole rhino horn, pieces of horn or horn shavings/powder in line with forensic requirements, and strategy documents c) for coordinating interactions between DEA and the SAPS (*The Environmental Compliance and Enforcement Strategy* as well as the NATJOINTS structures and processes) and d) integrating anti-trafficking activities more broadly among the security services of the country (*National Integrated Strategy to Combat Wildlife Trafficking*). Although both strategies cover a range of issues beyond forensics, they are both explicitly inclusive of the needs for forensic methodologies to be used in combatting rhino related crimes, as well as the need for collaboration and cooperation between the agencies and institutions.

121. It was apparent that within SANParks and EKZNW, there was an awareness of the need to comply with these documents, but it was less clear that actual work-plan line items had been created and that budget had been allocated. One interviewee suggested that it would likely fall to individuals in these organisations to seek funding from donor organisations to cover some of their needs in this regard. The SAPS is a large organisation with a broad mandate and rhino crime is but one of many responsibilities (many of which have higher social priority weighting e.g. murder, rape and commercial crime) and thus, although many individuals are largely supportive and understand the need to focus on rhino related crime, resources are limited and the degree to which these objectives are advanced is likely to depend on individuals rather than the system.

122. Direct Outcome 3: *SANParks, SAPS, DEA & PROA routinely gather and share relevant information to combat illegal trade in wildlife*, is an information sharing outcome in which structures and procedures and technology are put in place to enhance the advantages gained in combatting of rhino related crime by sharing information. This direct outcome was *partially achieved* and rated as *satisfactory*.

123. Although the primary intention of routine data sharing between SAPS and DEA did not occur, interaction between the officials while pursuing project objectives led to increased engagement at a personal level which in turn contributed to more effective participation by DEA officials at the higher level national forums for wildlife crime, such

as the National Joint Operational and Intelligence Structure (NATJOINTS[21]) (and in particular the Priority Committee on Wildlife Trafficking) which resulted in the development of the National Integrated Strategy to Combat Wildlife Trafficking (NISCWT[22]) and the law enforcement initiatives developed during the multi-stakeholder Rhino Conservation Lab. The NATJOINTS structure is endorsed by the Cabinet of the South African government, and thus has a high level of influence in combating wildlife crime and rhino poaching.

124. When it became apparent that it would not be institutionally feasible for information to be shared by the SAPS, the project shifted focus from establishing the WCAFT and focussed instead on the development and implementation of the RCIS which would enable information sharing between DEA, SANParks and EKZNW and the integration with *Cmore* patrol optimisation system used in rhino protected areas.

125. Direct Outcome 4: *Relevant agencies use information systems (Cmore, iBase and Analyst Notebook) to predict patterns of poaching and to pre-emptively intervene and prevent poaching events* is an information management and analysis outcome which effectively becomes the technological and operational enabler for Direct Outcome 3. This direct outcome was *partially achieved* and rated as *satisfactory*.

126. The goal of using technology such as the *Cmore* application, combined with the real time sensors (licence plate recognition cameras, barcode-scanners and other sources such as intelligence operatives and hotlines) which feed into it, and to process and analyse this information using *iBase* and *Analyst Notebook*, in a manner that is fed through to the anti-poaching patrols within the HiP "Nerve Centre" had been achieved and was demonstrated to the evaluator as operational during the evaluation. Primarily this was achieved through renewing and buying licences for software as well as through reconfiguring the databases (SANParks, KZN and DEA), capturing data into the newly configured systems, securing the data in the "cloud" environment and other technical work towards information integration.

127. The capacity to share relevant information beyond the "Nerve Centre" with SANParks and DEA, as per the terms of an agreement that was signed between parties to govern the information sharing process through the RCIS, was also in place. The stated intention to use project supported technology (*Intellishare*) to expand the reach of the data sharing value of the RCIS by enabling others to have certain controlled levels of access to the information, e.g. rhino sites in the Eastern Cape was technologically possible, although it had not been implemented with any other rhino site at the time of the evaluation.

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[21] The NATJOINTS is the highest level coordination and operational integration body of the State for coordinating security and law enforcement operations throughout the country. Members of the NATJOINTS include the SAPS, the South African National Defence Force (SANDF), the NPA, the National Intelligence Agency, DEA, SANParks and others.

[22] The NISCWT[22] is led by the SAPS and comprises members from SANDF, the Border Management Agency, Customs Authority, SARS, DEA, SANParks and provincial conservation agencies and has the stated intention of increasing national, regional and international law enforcement collaboration and cooperation on combating wildlife trafficking.

128. Direct Outcome 5: *Action plans emanating from MoUs are being implemented by DEA and other identified parties*, is an operational effectiveness outcome. This direct outcome was *partially achieved* and rated as *unsatisfactory*.

129. With four of the five targeted MoUs signed, only three of the four signed MoUs having Action Plans and those Action Plans lacking a clear focus on rhino crime (with the exception of the Vietnam action plan which mentions the identification of rhino horn and its derivatives), the agreements do not provide a strong basis for collaboration between countries to intervene and make a real difference to the manner in which they approach and deal with rhino crimes.

130. At the level of the Action Plans, the responsible national agencies have no direct responsibilities towards each other and no mechanism for holding each other accountable. Thus in addition to being poorly structured in terms of project outcomes, there is also no effective mechanism to enforce them. No information was provided to the evaluator on the partner country's approaches to implementing the Action Plans. From the South African side, reporting on the actions is the responsibility of a senior departmental official of DEA who reports into a departmental Annual Plan of Operations. As the MoUs are reflected as one of many reporting lines, there is a risk that poor delivery will not be identified and acted on.

131. Direct Outcome 6: *A fully functional RhODIS®, using internationally compatible standards, sharing relevant information with national and international enforcement agencies*, is an operational effectiveness outcome in which a system has been developed and implemented nationally and is being rolled out and adopted by other countries, or is contributing to international forensic efforts to combat rhino related crime. This direct outcome was *fully achieved* and rated as *highly satisfactory*.

132. The value of forensic evidence, including DNA, in fighting wildlife crime is increasingly understood and accepted and the methodologies used at VGL are beginning to be widely adopted in criminal trials, both in South Africa and internationally. The RhODIS® system is accepted internationally as an appropriate standard for rhino DNA typing and samples of horn that are seized in other countries are routinely submitted to VGL for processing and matching against the RhODIS® database and the evidence is used in criminal proceedings in the countries which supplied the samples. Formalisation by a body such as CITES is indicative of the standard of the work that likely to increase the international adoption of the methodologies.

133. Examples of countries in which this has happened or in which there are ongoing cases include many in Africa as well as in Europe and Middle and Far East. Currently these include the Czech Republic, Hong Kong, Namibia, Uganda, Singapore, Qatar, Mozambique, Vietnam, Malaysia, Zambia, Kenya, Eswatini and Netherlands. This is a notable level of success. Whilst the project may not have played a direct role in communicating with many of these other countries, there is engagement as a consequence of the RhODIS® system being trusted, and the project played a key role in supporting that outcome. Lastly, financial resources for fighting wildlife crime continue to be allocated although there remains a dependency of private sector and NGO donations to cover some of the costs, due to limited public sector budgets.

134. The extent and role of country ownership and the drive to achieve project outcomes and to sustain them, is key to the project effectiveness identified in this evaluation and is rated as *satisfactory*. This is demonstrated through the high levels of in kind and cash co-financing as well as additional finances which were secured through partners, the strategic alignment of the project objectives with the national efforts to combat rhino poaching and horn trafficking, the increasingly widespread acceptance of the forensic techniques being advanced through the project, and changes in legislation and policy which seek to improve the result of reducing rhino lost to poaching.

iii) Likelihood of impact

135. The scope of the Intermediate States is defined in the RToC as rhino sites across South Africa, i.e. scaled up from the level of the project sites. The anticipated Intermediate States of the project leading to the desired impact of *Rhino populations within South Africa being protected and stable*, include a) routine investigation, prosecution and successful conviction of offenders in relation to rhino poaching, b) routine prevention of rhino poaching incidents through intelligence based interventions by law enforcement officials, and c) cases of illegal trade in rhino horn are routinely identified, prosecuted and convictions obtained in South Africa with the cooperation of international partners.

136. Whether these are achieved is dependent on the appropriateness of the assumptions and the veracity of the drivers which link the Direct Outcomes to the Intermediate States and the Intermediate States to the Impact. The details of these Assumptions and Drivers are identified in the RToC and are tabulated in Annex E and Annex F.

137. The project impact is assessed as *likely*. This assessment is based on all intermediate states being rated as either fully or partially achieved, as well as the consideration of the assumptions and the drivers as discussed below. Implementation of the recommendations could create the conditions for an increased assessment score, but it is not clear the magnitude of this potential increase due to the enormity of the rhino poaching problem and the incentives driving it.

138. Communication by the project was largely confined to those directly involved in project related activities, including the stakeholders. Greater and focussed effort could have been allocated to the task of communicating the achievement of project outputs, and the advancement of project outcomes.

Intermediate State 1.

139. Intermediate State 1: *Cases of rhino poaching are routinely investigated, prosecuted and convictions obtained* is rated *fully achieved*.

140. Evidence provided during interviews and supported by follow up documentation clearly indicate that the individuals and institutions which are involved in the investigation and prosecution of rhino related crimes are collecting, processing and analysing forensic evidence in both poaching and rhino horn trafficking cases on a routine basis. Rhino crime cases since 2015 rely increasingly on forensic evidence

with a growing number of cases where convictions for rhino related crimes have been obtained using forensic evidence during the investigation and the prosecution[23]. There are numerous ongoing investigations where forensic evidence is being used, and anecdotal evidence suggests that this is translating into increased rates of convictions in the courts although it remains premature to properly understand the patterns and their causes. Increased forensic skills and capabilities on the part of the investigators and prosecutors as well as increased awareness of the potential and value of forensics by magistrates and judges, are attributed by senior SAPS members to be the reasons for this success. In addition, the Branch within DEA has committed funds in the next Medium Term Budget to supporting enhanced forensic outcomes in relation to rhino crime.

141. Assumption 6, 7 and Driver 7 in the RToC hold for this Intermediate State. Although the VGL experiences ongoing pressure to deal with the volume of samples it is receiving, it is able to continue to service the needs of the prosecutors while at the same time build the reference database of rhinos that are sampled during management interventions. Thus Assumption A6 holds.

142. Assumption A7, *financial resources for fighting wildlife crime will not be diverted into addressing increasing human crime cases due to limited public sector budgets*, will also hold, at least for the period 2019 to 2021, as DEA has committed funding and institutional support towards ensuring the sustainability of this capacity. At the same time the SAPS are establishing the SAPS EFSL and have expressed the intention of achieving operational status by 2020. There are thus two state institutions committing finances towards this goal in the short term. It is not clear what the longer-term funding options are for the VGL but there are a number of large supportive NGOs in South Africa and it is very likely that additional funding could be sourced from them in the future.

143. The key driver, Driver 7, for Intermediate State 1 is that the Department of Legal, Authorizations, Compliance, and Enforcement (LACE) in DEA remains the champions for the initiative. This currently is the situation and there has been no indication that it will change.

Intermediate State 2.

144. Intermediate State 2: *Rhino poaching incidents are prevented through intelligence-based interventions by law enforcement officials* is rated as *partially achieved*.

145. The establishment of the Nerve Centre in HiP which is making use of the combination of the *iBase* and *Analyst Notebook* software as well as the patrol optimisation platform *Cmore* and linking this to DEA and SANParks, was key to the Direct Outcome being achieved. For Intermediate State 2 to be achieved it is necessary to expand the system beyond HiP, DEA and SANParks. Preliminary discussions have been held with the Eastern Cape Parks and Tourism Agency, the

[23] It was not possible to get detailed records and statistics in the time available, but representatives of the SAPS investigations teams and of the NPA confirmed the pattern.

next largest stronghold for rhino in the country, and an offer has been made to link the Great Fish Nature Reserve (which already has *Cmore*) into the system via *Intellishare* which enables "viewer" rights of other users.

146. DEA has committed to maintaining these systems for a three year period – the national department's budgeting timeline – but there is no certainty as to how this budget may be covered beyond that. In addition, DEA is paying for *Cmore* (a critical component of the bigger integration project) for all relevant government institutions for a 3-year period. This will enable the DEA Ops room to link to relevant rhino reserves (a key target of the "Rhino Lab" process. This enhanced level of connectedness in DEA will underpin the "National Enforcement Fusion Centre".

147. Representatives from LACE have indicated that further applications are being submitted under GEF 7 and there are ongoing discussions with groups such as the PPF regarding support to keep the systems running. It remains uncertain how sustainable the impact might be.

148. Based on the above there are indications that the assumptions regarding the willingness to share information and that resources will be allocated to fight rhino crime rather than be diverted to other priorities, partially hold, and there is an indication that the driver for international funds being available will be largely in place.

Intermediate State 3.

149. Intermediate State 3: *Cases of illegal trade in rhino horn are identified, prosecuted and convictions obtained* is rated *as fully achieved.*

150. All three assumptions underpinning the achievement of Intermediate State 3 are considered to hold in the most part. That the value of forensics in fighting wildlife crime is understood and accepted, and forensic evidence widely adopted in criminal trials, is evidenced by the number of cases in which forensic data and evidence is used to guide investigations and increasingly prosecutions. While it was not possible to get statistics from the relevant parties, verbal indications were given that there is pressure on the SAPS to complete the establishment of the EFSL so that increased numbers of samples could be processed in less time. This is a clear indication of the desire for the information.

151. The capacity of the teams to adapt to changing circumstances has been demonstrated in all the institutions concerned. South Africa has been through a very steep learning curve in relation to rhino crime over the past ten years and has repeatedly adapted to changing circumstances. Of potential concern is the resourcing of the adaptations required, but to date the country has managed to secure adequate funding, even if it has not been completely reliable long-term funding.

152. Barriers to data sharing in most institutions, need to be overcome to meet the requirements of the last assumption. Nationally there are a few pockets effective engagement, commonly based on personal relationships, that keep project developed initiatives functioning and - in instances - growing. A good example of this is the Nerve Centre in HiP, at which the good relationship with the regional SAPS, the EMIs in DEA

and with SANParks, has enabled good progress in feeding information into the data system.

153. Despite the deficiencies in the Action Plans for the MoUs, over twenty forensic samples relating to rhino crimes have been taken in 15 countries in Europe, Africa and in the East since 2015. These forensic samples have been submitted to, and processed at, the VGL and the resulting information has then been shared as appropriate. In other words the desired Intermediate State has been achieved independently of the MoUs. In part this is interpreted to be due to the formalisation of the RhODIS® protocols for processing forensic samples and sharing the resulting information through the CITES resolution as well as them having been adopted by INTERPOL.

154. The fact that these engagements between countries are already sharing and exchanging samples and data is a clear indication that a key driver is being met. In addition, there is an ongoing process of exchange and sharing of knowledge and skills, even with countries such as India which has little to do with African rhinos.

The likelihood of achieving the desired impact.

155. The desired impact of "*Rhino populations in South Africa are protected and stable*", is *likely* to be achieved as a result of increased convictions resulting from improved forensic capabilities. There are however extrinsic factors beyond the influence of the project that may serve to counter these gains.

156. While it is entirely possible that South Africa will achieve increased conviction rates and longer sentences resulting from the forensic evidence in the prosecution process, the extreme value attributed to rhino horn and the profit from illegal trade is likely to continue to entice individuals to poach. It also remains too early to understand the extent to which demand reduction efforts in consumer countries will be successful. Therefore there is not enough confidence that the assumptions underpinning this impact, which are by definition beyond the direct influence of the project, are beginning to emerge or hold.

157. From a driver perspective, there is currently sufficient political will and interest within enforcement agencies in rhino horn recipient and transit countries to maintain engagement with South Africa and other relevant countries on sharing information and cooperation, even following changes to political administrations. It is not clear how long this will continue for. There is a new Border Management Authority that is planned for South Africa but it remains too early to assess its efficacy in tightening border control, especially for the transit of rhino horn. There thus remains uncertainty as to the validity of the drivers.

158. International goodwill for the tackling rhino poaching and prevention of illegal trading in rhino products is reflected in the GEF 7 submission which is currently underway by DEA "Strengthening South Africa's capacity to implement the National Integrated Strategy to Combat Wildlife Trafficking (NISCWT)". This project has a value of $4,437,156 and co-financing estimated at $37,872,260. In addition, South Africa is a participant in the Global Wildlife Programme led by the World Bank where the South African component is designed to strengthen relevant local institutions as well as

information management and monitoring, in order to contribute towards the reduction in the rate of illegal wildlife trade in South Africa.

159. With the assumptions for the impact largely, but not entirely holding and the drivers mostly in place, a rating of *likely* has been given to achieving the Desired Impact.

E. Financial management

160. In line with the evaluation criterion matrix financial management is rated largely on the completeness of financial information as well as the communication between the financial management personnel within UNEP and the project management team. While there is clear evidence of the Executing Agent making a reasonable effort to achieve satisfactory financial management outcomes, the Agent provided incomplete financial information in line with UN Environment stipulations and criteria, to the evaluator. Project financial management is rated as *moderately unsatisfactory* overall (see Table 8, below). With respect to the completeness of financial information the necessary financial items[24] required were determined to be *moderately unsatisfactory* and communication between project management and financial management personnel as *moderately satisfactory*.

161. Weaknesses (e.g. poor handover processes between existing and incoming staff within the Implementing Agency, weak feedback from the Task Manager to the Project Manager and ineffectual processes to fully institutionalise project information[25]) in oversight from the Implementing Agency contributed to the financial information not being complete. Although the Executing Agent took reasonable steps to ensure that the funds were managed within normal project management requirements, these measures were not tightly aligned with the expectations of the Implementing Agency due to insufficient communication.

162. In the area of communication between staff of the Implementing Agency (i.e. the 3 FMOs; with engagement mediated through the 4 TMs) and project management staff in the Executing Agent, the project was deemed *highly unsatisfactory*. This rating is strongly linked to the evidence through the whole of the project period that there was inadequate supervision, guidance and communication on the part of the Implementing Agent. Turnover of UN Environment staff contributed to this, as there is no evidence of a robust handover process, but the reported gaps also suggest this project was only weakly embedded in a more holistic institutional or systems context, which could have been expected to have provided back-up support during staff transitions. While there was no TM present at a start-up workshop or meeting to clarify reporting processes or protocols for adaptive management, the role of the Executing Agency is set out in the PCS and the SSFA and the expectations of the role had been agreed to.

[24] 50-80% of Financial items exist justifying an MU rating per EOU matrix: audit report and response, proof of cash and in kind co- finance, budget by source and cost of component, project expenditure sheets, proof of funds transfer, and legal agreements

[25] One handover report was provided to the evaluation by headquarter's staff member during the final review of this evaluation report. The handover report contains 2 paragraphs on this project and was not provided to the evaluator by the current Task Manager. This suggest that the handover process was not embedded in an institutional process.

163. It is a cause for concern that the Executing Agency experienced the need to send a representative to the UN Environment headquarters to seek clarification on financial management and reporting matters early in the project implementation phase and that this staff member, did not find that the project management needs were subsequently met following the visit.

164. The GEF grant for this project was $2,690,455. According to project reporting as of March 2019, the project had spent 94% of the grant budget. An application has been submitted to use the balance ($157,582) towards outstanding prior commitments. As seen in the breakdown of co-financing received versus committed in the project cost section, the project received $48,749,780 (cash) + $47,488,726 (in kind) totalling $96,743,338.

165. Despite requests, no audit report for the grant expenditure was provided to the evaluator, although a letter confirming it had been completed and found no areas of concern, was provided. This is a matter which should be taken up during the financial closure of the project and a copy should be held on file by both the Executing Agency and the Implementing Agent. A summary of the financial management ratings are presented in Table 8.

Table 8. Financial management ratings

Each criterion is rated on a six-point scale. These are usually labelled as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU).

Financial Management Components		**Rating**	**Evidence/Comments**
1. Completeness of project financial information		**MU**	Financial documentation was provided but with identifiable gaps. Both the CFO from DEA and the FMO from UN Environment were interviewed where explanations were provided and some, but not all, of these gaps were closed. (See details below)
Provision of key documents to the evaluator (based on responses to A-G below)			
A.	Co-financing and Project Cost's tables at design (by budget lines)	S	The CEO Endorsement Request contains both an original co-financing by source and a UN Environment budget line with GEF project cost tables by component and UN Environment budget line.
B.	Revisions to the budget	n/a	No revisions to the budget were indicated to the evaluator.
C.	All relevant legal agreements	S	Signed PCA between UN Environment and DEA.
D.	Proof of fund transfers	MU	Incomplete proof of fund transfers was provided.(While the Implementing Agency asserts that these documents could be provided, they were not available by the time of the final round of commenting on this draft and the evaluation concludes that they are not held in a central enough place for them to be reasonably accessible.)
E.	Proof of co-financing (cash and in-kind)	MS	Final reports were submitted by the Executing Agency but have to be validated by UNEP project team. Co-financing reports show cash and in-kind contributions, together with co-financing reports of various project partners. The exact alignment with the project, as

Financial Management Components		Rating	Evidence/Comments
			opposed to a more general contribution to combat rhino poaching, was not always clear, especially with the large items such as for SANParks
F.	A summary report on the project expenditures during the life of the project (by budget lines, project components and or on an annual level	S	Final expenditure report by year made available to cover GEF funding.
G.	Copies of any completed audits and management responses.	HU	No audit report provided. A letter from DEA to UN Environment indicating that a departmental audit has been conducted and that there were no adverse findings was provided. This needs to be followed up by the Implementing Agent during the financial closure of this project.
H.	Any other financial information that was required for this project	n/a	None applicable.
Any gaps in terms of financial information that could be indicative of shortcomings in the project's compliance with the UN Environment or donor rules.		MS	Two gaps identified were the absence of copies of audit reports and there was no end-of-project Inventory Report. [The evaluation notes that an inventory report for Dec 2017 was provided to the Evaluation Office on 2nd Sept 2019 after data collection and during the final round of evaluation report commenting].
Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the evaluation process		MU	The FMO and TM were reportedly slow to respond to queries by the PM. The turnover (4 TMs and 3 FMOs) of UN staff through project time line possibly exacerbated this, but any delays did not lead to the need for a project extension.
2. Communication between finance and project management staff		**MS**	The Project Manager indicates that there was poor communication with the TM and FMO for at least the first three years of the project. The Portfolio Manager confirmed that the Task Manager made his first supervision mission in 2017 and that financial issues were part of the agenda. No mission report was provided referring to action to be taken etc.
Project Manager and or Task Manager level of awareness of the projects financial status		n/a	It was not possible to attribute a rating to this element as the original 3 TMs were not interviewed[26]. Interviews with staff at DEA did suggest they had adequate knowledge of the project's financial status throughout the life of the project.
Fund Management Officer's knowledge of project progress status when disbursements are done		MS	Fund Management Officer report knowledge of project progress status through the technical progress reports and PIR[27]s. However, the final PIR does not contain ratings from the Task Manager and so these reports are incomplete.
Contact communication between the Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports.		MS	PM reports regular difficulties communicating with the various TMs, although this appears to have been slightly better with the FMOs. At one point the Project Manager had to travel to Nairobi to deal with matters.
Overall rating for Financial Management		**MU**	

[26] The names and contact details of the previous Task Managers and Fund Management Officers were not included in the stakeholder list provided to the evaluator. The assumption was made that the current Task Manager and Fund Management Officer had access to all relevant information about the project's performance and history.

[27] Four PIR reports were provided to the evaluation: July 2014 - June 2015; July 2015 - June 2016 Final; July 2016 - June 2017 and July 2017 - 2018. (For 2014/15 ratings are provided by the TM and the level or performance does not require further action, the M&E Plan is not rated but it is indicated this will be done in the second PIR. For 2015/16 and for July 2016/17 ratings are provided by the TM under Progress and Risk and M&E Plan is rated. For 2017/18 there are no ratings from the TM and the M&E Plan is not rated.)

166. A challenge the Executing Agency faced was in relation to receiving funds in USD and needing to report on expenditure in USD while all operations are conducted in ZAR. This is confounded by the fact that the conversion rate changes daily and it would be useful for guidelines to be provided to executing agencies on how this should be handled.

F. Efficiency

167. Project efficiency is rated as *satisfactory*. The project started on time, June 2014, and although there was a slight delay in recruiting a manager and support staff for the Project Management Team, there were no cost increases in the implementation of the project. However, one extension to the project implementation period was made during this evaluation process, giving a completion date of December 2019. The move from the Biodiversity and Conservation branch of DEA to the Legal, Compliance and Enforcement Branch was also very efficiently handled early in the project and caused limited delays. The technical elements of the project were completed as scheduled in mid-2018 without any revisions to the timeline.

168. The Executing Agent (DEA) is largely responsible for the fact that the project delivered within its initial timeframe, despite weak oversight. The team comprised the Project Manager and his Assistant who together fell under the Chief Director: Enforcement within the Inspectorate: Legal, Authorisations, Compliance and Enforcement.

G. Monitoring and reporting

169. Project monitoring and reporting are rated *moderately unsatisfactory*. Monitoring and reporting was assessed against three sub-criteria discussed in detail below: Monitoring Design and Reporting, Monitoring of Project Implementation and Project Reporting.

Monitoring design and budgeting

170. Monitoring design and budgeting were rated *moderately satisfactory* as, at the project design stage there was a monitoring plan with some indicators derived from the logical framework and a dedicated budget for monitoring, but there was no evidence of this having been developed further.

171. The project budget provided USD 83,000 for monitoring and evaluation (CEO Endorsement). There is however no line item for monitoring. The project budget as detailed in the CEO Endorsement Request provided $23,000 for monitoring and $30,000 each for mid-term and terminal evaluations.

172. During the evaluation process, and despite a specific request for it, no monitoring action plan was provided to the Evaluator. The evidence suggests that a monitoring plan had not been drawn up at any stage in the project implementation phase. As this was the first UN Environment project being implemented by the Executing Agency, there is a reasonable expectation that they should have been provided guidance in this regard by the Implementing Agent, during the project inception phase. However, as there was no project inception meeting, or any substitute

inception process, the team was not aware of the monitoring and reporting needs. There was thus no formal M&E plan for the Project Manager to follow. This situation persisted for the four-year duration of the project. However, a monitoring plan, in whatever format, is a fundamental part of good project management and it is reasonable to expect a GEF Executing Agency to at least be able to formulate its own monitoring plan, even without guidance from the Implementing Agent.

Monitoring of project implementation

173. Monitoring of project implementation was rated *moderately unsatisfactory* because although project implementation data was collected against the monitoring and workplan, it was not consistent with the indicators in the CEO endorsement logframe nor were all the ongoing risks captured and discussed by the implementing and executing agents. Furthermore, data collected is not disaggregated by vulnerable/ marginalized groups, including gender. However, it is noted that the PM and Deputy PM routinely visited all project sites for monitoring and controlling. This was done to ensure funds were accounted for and that work was done according to plan.

174. As mentioned above, there was no TM guidance provided at an inception meeting, no mid-term review, poor engagement with the project implementation team and very limited supervision of the project by the Implementing Agency. A consequence is that appropriate project monitoring procedures and processes were not put in place and poor project reporting was not corrected. A number of instances of poor project governance also went uncorrected.

175. For example, adaptive management was needed when it was confirmed that the assumption that the SAPS would provide access to their data through linked databases as part of the WCAFT, could not hold. The Executing Agency took adaptive steps to refocus the project activities, in line with the overall objectives, but scaled to a specific protected area where it contributed to the development of the RCIS using the *iBase* and *Analyst Notebook* linked to DEA. Whilst appropriate, and the changes were presented to the PSC, they were not properly and formally recorded as part of a project revision procedure.

176. A further consequence of the limited sensitisation of the project execution team to the formal project structures and requirements, was that the range of issues that needed to be considered and reported on, such as safeguarding and monitoring of gender or other marginalised groups related issues, was not undertaken by the Executing Agency.

Project reporting

177. Reporting was rated *moderately unsatisfactory* as fragmented documentation of project progress was available and there was clear evidence of limited collaboration between the Executing Agency and Implementing Agency. For example, the PIRs continued to report on a sub-set of indicators that differed from what was agreed upon in the CEO endorsement document with no correction through the project period.

178. While the quarterly expenditure reports met the GEF-UN Environment guidelines, the PIR reports did not as the indicators are not the same as those

approved in the CEO Endorsement.–The evaluation did not find reference, nor any paper trail, to any agreed changes to the indicators within the PIR reports. The reports appear to be an honest attempt to communicate the project achievements, but the author failed to structure and order the information in a manner that is clearly relevant to project objectives or that is logical, easy to access, and easy to read. The weakly structured nature of the reporting in the PIRs, reduced their utility for this Terminal Evaluation and a tool for decision-making in general. There is no evidence to suggest that the Project Manager received feedback on how to strengthen the reports.

179. The Project Manager travelled to Nairobi in January 2015 to meet with the Task Manager at that time and seek guidance on the reporting requirements but did not find his needs met during the visit. He further experienced little downstream improvement in the quality of oversight provided by UN Environment. Of particular concern throughout the project was the lack of feedback from the Implementing Agent on reports that were submitted although this was promised in email correspondence.

180. Although there was a sub-optimal level of UN Environment support to the project, a basic level of engagement between the Task Managers and the implementing team took place.

H. Sustainability

181. Overall sustainability of the project is rated *moderately likely*. The sustainability of the project was assessed against the probability of project outcome-level results persisting, and potentially growing, beyond the project life span from three perspectives, namely *socio-political (rated as likely), financial (moderately likely) and institutional (likely)*. This evaluation identifies key conditions or factors that may promote or undermine the persistence of the direct outcomes. These factors include those that are direct results of the project as well as those that are contextual and outside the control of the project. Consideration is given to the Assumptions and Drivers, developed as part of the reconstructed RToC, and how they contribute to an evaluation of sustainability. It is noted that UNEP Evaluation Office requires the aggregation of the three sustainability sub-categories to be set at the lowest of the three rates, hence a sustainability rating of *moderately likely*.

182. The extent of stakeholder participation, either in aligned and associated projects which merged e.g. the *Cmore* patrol optimisation work in HiP (project and CSIR) and the development of the HiP Nerve Centre (project and Peace Parks Foundation), or through co-financing e.g. the training of EMIs (project and Endangered Wildlife Trust), significantly enhanced the impact and the sustainability of the project.

i) Socio-political sustainability

183. The socio-political sustainability is rated as *likely*. The socio-political sustainability of the project is strongly driven by the high level of ownership, interest and commitment to resolving the rhino poaching crisis among institutions and individuals spanning a range of government departments as well as civil society groups. The sustainability of capacity development efforts is likely to be dependent on partnerships with NGOs, as although there is a willingness in government to sustain them there is limited budget to achieve the required level of training. In certain

institutions there may be an over reliance on the commitment of individuals to ensure that appropriate actions are taken, but this is not widespread.

184. The fact that the Cabinet of the South African government has met and issued a set of instructions around the national desire to deal with the problem is evidence enough. In addition to this, there are four large NGO stakeholders which are engaging with the state agencies and private owners managing rhino populations on an ongoing basis to strengthen ways of combatting rhino crime, including through the improved forensic capacity in the country. Although there is some uncertainty as to the co-financing in support of the specific project goals, there is considerable partner financing being contributed to associated efforts to reduce rhino crime which stands as further evidence of socio-political support for the fight against rhino crime. There is a low possibility that this sense of ownership will vanish with future government changes. As custodian of approximately 80% of the global rhino population this is a cause which South Africa sees as important to support.

185. The evaluation was not able to assess the socio-political sustainability in terms of countries which import rhino horn, but the evidence that forensic samples and data are being shared between South Africa and other countries suggests that there are good relationships between the relevant institutions and individuals, and this is encouraging.

ii) Institutional sustainability

186. The institutional sustainability is rated as *likely*. The institutional sustainability of the project is driven by the high level of ownership of the various institutions to advancing the core objective of the project - to advance forensic capability, the use of forensic techniques, and the use of information and information analysis, both nationally and internationally to combat rhino poaching as well as the existence of fora to escalate and address these issues at the policy level. Indicative of institutional sustainability and sustaining outcomes beyond the end of the project, the NATJOINTS Priority Committee and Rhino Anti-Poaching (RAP) committee of the Rhino Lab are in place and operational and that they include DEA and SANParks. Similarly, the involvement of Interpol and the endorsement of the RhODIS® database and the DNA analysis techniques in CITES protocols contributes to institutional sustainability. The contribution of the project to building the capacity of individuals in VGL, SAPS and DEA around the collection and processing of forensic samples and the use of the DNA information for investigations and prosecuting has undoubtedly increased.

187. A development since the completion of the project is evidence of the increasing importance of the private sector in rhino conservation – evidence suggests that it is possible that close to half the white rhino population in South Africa is now privately owned – and the involvement of this sector raises the potential to catalyse and release resources aimed at maintaining the capacity to conduct forensic work necessary to reduce rhino crime.

188. This adaptive capability is likely to contribute positively to efforts to sustain the project outcomes and impacts. A further risk lies in the nature of the SAPS which is a

large organisation with a broad mandate and rhino crime is but one of many responsibilities.

189. Sustainability will be enhanced if the MoUs with other countries are renewed when they expire, and if the action plans within the MoUs are developed to contain more tightly focussed attention to curbing rhino related crimes.

iii) Financial sustainability

190. The financial sustainability is rated as *moderately likely*. The financial sustainability of the project is the sustainability criterion that is most at risk in the post-project period. The rhino poaching crisis has resulted in many resources which would otherwise have been available for a range of conservation and law enforcement priorities, being allocated to combatting rhino crimes. This has continued for over a decade. There is increasing pressure to increase the allocation of limited resources to other conservation priorities. Simultaneously the economic growth rate in South Africa has been consistently low (below 2%) for the past five years and public expenditure has been high, resulting in a situation where Treasury is likely to encourage departments to make budget cuts. Despite this, DEA has allocated budget to sustaining these objectives in the next medium-term budget cycle (up to 2021), as have the SAPS in their development of the EFSL.

191. The "wild card" in financing the ongoing outcomes of the project is mitigated through the follow on GEF grant, the contribution from the NGOs and the private sector to ensure that the benefits persist into the future. Added to these commitments is the increased international exposure achieved through breakthroughs in transnational trafficking crime, which suggests that there is potential additional external funding to support the project outcomes which will keep the core activities operational.

VI. Conclusions and Recommendations

192. The project entitled *Strengthening Law Enforcement Capabilities to Combat Wildlife Crime for Conservation and Sustainable Use of Species in South Africa: (Target – Rhinoceros)* in South Africa is aimed at the development and strengthening of three key elements of the efforts to prevent scourge of rhino poaching and the downstream illegal trade in rhino horn and other products. These elements are: the use of forensic science to investigate, prosecute and convict rhino poachers and rhino horn traders; the efficient and effective sharing of information to help inform law enforcement efforts in protected areas; and cooperation between countries to increase the prosecution and conviction of those who participate in and enable rhino crimes along the entire value chain.

193. The project began formally in June 2014 and was expected to be completed four years later in July, 2018. When this evaluation began the expected completion date was May 2019 but during the evaluation process the operational completion date was extended to December 2019. Most of the key project outcomes and many of the longer-term impacts of the project have a reasonable chance of being realised. The overall project rating is *satisfactory*.

A. Conclusion

194. South Africa has made a number of bold steps in combatting illegal wildlife crime, and particularly rhino poaching and the illegal trade in horn. These measures involve increased application of technology as well as the development of partnerships between the government and civil society. This project has continued along both these themes and contributed to strengthening the use of forensic science as well as information and data-basing technologies on the one hand and the collaborative efforts of stakeholders on the other.

195. Supporting the Veterinary Genetics Laboratory at the University of Pretoria to become fully functional and to be able to deal with the backlog samples that existed at the start of the project, as well as to increase the annual number of samples processed, both for the reference data-base as well as for specific forensic applications (investigations) has placed South Africa in a stronger position to reduce rhino poaching – which is the desired state. Included in this was the development of new methodologies for identifying the place of origin of rhino horn or other derivatives of a rhino as well as separating rhino and human blood sample to better investigate and prosecute individuals based on evidence. Equally, to have initiated the establishment[28] of an Environmental Forensic Science Laboratory within the SAPS, by acquiring new premises' and initiating the alterations and equipping them with appropriate equipment, despite the initial delays, is an important step towards the SAPS taking ownership of the function.

196. That the development of these two facilities was accompanied by a number of successfully delivered outputs, such as the distribution of the RhODIS® sampling kits, the mobile forensic trailers, the training of the first respondents at crime scenes as well as the upskilling of investigators, prosecutors and magistrates, only goes to strengthen the national capability to use forensic science to combat rhino poaching and the illegal trade in rhino products. In addition, the regulatory environment in which individuals are working was reformed with the publication of the amended Norms and Standards for the Removal and Management of Rhino Horn, as well as agreed upon Standard Operating Procedures for managing crime scenes as well as the sharing of information both nationally and internationally. Some of this was formalised through the processes of CITES.

197. On the use of data and information which is used to prevent, rather that follow up on, poaching events, the project encountered a number of challenges. These were primarily related to a project design flaw which failed to recognise that data sharing by the SAPS was unrealistic due to reasons such as legal constraints, sensitivities around certain data and well-established institutional cultures. The Wildlife Crime Analysis and Forecasting Tool (WCAFT) was thus not developed. The project did however successfully navigate around this and refocussed efforts at establishing data-base links (the Rhino Crime Information System - RCIS) between DEA, SANParks and EKZNW. This system, which is also linked to the patrol optimisation system within Hluhluwe-iMfolozi Park, is currently being implemented and provides critical support to

[28] The evaluation notes, para 92 that the funding for this laboratory was not provided by this project. Specifically, this project provided technical assistance to support the functioning of the laboratory

investigations allowing the law enforcement agencies to target specific suspects both at a poaching level but also higher up in the syndicates. It is reported that there are clear indications that the law enforcement staff are increasingly able to intervene prior to a rhino being shot, rather than discovering a carcass and being compelled to respond to the event.

198. In addition, a project objective was to strengthen the collaboration and exchange between individuals and agencies involved in law enforcement in relation to illegal wildlife trade at the international level. These outputs revolved around putting MoUs in place which contain protocols for sharing forensic material and information which can assist in tackling illegal trade in wildlife products. This included the establishment of agreed standards for forensic protocols and sample processing. These outputs were delivered on with the additional achievement of RhODIS® meeting the necessary standards to be accepted at an international level. A measure of this is the current list of countries which have shared forensic samples relating to rhino crime or information with South Africa which, at the time of the evaluation, includes 482 samples from 23 cases and involving 14 countries.

199. A clear weakness that was experienced during the implementation of the project, and repeatedly brought to the attention of this evaluation, was the poor supervision of the project by Implementing Agent (there were four Task Managers through the project implementation period). This poor supervision, starting with the failure to conduct an inception process and continued throughout the project period, resulted in many administrative and governance weaknesses for the project. In the case of the appropriate adaptive shift from the WCAFT to the RCIS, this process was poorly documented, and the decision-making process did not include the Project Steering Committee as a decision-making structure, rather it was informed of the change as a *fait accompli*.

200. The supervisory weaknesses of the Implementing Agent fortunately did not limit the delivery of outputs by the project. Thus, despite the evidence of general reporting and support being weak, the project was completed on time and with no indication of inappropriate financial spending (although, at the time of this evaluation, there was approximately 5% underspend on the GEF budget[29]). However, no audit report was provided to this evaluation and remains outstanding.

201. Gender was not considered prominently in the design phase of the project. The evaluation nonetheless examined the role that gender played in the project through activities, outputs and intended outcomes. A salient contribution of the project was support for an initiative to empower local women – the establishment of the women-only Black Mambas on the Balule Private Nature Reserve. Due to their novelty, the Black Mambas, were provided with broad publicity and received international recognition for their work (see https://www.blackmambas.org/). The model established

[29] During the evaluation the project completion date was extended to December 2019 and an application is in to allocate these unspent funds to project related information management equipment and other resources which had been identified but not procured during the project.

by the Black Mambas, although it has been widely praised, has not been repeated in other reserves at the time this evaluation.

202. The achievement in delivering the outputs had a high conversion rate to the delivery of the direct outcomes with an overall rating of *satisfactory* and a *likely* level-rating for longer-term impacts resulting from the interventions. However, it is also clear that the project interventions are only one of a vast number of interventions that are required for South Africa, and indeed the world, to gain the upper hand on illegal wildlife trade and the consequences that it has for selected species such as the rhinos.

Table 9. Evaluation Ratings Table

Each criterion is rated on a six-point scale. These are usually labelled as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). *Sustainability* and *Likelihood of Impact* are rated from Highly Likely (HL) down to Highly Unlikely (HU) and *Nature of External Context* is rated from Highly Favourable (HF) to Highly Unfavourable (HU). These ratings are 'weighted' according to a standard formula provided by the UNEP Evaluation Office to derive the Overall Project Rating

Criterion	Finding	Rating
A. Strategic relevance	The project was extremely well aligned with UN Environment MTS thematic priorities, GEF Biodiversity Focal Area. As well it related to the regional and national priorities around combatting rhino crime and the SADC regional strategy.	HS
B. Quality of design	The quality of the design was largely satisfactory with many strengths. The primary weaknesses relate to the lack of baseline data collection and a gender analysis report. There was an absence of baseline values for indicators and inadequate provision for establishing these as part of project monitoring. The assumption that the SAPS would share data through database linkages with other government entities was unrealistic. The implementation structure at design also had to be adjusted during implementation, moving the executing role from one department to another within the same Executing Agency.	S
C. Nature of external context	The project was not substantially impacted by the external context as there was no evidence of impact from conflict, natural disasters or political upheaval.	HF
Effectiveness S		
1. Achievement of outputs	The achievement of five categories of outputs is rated as *highly satisfactory*, five are rated as *satisfactory* and two are rated as *moderately satisfactory*. The salient outputs were delivered on time, of good quality and high levels of user ownership amongst the DEA and other intended users.	S

Criterion	Finding	Rating
2. Achievement of direct outcomes	The achievement of four of the six direct outcomes is rated as *satisfactory*, one as *highly satisfactory* and the other as *unsatisfactory*. The highly satisfactory outcome was the adoption and functionality of RhODIS® nationally and internationally using a standard that is acceptable and trusted. The unsatisfactory outcome was the implementation of Action Plans emanating from the MoUs targeted at five countries. The three Action plans which are agreed to do not contain activities which are focussed on rhino crimes and thus contribute little towards enabling collaborative engagement in that regard.	S
3. Likelihood of impact	The achievement of the desired impact is rated as *likely* with assumptions such as "value of forensics in fighting wildlife crime adopted in criminal trials" holding, as at least 23 criminal cases internationally have made use of forensics between 2015 and 2018. However, three main impediments 1) the sustainability of funding, and 2) the extent to which the other countries who signed the MoUs implement them. That said, Kenya and Zimbabwe have followed suit with the use of the RhODIS® forensic methodology. Financing may be mitigated by the follow on GEF project, South Africa's commitment to counter poaching as well as through support from NGOs	L
E. Financial management	The financial management aspect of the project is rated as *moderately unsatisfactory* with weakness in the supervision and communication between the task manager and the project manager as *moderately satisfactory*. Additionally, completeness of financial information was rated *moderately unsatisfactory* as not all of the financial information that was requested was provided, for instance, annual audit reports.	MU
F. Efficiency	Project implementation is found to be *satisfactory*, with one extension (which was added during this evaluation process).	S
G. Monitoring and reporting	Project monitoring and reporting is found to be *moderately unsatisfactory* as the sub elements*: monitoring design and reporting, monitoring implementation* and *project reporting were rated moderately satisfactory, moderately unsatisfactory and moderately unsatisfactory* respectively. Monitoring design and budgeting were rated moderately satisfactory as the project contained a monitoring plan which had the indicators in the logical framework, data collection methods and frequency, a dedicated budget by monitoring activity and monitoring focal point. Monitoring of project implementation was rated *moderately unsatisfactory* because although project implementation data was collected against the	MU

Criterion	Finding	Rating
	monitoring and workplan, it was not consistent with the indicators in the CEO endorsement logframe nor were all the ongoing risks captured and discussed by the implementing and executing agents. Reporting was rated *moderately unsatisfactory* as fragmented documentation of project progress was available, and there was stark evidence of limited collaboration between the Executing Agent and Implementing Agency, largely due to the absence of UN guidance through the project duration.	
H. Sustainability	The sustainability of the project outcomes is rated as *moderately likely* with both socio-political and institutional sustainability being *likely* while financial sustainability is *moderately likely.* The financial sustainability rating is rated *moderately likely* given the follow-on GEF project invests in sustaining the direct outcomes of this project, the government budget through 2021 is focused on wildlife crime and this project's significant co-financing from civil society and co-financing suggests its an ongoing national priority. Socio-political sustainability reflects the high level of ownership and commitment amongst project stakeholders to sustain the direct outcomes. Institutional sustainability is based on existing institutional commitments (e.g. DEA budgets and the SAPS Environmental Forensic Science Laboratory) to advance the value of forensics and data sharing in the fight against rhino crime.	ML
Factors Affecting Performance		
Preparation and readiness	There were areas of unpreparedness on the part of the Executing Agency, but they were rapidly dealt with e.g. a Project Steering Committee and the legal agreements were in place, staffing mobilization was undertaken in a timely manner, and there were few delays in the efforts to implement the outputs which were rapidly coordinated and actioned.	S
Project management and supervision	Project guidance and supervision from the Implementing Agent were amongst the weakest elements of the project, affecting monitoring and reporting as well as financial management. In addition, due to the lack of constructive working relationships[30] between the TM and PM, there was limited advice to	HU

[30] Three different staff members played the role of TM across the life of the project, one of them held the role twice. Different factors affected how they were able to play this role - personal sickness, moving offices, taking on the role late in the project etc. The net effect was that the project did not benefit from a constructive working relationship between the TM and PM.

Criterion	Finding	Rating
	address risks and correct reporting deviations. For example, the absence of TM advice during an inception workshop and a Monitoring Plan set that element of the project back from the beginning and this continued to negatively affect the project up until the Terminal Evaluation (there was no mid-term review). Errors in project administration and governance were not corrected as a result.	
Stakeholder participation/ cooperation	The extent of stakeholder participation is rated as *satisfactory*, positively affecting sustainability overall. This is due to the enormous interest in containing and combatting rhino poaching in South Africa in both government and civil society.	S
Responsiveness human rights/ gender equity	The project did not consider gender dimensions (related to involving or affected marginalized groups) in in any substantial manner in the context, log frame, budget or implementation. Limited consideration was given to the issue during implementation with the support for the Black Mambas, but there was little evidence of gender sensitivity in the training programmes.	n/a
Country ownership and drivenness	There is a high degree of country ownership and driven-ness positively affecting both effectiveness and sustainability. This is evident in the leadership of the Legal Authorisations, Compliance and Enforcement Branch in DEA whose role is to promote the development of an enabling legal regime, licensing/ authorization system that will promote enforcement and compliance.	S
Communication/ public awareness	Communication and awareness is rated as *moderately satisfactory* because findings did not reflect a full communication plan that included detailed the appropriate target audiences and approaches to communicating with them. The project findings were however shared with relevant higher-level committees such as the project steering committee as well as at the national level with stakeholders. Therefore, addressing this element would have positively affected project design and likelihood of impact.	MS

B. Lessons learned

203. The implementation of this project, despite its relative success, had weaknesses which provide an opportunity for reflection and learning. Table 10 below highlights the key opportunity for UN Environment to learn from the findings of this evaluation.

Table 10. **L**essons learned and findings

Findings and lessons learned	
Finding	*Despite challenges, the project was well implemented, and made an important difference to the fight against illegal wildlife trade and poaching of rhinoceros for their horn.*
Lesson	*The choice of Executing Agent can be crucial to the success of the project and the more directly an institution is involved with the core objectives of the project the more likely it is to result in successful implementation*.
Finding	*One of the significant challenges experienced by the Executing Agency was in relation to receiving and needing to report in USD, but operationally having to work in ZAR.*
Lesson	*It would be very useful for guidelines to be provided to executing agencies on when to convert and which exchange rates to use*
Finding	*The Project Steering Committee comprised the same institutions and individuals as for the project development process. This was not optimal as many did not have a direct and ongoing interest in the detail of the project implementation.*
Lesson	*There is value in selecting a new Steering Committee in the inception phase of project implementation and ensuring that members have a direct interest in project implementation.*

C. Recommendations

Table 11. Recommendations arising from the Terminal Evaluation

Recommendation	Lead actor	Time line
1. Given that the following elements are required of GEF projects but could not be found, the team implementing the "follow-on" project within UN Environment should ensure mechanisms are in place to verify the existence of the following: 1. Project supervision plan; 2. Project inception workshop and report; 3. Protocols for recognizing where the project design can be improved, or an adaptation is necessary and then documenting procedures that were subsequently undertaken to formalise the changes; 4. Protocols for gathering baseline data; 5. A suitably selected Project Steering Committee; 6. Mid-term evaluation or review conducted; and 7. Expenditure from all sources is tracked by component	UN Environment Task Manager, GEF 7 Project	In project proposal documents that are likely to be completed before the end of the 2019 calendar year

2. UNEP should confirm and make widely known, amongst its staff and partners, the requirements for audits (distribution of roles and responsibilities; exceptional circumstances etc) and confirmation of where the conditions are (or should be) stated. For this project the Executing Agency provided a letter confirming that an audit had been done and that no issues were raised. Backing this letter is a Departmental audit covering funds from a range of sources and this audit report was not able to be provided. This evaluation asked for the written documentation that sets out the GEF audit requirements. One mention of audits was found in either the GEF Project Program Cycle Guidelines (2017, pg 43 - that audit costs are eligible expenditure) and none in the Partner Cooperation Agreement. The GEF 2010 document on 'Fees and Project Management Costs' (pg 10) states that Annual Financial Statements and an Audit Report should be submitted at the end of the Agency's fiscal year. The distribution of roles/responsibilities between the Implementing and Executing Agencies regarding audit reports and/or situations that might arise around this issue, does not appear to be documented.		
3. Depending on the result of recommendation 2, above, a final audit of project finances and expenditure may be required by DEA and presented to the UN Environment Task Manager before project closure.	DEA and UNEP FMO and TM	Before the end of the 2019 calendar year
4. UN Environment should consider developing guidelines for implementing agencies, which are working in a different currency to the grant payment, for reporting and managing finances when there is a fluctuating exchange rate throughout the project	UNEP	Before the end of the 2020 calendar year
5. Due to the success of the Black Mambas in Balule Nature Reserve, promotion of the idea, and its replication in other areas, should be considered in future projects.	UNEP / DEA	When appropriate

VII. Annexes

Annexure A: List of documents consulted

- UN Environment Medium Term Strategy documents;
- UN Environment programme of Work documents;
- The Chief Executive Officer Request Document (in lieu of the Project Document, which is unavailable);
- The Project Identification Form (PIF) approved in dated 2012-04-18;
- The Project Cooperation Agreement;
- Guidance on the Structure of the Main Evaluation Report;
- Evaluation checklist;
- Template for the assessment of the quality of project design;
- Use of Theory of Change in Project Evaluations;
- Stakeholder Analysis in the Evaluation Process;
- Guidance on the Structure and Contents of the Inception Report;
- Gender Methods Note for Consultant;
- Project Final Report approved by the Department of Environmental Affairs, dated June 2018;
- Project Implementation Reviews (PIRs) for 2015, 2016 and 2017;
- Project Six Monthly Progress reports since 2015;
- Project Financial Reports covering the project period;
- Assorted project documents;
- Spreadsheet detailing project finances for March 2019;
- Project Supervision Agreement and Workplan;
- Minutes of Project Steering Committee Meetings;
- Project Technical Reports;
- SADC Rhino conservation strategy https://www.environment.gov.za/sites/default/files/docs/sadc_rhinoconservation_strategy.pdf
- South Africa NBSAP 2015 – 2025 (https://www.biodiversityfinance.net/knowledge-product/south-africa-nbsap-2015-2025);
- The MoUs with stakeholder countries and their action plans;
- PIF of the GEF 7 project: “Strengthening South Africa’s capacity to implement the National Integrated Strategy to Combat Wildlife Trafficking (NISCWT)”.
- Co- financing reports shared, namely from SANParks, CSIR, WWF-SA, PPF.

Annex B: List of interviewees consulted

Ms Jane Nimpamya	UN Environment Task Manager
Mr Paul Vrontamitis	UN Environment Fund Programme Management officer
Ms Joyce Gitehi	UN Environment Fund Management Assistant
Mr Michael Strang	Project Management Team (DEA)
Mr Rampedi Masemola	Project Management Team (DEA)
Ms Frances Cragie	Project Management Team (DEA)
Mr Ishaam Abader	Department of Environmental Affairs (LACE)
Ms Rose Masela	Wildlife Information Management Unit (DEA)
Mr Jacques du Toit	Environmental Management Inspectorate (DEA)
Ms Veronica Steyn	Chief Financial Officer (DEA)
General Johan Jooste	SANParks
Mr Nicholus Funda	SANParks
Brigadier Sonja De Klerk	SAPS – Forensic Science Laboratory
Colonel Johan Jooste	SAPS – Directorate of priority crimes investigations
Advocate Dania Brouwer	National Prosecuting Authority
Advocate Buks Coetzee	National Prosecuting Authority
Dr Andrew Taylor	Endangered Wildlife Trust
Dr Herman le Roux	Council for Scientific and Industrial Research
Dr Charl Petzer	Council for Scientific and Industrial Research
Mr Fitzroy Dayton	UNODC
Dr Cindy Harper	Veterinary Genetics Laboratory
Mr Cedric Coetzee	EKZNW
Ms Carmen van Tichelen	EKZNW
Mr Doug Gillings	Peace Parks Foundation
Mr Barend le Roux	Peace Parks Foundation
Dr Jo Shaw	WWF-SA
Mr Pelham Jones	Private Rhino Owners Association

It was not possible to arrange interviews with a representative from CITES or from Mozambique, China, Thailand, Vietnam or Laos.

Annex C: Evaluation mission itinerary

Evaluation mission itinerary
Monday, 19 November 2018
Consultant to land at OR Tambo mid-morning and take shuttle to DEA offices in Pretoria.
Consultant to meet with and interview staff from DEA in relation to the project: Mr M. Strang, Ms F. Craigie, Mr R. Masemola, Mr J. Du Toit, Mr I. Abader, Ms V. Steyn.
Tuesday, 20 November 2018
Consultant to attend final PSC meeting at CSIR Knowledge Commons (all day)
Meeting to be a series of presentations from stakeholders summing up the project as well as interviews with: General J. Jooste (SANParks), Colonel J. Jooste (SAPS), Dr Herman le Roux (CSIR), Dr A. Taylor (EWT), Dr C. Pelzer (CSIR), Mr F. Dayton (UNODC).
Wednesday, 21 November 2018
Morning: *Inspect laboratories and to interview: Dr C. Harper (VGL).*
Afternoon: *Conduct telephonic interviews with: Ms R. Masela (DEA), Brigadier S. de Klerk (SAPS), Advocate B. Coetzee (NPA) and visit and interview: Advocate D. Brouwer (NPA)*.
Thursday, 22 November 2018
Consultant to travel to Hluhluwe-iMfolozi Park (and to overnight).
Meeting to inspect the nerve centre, selected field sensors and to interview: Mr C. Coetzee (EKZNW), Ms C. van Tichelen (EKZNW), Mr B. le Roux (PPF).
Friday, 21 November 2018
Consultant to fly to Johannesburg after which to return home.
Post-mission follow-up
Consultant to conduct telephonic interviews with: Ms J. Nimpamya (Task Manager, UN), Mr P. Vrontamitis (Fund Programme Management Officer, UN), Ms J. Gitehi (Fund Management Assistant, UN), Mr N. Funda (SANParks), Mr D. Gillings (PPF), Dr J. Shaw (WWF) and Mr P. Jones (PROA).

Annex D: Achievement of reconstructed project outputs

Project achievement of the 12 reconstructed outputs resulted in five *highly satisfactory* ratings, five *satisfactory* ratings and 2 *moderately satisfactory* ratings. A strong feature of project implementation was the adaptive approach taken by the project implementation team. This is illustrated in the achievements of Output 2.2 in which it was clear at an early stage that it was not going to be possible to develop and implement the WCAFT information system as envisaged in the project design. The approach taken by the team was to take the idea of sharing information and data, in a manner that was able to support proactive interventions to reduce rhino being poached and developing the RCIS instead. The key difference being that the participant institutions had clear mandates to engage each other and to share data.

Output	Achievement	Evaluator's comments
Interim outcome 1: Forensic evidence routinely collected in consistent ways and to an agreed level of quality.		
Output 1.1 Veterinary Genetics Laboratory (VGL) has critical equipment and skilled staff to efficiently process rhino DNA analyses.	Highly satisfactory 1. Storage facilities for the DNA samples were expanded substantially into the new basement rooms (for bulk storage) and increased refrigerator space and shelving was built into the main laboratory space. 2. New equipment for processing rhino DNA was purchased, installed and functioning in the third wing of the VGL laboratory. 3. Three laboratory technicians were employed, had undergone training and were fully functional.	This was a very successful aspect of the project. The RhODIS® laboratories at the VGL facilities of the University of Pretoria are fully equipped to process the volume of samples that they currently receive. The facilities are clean, tidy and clearly functioning well. The back log of approximately 6000 samples were completed and an additional 5,200 samples were processed. The desire was expressed to obtain a second processing machine as this would avoid downtime for servicing etc. and efforts are underway to acquire the funding for this equipment. Consistent with the objective of preferentially hiring black people and women in South Africa, the three new staff who were recruited were young black women. This simultaneously meets the project objective of hiring women, although the numbers are very low
Output 1.2: Techniques to improve determination of the time of death for rhino carcasses and the use of rhino horn chemical fingerprinting to	Moderately satisfactory 1. Techniques to improve the determination of time since death of a rhino were not tested. 2. The use of rhino horn chemical fingerprinting to establish the geographic origin of rhino horn within target protected areas was tested and is now being	This was a partially successful activity in the project. Although not reported on in the PIRs, case evidence of the use of rhino horn chemical finger printing was provided and it is clear that the techniques are being used in forensic cases as evidence in the prosecution of suspects.

Output	Achievement	Evaluator's comments
establish the geographic origin of rhino horn within target protected areas, tested.	implemented in law enforcement cases as evidence. 3. An additional innovation was the development and deployment of the eRhODIS® App for managing data on DNA samples in a forensically appropriate manner	In addition other techniques, supported by the project, were being tested, e.g. to separate out and lift human DNA at rhino poaching crime scenes.
Output 1.3: Standard wildlife crime scene investigation and forensics collection procedures, kits and mobile forensic units supplied for use in the field.	Highly satisfactory 1. Wildlife crime scene investigation and forensic collection procedures were developed and distributed as appropriate. 2. Kits for the collection of tissue and other samples from wildlife crime scenes were assembled and distributed to the field 3. Six (plus four additional units catalysed by the project but donated as co-financing) mobile forensic units were assembled and supplied for use in the field (KNP – 1; KZN – 2; Free State – 1; Eastern Cape – 2; Northern Cape – 1; Limpopo – 1; North West – 1; Mpumalanga – 1.	This was a very successful activity in the project. The procedures for rhino horn DNA sampling guidelines are available in PDF and paper copy and are widely available. The kits for collection of tissue are in daily use by law enforcement individuals attending to rhino crime scenes. An exact number of how many kits had been compiled was not forth coming but was described as "hundreds, even into the thousands". The six project built mobile forensic units were supplemented by a further four and these are operational in the high rhino poaching areas where they can be useful.
Output 1.4: Environmental management inspectors, prosecutors, magistrates and judges trained on the importance of, and procedures for, the use of forensics in rhino protection work (with supporting material produced).	Highly satisfactory 1. The project trained 1760 rangers and law enforcement staff to EMI status country wide. The bulk of these individuals were trained to EMI level 5 which enables rangers to make arrests (). This training was co-funded by the EWT. 2. Approximately 120 magistrates and approximately 100 prosecutors were educated in the importance of forensic evidence in prosecuting wildlife crimes. 3. The training was supported with materials, both in audio visual and booklet form, for them to refer to after the training was completed and to reinforce their knowledge.	This was a very successful activity in the project which attracted substantial co-financing (from the EWT and the US State Department) as well as benefiting from a close working relationship with the South African Judicial Education Institute at the time.

Output	Achievement	Evaluator's comments
Output 1.5: SAPS and DEA collaborate to initiate an Environmental Forensic Science Laboratory at the SAPS.	Moderately satisfactory 1. The collaboration was effective, but the development of an Environmental Crime Forensic capacity at FSL by the SAPS was delayed by early commitments of space for the lab at the CSIR falling through in the third year (the rental demanded was not affordable). This necessitated the search for a new venue. 2. A new venue was found and this will be the site of the new EFSL in future.	This was a partially successful activity of the project which was delayed by unavoidable circumstances. Currently the SAPS are outsourcing much of their rhino forensic work.
Output 1.6: Sustained use of forensic sciences strengthened by reviewing DEA regulations on DNA collection and mainstreaming project into work programs of enforcement institutions.	Satisfactory 1. Procedures were developed for protecting the chain of custody when collecting DNA samples from rhino crime scenes. 2. A CITES resolution (Conf. 9.14. Rev Cop 17) now includes the procedures developed through the project for sharing of data on rhinoceros horn seizures and on samples for forensic analysis. 3. Amendments were made to national regulations in relation to the co-ordination of permitting for local trade in rhino horns, the marking of rhino horns and the hunting of rhino.	This was a successful activity of the project with the contribution to the CITES procedures (which has been recorded in the resolutions) having far reaching implications for the sharing of data on seizure and analysis of rhino horn.
Interim outcome 2: DEA, SAPS, SANParks and PROA start gathering and sharing data.		
Output 2.1: Protocols and agreements for collecting and sharing critical rhino data agreed amongst South African institutions (SAPS, Customs Authority, SA National Defence Force, DEA, SANParks, & PROA).	Satisfactory 1. Protocols and agreements for collecting and sharing critical data (underpinning the Rhino Crime Information System (RCIS)) were developed and agreed on between DEA, SANParks and EKZNW (as well as PPF who co-financed this activity). 2. These protocols have been adopted and are being used in the implementation of the RCIS, in which the project renewed the Analyst Notebook and iBase database licenses for DEA,	This was a successful activity of the project although it was changed substantially from the stated design. The change came about as it was never realistic that protocols for the sharing of information with the SAPS, SANDF and other authorities would be agreed on. It was a project design flaw to have included them in the first place. Project governance to change the activity was weak due to poor UN Environment supervision but the resultant choice was appropriate in the context of the greater project.

Output	Achievement	Evaluator's comments
	SANParks and KZN Wildlife acquired Intellishare licenses to enable the other eight provinces to link in to the system.	
Output 2.2: A Wildlife Crime Analysis and Forecasting Tool (WCAFT) developed, (building on existing tools, and linked to the databases mentioned and agreements developed, under output 2.1), which can be used to analyze data to predict potential crimes and prioritize interventions to prevent actual crimes against rhinos.	Satisfactory A WCAFT was not developed, for the reason that it was overly ambitious and it was never likely that the range of parties, including the SAPS and other crime intelligence and enforcement agencies would agree to such an arrangement. As an alternative, the project contributed in multiple ways (funding, catalytic engagement, catalysing co-financing) to the development of the RCIS. In addition the project catalyzed and funded the placement and use of the patrol optimization system and the integrating platform Cmore, in at least one private (Balule) and one state (HiP) protected area.	This was a successful activity of the project. It was clear at an early stage that it would not be possible to achieve the output as initially described, but through an adaptive approach the project team constructed an alternative to the WCAFT output, the RCIS, which was achievable and this become the output goal. Promoting the placement of the Cmore system, which had been developed by the CSIR, contributed in a significant manner to advancing the use and value of integrated data across the country. In the process, there was an institutional shift in emphasis within DEA from the Wildlife Information Management Unit (WIMU) to the Directorate on Legal, Authorisations, Compliance and Enforcement (LACE).
Interim outcome 3: Cooperation and exchange at the international level to tackle rhino poaching and illegal trade in rhino horn along the whole trafficking chain.		
Output 3.1: Five MoUs (in which the priority actions to be implemented aim at tackling the trafficking of rhino products globally) signed with Vietnam, Thailand, China, Laos and Mozambique.	Moderately unsatisfactory All five countries were engaged and MoUs were signed with four of them during the project timeline. These were with Laos, China, Vietnam and Mozambique. The MoU with Thailand remains outstanding.	This was a successful activity of the project. The MoUs are broad and do not deal with rhino crime in particular, but wild life crime in general. Reporting on the activities forms an integral part of the DEA reporting regime. From a sustainability perspective it is important that these MoUs are renewed once their term expires and they would be usefully strengthened by having specific rhino related actions.
Output 3.2: Information and material sharing protocols, between relevant South African and	Highly satisfactory Guidelines for the collection of forensic materials, samples and information (Form for Collection and Sharing of Data on Rhinoceros Horn Seizures and on	This was a very successful output of the project and the prosecutorial and judicial systems in South Africa are using these guidelines to base/ make judgements.

Output	Achievement	Evaluator's comments
international enforcement agencies, to assist with forensic investigations, agreed.	Samples for Forensic Analysis) have been developed and protocols for sharing such information between countries have been agreed (through a CITES resolution (Conf. 9.14. Rev Cop 17) and presented at INTERPOL meetings. This agreement has been actively used and a number of cases have been successfully taken through the courts using information shared under this protocol.	
Output 3.3: An expanded RhODIS®, using internationally compatible standards, for rhino forensic DNA typing and data sharing protocols.	Highly satisfactory The standards which are being used by VGL and RhODIS® have been *de facto* adopted by Vietnam, India, and a range of African countries including Kenya, Namibia, Botswana, Mozambique and Uganda as detailed in a summary report presented to the evaluator.	This was a very successful output of the project and although it is currently not captured in legal and scientific documentation the adoption of the RhODIS® standards for is a significant step forward in terms of enabling effective cross country collaboration on rhino crime scene forensic work
Output 3.4: Lessons learned and "good practice" in the use of forensics shared through publications, workshops, courses and colloquia to combat poaching and the illegal trade in rhino horn.	Satisfactory The process of disseminating lessons learned has not been formally engaged in. There has however, in the technical field, been a significant degree of learning during the project which has either been published in scientific articles or formalised into guidelines (e.g. for the collection of samples for forensic purposes). On the awareness front, over 2,000 individuals have been through training and have thus benefitted from the learning which has been incorporated into the training material. Internationally, the engagement between the South African and other country's scientific and law enforcement staff has resulted in the sharing of lessons learned.	Although this is an ongoing function, it was a successful activity of the project.

Annex E: Assumptions and Drivers - Direct Outcomes to Intermediate States

Contributing Outcomes	Intermediate State	Assumptions	Impact Drivers
Direct Outcome 1: a) SAPS, SANParks, and NPA use forensic evidence to strengthen the investigation and prosecution of illegal poaching cases. Direct Outcome 2: a) Standard Operating Procedures, Norms and Standards, and departmental policies and work plans of the DEA, SAPS and SANParks include forensic methodologies and procedures.	Cases of rhino poaching are routinely investigated, prosecuted and convictions obtained.	A6: Analyses and forecasts can be quickly translated into field action and the improved data gathering, analysis and forecasting from the Wildlife Crime Analysis and Forecasting Tool can be used in law enforcement efforts; A7: Financial resources for fighting wildlife crime will not be diverted into addressing increasing human crime cases due to limited public sector budgets;	D7: Project implementation is led by the Legal, Authorizations, Compliance, and Enforcement (LACE) department of the DEA, supervised by the Chief Director of Enforcement.
Direct Outcome 3: SANParks, SAPS, DEA & PROA routinely gather and share relevant information to combat rhino poaching and illegal trade in wildlife.	Rhino poaching incidents are prevented through intelligence based interventions by law enforcement officials.	A8: There is a willingness to share information and there are no legal impediments to doing so. A9: Financial resources for fighting wildlife crime will not be diverted into addressing increasing human crime cases due to limited public sector budgets	D8: Continued international funds provided to support the adoption of forensics in the fight against poaching and trafficking, in many of the rhino range countries and rhino product consumption countries (thus at national, regional and international levels). This is already being provided (see impact drivers under impacts).
Direct Outcome 4: Relevant agencies use information systems (iBase and Analyst) to predict patterns of	Cases of illegal trade in rhino horn	A10: Value of forensics in fighting wildlife crime is understood and accepted, and forensic	D9: Capacity at international level, especially within relevant enforcement

Contributing Outcomes	Intermediate State	Assumptions	Impact Drivers
poaching and to pre-emptively intervene and prevent poaching events. Direct Outcome 5: Action plans emanating from MOUs are being implemented by DEA and other identified parties. Direct Outcome 6: A fully functional RhODIS®, using internationally compatible standards, sharing relevant information with national and international enforcement agencies.	are identified, prosecuted and convictions obtained.	evidence widely adopted in criminal trials A11: The capacity, improved data/information and increased collaboration established by the project can cope with rapidly-evolving strategies, capacity and resources of poachers and wildlife traffickers A12: Mistrust about data and information sharing amongst international and national organizations on rhino crimes can be overcome by the project.	authorities in Vietnam, Thailand, Laos, China and Mozambique will be sufficient to execute action plans identified in the MoUs D10: Staff of the RhODIS® accredited laboratories in collaborating countries are provided with skills and Standard DNA sample field kits to analyse data in line with agreed standards

Annex F: Assumptions and Drivers - Intermediate States to Impact

Contributing Intermediate States	Impact	Assumptions	Impact Drivers
Cases of rhino poaching are routinely investigated, prosecuted and convictions obtained. Rhino poaching incidents are prevented through intelligence based interventions by law enforcement officials. Cases of illegal trade in rhino horn are identified, prosecuted and convictions obtained.	Rhino populations in South Africa are protected and stable	A13: Increased conviction rates and longer sentences resulting from improved law enforcement efforts, including forensics, acts as a deterrent against poaching; A14: Profit from illegal trade does not escalate leading to huge influx of poachers into PAs overwhelming PA and law enforcement manpower and resources; A15: Demand reduction efforts in consumer countries will be significantly successful.	D11: There is sufficient and continued political will and interest within enforcement agencies in rhino horn recipient and transit and recipient countries to maintain engagement with South Africa and other relevant countries on sharing information and cooperation, even following changes to political administrations; D12: The MoUs (and their action plans) continue to be implemented over the long term, securing continuation of collaboration at the local, national, regional and international levels during and after the project, despite changes in Administrations; D13: The country is forming a new Border Management Agency (BMA) with the aim of tightening border control, including for the transit of illegal wildlife products. D14: International goodwill for the tackling rhino poaching and prevention of illegal trading in rhino products as reflected in the ability to source additional funding from donor countries and the GEF. D15: The GEF, in June 2015 launched the Global Wildlife Program, a $131m grant programme led by the World Bank, and designed to address wildlife crime across 19 countries in Africa and Asia. South Africa has a project under the Global Wildlife Program titled: Strengthening institutions, information management and monitoring to reduce the rate of illegal wildlife trade in South Africa. This project will build on the achievements of this GEF project and address similar issues. Botswana, Mozambique, Zimbabwe, Tanzania, Kenya and South Sudan are all implementing projects with the goal of increasing capacity to combat poaching and illegal trade in wildlife products in the region, with further benefits to South Africa.

Annex G: Evaluation Terms of Reference

Terminal Evaluation of the UN Environment/Global Environment Facility project
"Strengthening Law Enforcement to Combat Wildlife Crime for Conservation and Sustainable Use of Species in South Africa (target: Rhinoceros)"

Section 1: PROJECT BACKGROUND AND OVERVIEW

1. Project General Information

Table 1. Project summary

GEF Project ID:	4937		
Implementing Agency:	UN Environment	**Executing Agency:**	South African Department of Environmental Affairs (DEA).
Sub-programme:	Ecosystems	**Expected Accomplishment(s):**	Outcome 1.1: Improved Management effectiveness of existing and new protected areas
UN Environment approval date:	8 May 2014	**Programme of Work Output(s):**	3
GEF approval date:	5 Dec 2013	**Project type:**	Biodiversity
GEF Operational Programme #:		**Focal Area(s):**	BD-1 : GEF Biodiversity Focal Area Strategic Objective One: "Improve sustainability of Protected Area (PA) systems", and aims to make significant contributions to Outcome 1.1: "Improved management effectiveness of existing and new protected areas", and will specifically deliver benefits under Output 2 coverage (2,130,077 hectares) of unprotected threatened species (two species of rhino in South Africa) by improving the conservation status of protected areas where the two species of rhino already exist (by reducing poaching and providing improved capacity for law

			enforcement activities). It will also contribute to Outcome 1.2 “Increased revenue for protected area systems to meet total expenditures required for management”, through helping to reduce poaching in protected areas and therefore reduce the level of expenditure which is currently being allocated to rhino security efforts (in some cases up to 80% of the reserve’s operational budget) allowing expenditures on other important management activities
		GEF Strategic Priority:	Rhinoceros
Expected **start date:**	26 May 2014	**Actual start date:**	26 May 2014
Planned **completion date:**	31 May 2018	**Actual completion date:**	31 Dec 2018 (technical completion), admin closure: mid May 2019
Planned **project budget at approval:**		**Actual total expenditures reported as of April 2018:**	$ 2,359,724 yet disbursement as of 20 April 2018: $2,111,741
GEF grant allocation:	$2,690,455	**GEF grant expenditures reported as of 30 June 2018:**	2,429,516
Project Preparation Grant - GEF financing:		**Project Preparation Grant - co-financing:**	
Expected **Medium-Size Project/Full-Size Project co-financing:**	$23,795,000	**Secured Medium-Size Project/Full-Size Project co-financing:**	Total secured co financing: $84,082,069 Initial Budget $24,395,000

First disbursement:	July 2014 ($250,000)	**Date of financial closure:**	30 June 2018	
No. of revisions:	0	**Date of last revision:**	**0**	
No. of Steering Committee meetings:	6	**Date of last/next Steering Committee meeting:**	**Last:** 20 April 2018	**Next:** none scheduled
Mid-term Review/ Evaluation *(planned date):*	Didn't occur	**Mid-term Review/ Evaluation (actual date):**	Didn't occur	
Terminal Evaluation *(planned date):*	Aug – Dec 2018	**Terminal Evaluation (actual date):**	Aug 2018	
Coverage - Country(ies):	South Africa	**Coverage - Region(s):**	South Africa	
Dates of previous project phases:	n/a	**Status of future project phases:**	n/a	

2. Project rationale

1. The GEF Project aimed at complementing baseline investments by the Government of South Africa to improve conservation efforts for rhinoceroses by addressing three key sub-optimal problem areas:

    (i) Inadequate capacity for efficient and timely DNA collection and analysis for use as forensic evidence;

    (ii) Weak coordination mechanisms and information sharing among all actors involved in law enforcement and anti-poaching efforts; and

    (iii) Insufficient cooperation and information exchange at the international level to enable successful prosecutions of poaching and the illegal trade along the whole trafficking chain.

2. To address these gaps, the GEF Project planned to(i) use and deploy innovative forensic technologies for enforcement in Protected Areas; (ii) improve information management by linking relevant databases on rhino conservation and rhino crime; and (iii) support the use of forensics, information-sharing and analysis at the international level to improve law enforcement efforts. With this focus in mind, the incremental cost reasoning for the UNEP-GEF Rhino Project is summarised in Annex Q.

3. Project efforts initially focused on Key Populations (of continental significance) irrespective of their location or management (state owned sites), including: the Provincial Nature Reserves of Hluhluwe (14,381.39ha), Mfolozi (44,544.07ha) and Ndumo (13,849.53ha) in KwaZulu-Natal, as well as the Marakele (58,801.71ha) and Pilansberg (50,000ha) National Parks, all of which are spending considerable time and resources on anti-poaching efforts (some up to 80% of their operating budgets).

3. Project objectives and components

4. The project objective is to improve the effectiveness of efforts to combat wildlife crime in South Africa's Protected Area system, focused on rhinoceros, through improved forensic-based technologies, data gathering and analysis and data management systems at national level, and increased cooperation structures and mechanisms at international level to support law enforcement efforts along the whole trafficking chain.

Project Objective	Objective level Indicators	Baseline	Targets and Monitoring Milestones (MTE - mid-term evaluation; EoP – end of project)	Means of Verification	Assumptions & Risks	UNEP MTS (2014-2017) reference
To improve the effectiveness of efforts to combat wildlife crime in South Africa's Protected Area system, focused on Rhinoceros, through improved forensic technologies and capacity, strengthened data gathering, sharing and analysis systems at national level, and enhanced cooperation structures and mechanisms at international level to support law enforcement efforts along the whole trafficking chain	1. Ratio of number of successful convictions for rhino poaching and illegal trade (treated separately) against number of arrests and cases brought to court, where forensic technology has been used[31] 2. PA management plans and associated annual work plans for target PAs (those hosting Key and Important rhino populations targeted by the project) include activities and budget for collection of	1.Baseline currently not available so will be collected at start of inception for 2013 2. Baseline to be collected for 2013 at inception stage 3. METT scores not yet collected and target PAs need to be agreed first	1. MTE – increase over baseline figure EoP target – increase over baseline and MTE figure 2. MTE – 50% of all management plans and work plans EoP – 100% of all management plans and work plans 3. MTE – increase scores over baseline	1. Information needed is recorded by the police and judicial authorities annually and accessible by DEA and also from forensics labs e.g. VGL. Special reporting form would be needed but easy to develop, and data collected by Project Manager (PM) 2. Data readily available from PA authorities in official annual reports and copies of management plans. To be collected by PM 3. To be provided by PA authorities and private	Assumption – increased conviction rates and longer sentences resulting from improved law enforcement efforts, including forensics, acts as a deterrent against poaching Risk – US Dollar to SA Rand currency fluctuations reduce local spending power of GEF funds or price inflation in SA over life of project means less purchasing power for the GEF funds	Environmental Governance Subprogramme Expected Accomplishment (b): *"the capacity of countries to develop and enforce laws and strengthen institutions to achieve internationally agreed environmental objectives and goals and comply with related obligations is enhanced"*

[31] The validity of target within the project time frame will be re-assessed at inception, based on analysis of baseline data on i.e. current average duration of prosecution process (e.g. time between detection of crime or capture of perpetrators, and final conviction)

Project Objective	Objective level Indicators	Baseline	Targets and Monitoring Milestones (MTE - mid-term evaluation; EoP – end of project)	Means of Verification	Assumptions & Risks	UNEP MTS (2014-2017) reference
	forensic evidence by end of GEF project 3. Scores of selected measures in the Management Effectiveness Tracking Tool (METT) relevant to law enforcement at target protected areas[32] 4. Proportion of Key and Important rhino populations which are in areas with approved and operational Crime Scene Standard	4. Baseline for 2013 collected during inception period[34].	EoP – increased score over MTE target 4. EoP - >50% increase (over baseline) in coverage of Key and Important rhino populations	game reserve owners to project at Mid-term and End of Project 4. SOP implementation records obtained through Police and court records provided by SAPS/DEA and collected by PM – overlapped with distribution of Key and Important rhino populations (data held by WWF-SA and AfRSG)	Risk – profit from illegal trade escalates leading to huge influx of poachers into PAs (cost-benefit ratio altered against protection measures) overwhelming PA and law enforcement manpower and resources	

[32] Validity of this indicator is under review and will be re-assessed at project inception as it contains very few measures related to tackling wildlife crime within protected areas

[34] Some baseline data may exist for EKZNW but baseline is to be assessed at project inception

Project Objective	Objective level Indicators	Baseline	Targets and Monitoring Milestones (MTE - mid-term evaluation; EoP – end of project)	Means of Verification	Assumptions & Risks	UNEP MTS (2014-2017) reference
	Operating Procedures set up[33]					
COMPONENT 1	**Use of forensic technology to combat rhino poaching and the illegal rhino horn trade**					
Project Outcome	**Outcome Indicators**	**Baseline**	**Targets and Monitoring Milestones**	**Means of Verification**	**Assumptions & Risks**	**MTS Expected Accomplishment (2014-2017)**
Outcome 1.1 Improved and more effective forensic capacity (techniques, procedures, training, equipment and institutional arrangements) to combat rhino poaching in South Africa's protected areas and the associated illegal trade in rhino horn, with service providers put onto a sustainable financial and institutional footing	1.1.1 Establishment of a South Africa Environmental Forensics Service (linked to RhODIS) within the SAPS with identified sustainable financing set out in a Business Plan 1.1.2 Wildlife Crime Investigation and Forensic Collection	1.1.1 No integrated, dedicated environmental forensic service in South Africa. Such provision is piecemeal and largely uncoordinated involving several state and private	1.1.1 MTE– establishment of Environmental Forensic Section within SAPS EoP –establishment of Environmental Forensic Service with sustainable financing identified	1.1.1 Progress and achievement can be tracked through correspondence, minutes of meetings, etc, with its establishment detailed in official government documents. PM will collect data. 1.1.3 - Delivery of the Wildlife Crime	Assumption - Value of forensics in fighting wildlife crime is understood and accepted, and forensic evidence widely adopted in criminal trials Risk – financial resources for fighting wildlife crime will be diverted into	Environmental Governance Expected Accomplishment (b): *"the capacity of countries to develop and enforce laws and strengthen institutions to achieve internationally agreed environmental*

[33] This indicator should be further refined at project inception, in consultation with the IUCN AfRSG. For instance, suggestion is that the project could assess the proportion of Scenes of Crime where Standard Operating Procedures (SOPs)'s were followed. This would be an indicator of success as roll out of SOP's to areas that don't have them and with more training should result in fewer crime scenes being sub-optimally surveyed. This is also an potential indicator for inclusion in future versions of the METT as it would indicate one dimension of 'improved management effectiveness'.

Project Objective	Objective level Indicators	Baseline	Targets and Monitoring Milestones (MTE - mid-term evaluation; EoP – end of project)	Means of Verification	Assumptions & Risks	UNEP MTS (2014-2017) reference
	Kits (combined DNA, ballistics, and other forensic-related crime scene equipment and manuals) and Mobile Units deployed at target PAs and other Key and Important rhino population sites experiencing poaching 1.1.3 % DNA profiles obtained as part of investigations and prosecutions for poaching or illegal trade in rhino horn, and results of DNA analysis used, as appropriate, in cases brought to court (DNA results will not always be relevant or a requirement for successful prosecution)	sector institutions 1.1.2 At present some elements of the Kits and Mobile Units exist but these are not integrated and available across all the target PAs or Key or Important rhino areas 1.1.3 No information exists at present and needs to be collected at inception stage for 2013	1.1.2 MTE – all developed and operational at target PAs and other Key and Important rhino population experiencing poaching 1.1.3 MTE – DNA profiles collected from 95% of all rhino poaching scenes and results of DNA analysis used, as appropriate, in 80% cases brought before court EoP – DNA samples collected from 100% of all rhino poaching scenes and results of DNA analysis used, as appropriate, in 100% cases brought before court	Investigation and Forensic Collection Kits and Mobile Units can be easily documented, and checks on PA annual reports show their use (also included in inventory of PA equipment) 1.1.3 Police files and court records. SAPS included as senior partner in GEF project so this information is accessible and will be collected by PM 1.1.4 Police and court records provided by SAPS and collected by PM 1.1.5 Data on number of records held on	addressing increasing human crime cases due to limited public sector budgets	*objectives and goals and comply with related obligations is enhanced"*

Project Objective	Objective level Indicators	Baseline	Targets and Monitoring Milestones (MTE - mid-term evaluation; EoP – end of project)	Means of Verification	Assumptions & Risks	UNEP MTS (2014-2017) reference
	1.1.4 Annual number of court cases being dismissed as a result of poor scene of crime collection protocols or lack of implementation of improved protocols 1.1.5 Number of DNA samples analyzed/day (throughout) for individual black and white rhinos by VGL	1.1.4 Baseline for 2013 collected during inception period 1.1.5 Baseline currently lacking and will be provided by VGL at project inception	1.1.4 MTE – 50% reduction in number cases being rejected due to poor scene of crime collection protocols or lack of implementation of improved protocols EoP - No cases rejected due to poor scene of crime collection protocols or lack of implementation of improved protocols 1.1.5[35] MTE– increase in samples and analysis rate by 20% over baseline EoP – increase in samples and analysis rate by 40% over baseline	database at VGL, their provenance, and rate of analysis is available through VGL reports and will be provided to PM		

[35] Actual realistic target value to be defined by at inception by project technical team

Project Objective	Objective level Indicators	Baseline	Targets and Monitoring Milestones (MTE - mid-term evaluation; EoP – end of project)	Means of Verification	Assumptions & Risks	UNEP MTS (2014-2017) reference
Related Outputs						
1.1.1: Critical resources (equipment, personnel, etc) at key public- and private-sector wildlife forensics facilities, notably the Veterinary Genetics Laboratory (VGL) at the University of Pretoria and SAPS Forensics Laboratories, are provided to improve identification and tracking of rhino horns for enforcement purposes						
1.1.2 New wildlife forensic approaches and techniques to tackle rhino poaching and associated illegal sale of rhino horn developed and piloted for adoption in South African Pas						
1.1.3 Wildlife crime scene investigation protocols (SOPs) and other relevant procedures reviewed, revised and formalized, and essential wildlife crime scene and forensics equipment provided						
1.1.4 Targeted training and awareness-raising programmes on the relevance and collection of forensic evidence for tackling wildlife crime in South Africa delivered to specific groups dealing with criminal cases involving rhinos						
1.1.5 Initial steps taken for the establishment of a dedicated institutional structure in South Africa (provisionally an Environmental Forensic Section) to coordinate and analyse all wildlife forensic evidence, initially focused on rhinoceros						
COMPONENT 2	**Information sharing and analysis for more effective law enforcement among national actors to tackle rhino poaching and the illegal trade in rhino horn**					
Project Outcome	**Outcome Indicators**	**Baseline**	**Targets and Monitoring Milestones**	**Means of Verification**	**Assumptions & Risks**	**MTS Expected Accomplishment (2014-2017)**

Project Objective	Objective level Indicators	Baseline	Targets and Monitoring Milestones (MTE - mid-term evaluation; EoP – end of project)	Means of Verification	Assumptions & Risks	UNEP MTS (2014-2017) reference
Outcome 2.1 Improved gathering and analysis of relevant data and enhanced national coordination platforms for information management and threat forecasting to combat rhino poaching and the associated illegal trade in rhino horn within and outside South Africa's Protected Areas system	2.1.1 Basic set of crime scene information to be collected at a rhino poaching incidents agreed among key rhino conservation and law enforcement agencies and incorporated within all the data collection systems linking to the Wildlife Crime Analysis and Forecasting Tool (WCAFT) 2.1.2 Wildlife Crime Analysis and Forecasting Tool (WCAFT) developed and rolled out 2.1.3 Number of key organised crime group members involved in rhino poaching and	2.1.1 No agreements at present, no linkage to central analytical system and at present there is no single list of all the information that is needed to better forecast potential poaching activity 2.1.2 No such meta tool currently exists 2.1.3 no WCAFT in place	2.1.1 MTE target – agreements on crime scene information to be collected finalized and published 2.1.2 MTE – design and operational arrangements of WCAFT completed EoP – WCAFT being used to forecast crime for at least one year of operation 2.1.3 MTE– WCAFT Steering Committee members to decide on appropriate targets at project inception EoP – WCAFT Steering Committee members to decide on appropriate	2.1.1 The development of the list and the incorporation of variables into existing database/data gathering structures can be monitored through minutes of meetings, project progress reports, etc, and the final list of crime scene information needs will be produced as a report by the PM 2.1.2 Progress towards delivery can be measured through minutes of meetings, etc. Product is a specific software and hardware system overseen by a high-level steering committee so can be monitored by contracts for its development, etc. Records kept by the PM.	Assumption – analyses and forecasts can be quickly translated into field action (in other words, there is sufficient capacity in the field to use the improved data gathering, analysis and forecasting from the WCAFT in law enforcement efforts) Risk – mistrust between the various groups holding relevant information on either rhino conservation and management and crime and law enforcement databases is too difficult to overcome and trust declines, particularly in relation to sharing of crime-related data	Environmental Governance Expected Accomplishment (b): *"the capacity of countries to develop and enforce laws and strengthen institutions to achieve internationally agreed environmental objectives and goals and comply with related obligations is enhanced"*

Project Objective	Objective level Indicators	Baseline	Targets and Monitoring Milestones (MTE - mid-term evaluation; EoP – end of project)	Means of Verification	Assumptions & Risks	UNEP MTS (2014-2017) reference
	the illegal trade in horn that have been successfully prosecuted and neutralised as a direct result of the use of the Wildlife Crime and Analysis Tool)[36]		targets at project inception	2.1.3 Data on successfully finalised cases would be provided by the police and/or judicial sources and not from open sources (e.g. media).		
Related Outputs						
2.1.1 Systems for gathering key information on individual rhinos, including their DNA, populations, movements (restricted activities) and provenance and relevant crime and law enforcement data are improved, and available to key vetted national and provincial wildlife and enforcement agencies (DEA, SANParks, SAPS) through secure, linked databases						
2.1.2 A Wildlife Crime Analysis and Forecasting Tool (WCAFT) that links the key rhino management and conservation and crime and law enforcement databases, developed to analyse restricted activities[37] related to rhinos, e.g. poaching and illegal trade, and to better forecast and prioritise action against potential future restricted activities, which can then be mapped within Pas						
COMPONENT 3	**Cooperation and exchange at the international level to tackle poaching and the illegal trade along the whole trafficking chain**					
Project Outcome	**Outcome Indicators**	**Baseline**	**Targets and Monitoring Milestones**	**Means of Verification**	**Assumptions & Risks**	**MTS Expected Accomplishment (2014-2017)**

36 The validity of this Indicator and associated targets are to be further discussed at project inception by WCAFT Steering Committee and particularly with SAPS, DEA and CITES

[37] These are defined under South African National Environmental Management: Biodiversity Act 10 of 2004

Project Objective	Objective level Indicators	Baseline	Targets and Monitoring Milestones (MTE - mid-term evaluation; EoP – end of project)	Means of Verification	Assumptions & Risks	UNEP MTS (2014-2017) reference
Outcome 3.1 Improved cooperation and exchange between South Africa and other relevant countries to tackle poaching of rhinos and the illegal trade in rhino horn along the whole trafficking chain	3.1.1 Bilateral Plans of Action (PoAs) between South Africa and key countries involved in the transit or receipt of illegal rhino horn that include activities to strengthen law enforcement activities to address rhino poaching and the illegal trade in rhino horn 3.1.2 Clear protocols for exchange of rhino DNA samples and profiles are in place at international level 3.1.3 Number of DNA profiles and samples for individual black and white rhinos in	3.1.1 MoU between SA and Vietnam agreed 2012, but no Plan of Action yet agreed or operational 3.1.2 No protocols currently exist 3.1.3 Baseline currently lacking and needs to be provided by Dr Cindy Harper at VGL	3.1.1 MTE target – 1 PoA agreed and operational (Vietnam) TE target – at least 2 other PoAs (could include China, Mozambique and Thailand) agreed and operational 3.1.2 MTE – international protocols in place 3.1.3[38] MTE– increase in profiles and samples 20% over baseline	3.1.1 PoAs are documents hence measureable. Minutes of meetings between party governments would allow progress to be monitored. DEA will provide documents to PM 3.1.2 Protocols will be recorded in formal legal documents 3.1.3 Data on number of records held on database at VGL and their provenance are available through VGL reports and will be provided to PM	Assumption – capacity at international level, especially within relevant enforcement authorities in Vietnam, China and Mozambique will be sufficient to execute these protocols Assumption – there is sufficient and continued political will and interest within enforcement agencies in rhino horn recipient and transit and recipient countries to maintain engagement with South Africa on sharing information and cooperation, even following	Environmental Governance Expected Accomplishment (b*): "the capacity of countries to develop and enforce laws and strengthen institutions to achieve internationally agreed environmental objectives and goals and comply with related obligations is enhanced"*

[38] Actual realistic target value to be defined by at inception by project technical team

Project Objective	Objective level Indicators	Baseline	Targets and Monitoring Milestones (MTE - mid-term evaluation; EoP – end of project)	Means of Verification	Assumptions & Risks	UNEP MTS (2014-2017) reference
	South Africa and rest of world held within VGL database 3.1.4 Number of enforcement personnel from key transit and destination countries trained in rhino DNA sample collection and provided with Forensic Collection Kits	3.1.4 Current baseline unclear and will be collected during inception period	EoP – increase in profiles and samples 40% over baseline 3.1.4[39] MTE – A people trained and B kits dispensed EoP– C people trained and D kits dispensed	3.1.4 Records and evaluation reports of training workshops, and delivery receipts for DNA sample kits and Forensic Collection Kits, collected and maintained by PM	changes to political administrations	
Related Outputs						
3.1.1 Sections of the Action Plans (APs) for the Memoranda of Understanding (MoUs) and other appropriate agreements between South Africa and other relevant countries dealing with rhino poaching and illegal trade in rhino horn implemented						
3.1.2 Procedures established, 'good practice' captured and disseminated, and capacity built, for the exchange of relevant data and samples of illegally traded parts and derivatives (with a focus on rhinos) between South Africa and relevant national and international enforcement agencies, such as ICCWC members and other relevant organisations, to assist with forensic investigations						
3.1.3 RhODIS upgraded to become the global standard and database for collection and storage of rhino DNA and profiles						

[39] Actual realistic target values for A,B and C,D to be defined by at inception by project technical team

4. Executing Arrangements

5. UNEP will be the GEF implementing agency and the Department of Environmental Affairs (DEA) within the Ministry of Water and Environmental Affairs, South Africa will be Executing Agency (EA) for the Project. The EA will be responsible for the coordination, management and day-to-day administration of the project and its delivery in accordance with the outcomes, outputs and activities outlined in the this document. The DEA was responsible for national project oversight to ensure the proper coordination of project activities and will liaise with key stakeholders, especially other governmental ministries and institutions.

6. The DEA also coordinated with the proposed UNDP/GEF project "Improving Management Effectiveness of the Protected Area Network" (GEF ID 4848), implemented though SANParks and other partners, thus optimizing synergy and complementarity of efforts.

7. The DEA provided a Project Implementation Unit (PIU) and employed a Project Manager whose responsibilities included: coordinating the development of annual work plans, overseeing implementation of all project activities, coordinating monitoring and evaluation activities and reports for UNEP and GEF, and managed the project execution arrangements. The GEF Project Manager acted as the project focal point for the other partner organizations and outside bodies, and manage sub-contracts with other organizations or individuals. The DEA provided additional support for project activities through the input of other relevant staff.

8. The GEF Project Manager, based within the DEA's Legal Authorisations, Compliance and Enforcement Branch (LACE), was responsible for the day-to-day delivery of the project, specifically within the Chief Directorate: Enforcement. The DEA led on developing and implementing those components of the MoUs and Actions Plans signed between the governments of South Africa and rhino range states e.g. Vietnam, which deal with addressing the illegal trade in rhino horn (outputs 3.1.1 and 3.1.2). The National Wildlife Information Management Unit (NWIMU) together with the Endangered Species Section (ESS) within the Organised Crime Unit (OCU) of SAPS led on the delivery of project activities relating to information management and development of the wildlife crime analysis and forecasting tool (Outputs 2.1.1 and 2.1.2).

9. The DEA was accountable to UNEP to ensure that all technical and financial aspects of the project are timely executed and converted into the intended outcomes outlined in this document. DEA's responsibilities will include: coordinating the development of annual work plans, overseeing implementation of all project activities, coordinating monitoring and evaluation activities and reports, and managing the project execution arrangements described in this section. DEA will coordinate and maintain extensive and continued stakeholder consultations at national and international level to support all components of the project within the framework of (a) DEA's and SANParks mandate and role, and (b) as part of the regular consultative mechanism established as part of the ongoing implementation of the National Rhino Conservation Strategy of SA and SADC Region. Internationally, coordination will also be facilitated by DEA in collaboration with the

CITES Secretariat. This will ensure continued coordination with all other ICCWC partners including the INTERPOL, the United Nations Office on Drugs and Crime (UNODC), the World Bank and the World Customs Organization (WCO).

10. The DEA oversees the national parks system in South Africa and is thus already working closely with the wide range of national partners involved in rhino conservation in the country. The DEA also plays an important role at the regional level as a lead partner in the implementation of the Regional Rhino Conservation Strategy for the SADC Region, and is thus already working closely with all other countries hosting remaining populations of rhinos. Furthermore, the DEA and CITES Secretariat have worked closely to address the illegal trade of rhino horns (as well as on several other species listed under the CITES) for many years. The DEA is therefore best positioned to lead the project and will coordinate activities with all partners at the national and international level, as an integral part of its mandate and ongoing work. The project will be executed as an element of the ongoing Action Plan for the implementation of the SA Rhino Conservation Strategy, as well as within the framework of the SADC Rhino Conservation Strategy. This arrangement will help ensure full coordination, added value and maximum complementarity with other relevant ongoing initiatives at national and regional level, as well as long-term sustainability of project outcomes.

11. UNEP, as the GEF Implementing Agency, was responsible for overall project supervision to ensure consistency with GEF and UNEP policies and procedures, will provide guidance on linkages with related UNEP and GEF-funded activities, monitor implementation of the project activities and will clear and transmit the financial and progress reports to GEF. Additionally, UNEP will be responsible for reviewing and approving the substantive and technical reports produced according to work schedule, and will provide the linkages with major international conventions and international environmental conservation networks and fora. UNEP has a Liaison Office in Pretoria, South Africa that will facilitate project implementation and contacts with partners at the country level. UNEP HQ is also located within the same sub-region thus allowing more cost-effective and more frequent visits to South Africa by UNEP HQ staff as necessary. In addition, UNEP staff based at UNEP HQ in Nairobi are involved in coordinating related initiatives (and with some of the same partners) entailing the development and application of forensic-based technologies for other wildlife species, such as elephants and Great Apes, who will provide technical support to the project.

12. An executive project Steering Committee wasresponsible for overall project oversight and guidance, reviewing general project progress and the monitoring and evaluation reports will also be established by the DEA, comprising representatives from the main stakeholders, including DEA, UNEP, SAPS, SANParks, WWF-SA, University of Pretoria VGL, IUCN's SSC African Rhino Specialist Group, the Private Rhino Owners Association and other NGOs. For many steering committee meetings, this was an expanded group based on the Project Development Working Group (PDWG) which was a small group of stakeholder representatives convened during the Project Preparation Phase (PPG) to advise on and guide the design and development of the GEF project and delivery of the Project Document and CEO Endorsement Request. The Committee discussed project progress as well as other issues relevant to wildlife crime prevention. The Project Manager will provide administrative support to the Steering Committee and acted as its secretary and chaired some of these meetings as well.

5. Project Cost and Financing

13. Total estimated project cost at design, broken down per component and per funding source.

Project Component	Expected Outcomes	Expected Outputs	Grant Amount ($)	Confirmed Cofinancing ($)
1. Use of forensic technology to combat rhino poaching and the illegal rhino horn trade	1.1 Improved and more effective forensic capacity (techniques, procedures, training, equipment and institutional arrangements) to combat rhino poaching in South Africa's protected areas and the associated illegal trade in rhino horn, with service providers put onto a sustainable financial and institutional footing	1.1.1 Critical resources (equipment, personnel, etc) at key public- and private-sector wildlife forensics facilities, notably the Veterinary Genetics Laboratory (VGL) at the University of Pretoria and SAPS Forensics Laboratories, are provided to improve identification and tracking of rhino horns for enforcement purposes 1.1.2 New wildlife forensic approaches and techniques to tackle rhino poaching and associated illegal sale of rhino horn developed for adoption in South Africa's PAs 1.1.3 Wildlife crime scene investigation protocols (SOPs) and other relevant procedures reviewed, revised and formalized, essential wildlife crime scene and forensics equipment provided 1.1.4 Targeted training and awareness-raising programmes delivered to specific groups dealing with criminal cases involving rhinos on the relevance and collection of forensic evidence for tackling wildlife crime in South Africa	1,481,001	11,800,000

		1.1.5 Initial steps taken for the establishment of a dedicated institutional structure in South Africa (provisionally an Environmental Forensic Section) to coordinate and analyse all wildlife forensic evidence, initially focused on rhinoceros		
2. Information sharing and analysis for more effective law enforcement among national actors to tackle rhino poaching and the illegal trade in rhino horn	2.1 Improved gathering and analysis of relevant data and enhanced national coordination platforms for information management and threat forecasting to combat rhino poaching and the associated illegal trade in rhino horn within and outside South Africa's Protected Areas system	2.1.1 Systems for gathering key information on individual rhinos, including their DNA, populations, movements (restricted activities), provenance and relevant crime and law enforcement data are improved, and available to key vetted national and provincial wildlife and enforcement agencies (DEA, SANParks, SAPS) through secure, linked databases 2.1.2 A Wildlife Crime Analysis and Forecasting Tool (WCAFT) that links the key rhino management and conservation and crime and law enforcement databases, developed to analyse restricted activities related to rhinos, e.g. poaching and illegal trade, and better forecast and prioritise action against potential future restricted activities, which can then be mapped within Pas	652,000	6,750,000
3. Cooperation and exchange at the international level to tackle poaching and the illegal trade along the whole trafficking chain	3.1 Improved cooperation and exchange between South Africa and other relevant countries to tackle poaching of rhinos and the illegal trade in rhino horn along the whole trafficking chain	3.1.1 Sections of the Action Plans (APs) for the Memoranda of Understanding (MoUs) and other appropriate agreements, between South Africa and other relevant countries dealing with rhino poaching and illegal trade in rhino horn implemented 3.1.2 Procedures established, 'good practice' captured and disseminated, and capacity built, for the exchange of relevant data	329,000	3,500,000

		and samples of illegally traded parts and derivatives (with a focus on rhinos) between South Africa and relevant national and international enforcement agencies, such as ICCWC members and other relevant organisations, to assist with forensic investigations 3.1.3 RhODIS upgraded to become the global standard and database for storage of rhino DNA and profiles		
GEF TF	83,000			580,000
GEF TF	2,545,001			22,630,000
GEF TF	145,545			1,165,000
	2,690,455			23,795,000

Sources of Co-financing	**Name of Co-financier (source)**	**Type of Cofinancing**	**Cofinancing Amount** ($)	**Co – financing rcvd($)**
National Government[40]	DEA	Cash	1,803,000	Cash 19,298,668
National Government	DEA	In-kind	4,207,000	4,207,000
National Government	DEA/SANParks	Cash	4,128,000	15,869,983
National Government	DEA/SANParks	In-kind	9,632,000	37,029,960
CSO	VGL University of Pretoria	In-kind	1,400,000	1,572,260

[40] National government: the Dept. of Environmental Affairs DEA. SANParks is the national park authority

Reports to DEA. SANparks also receives funding from DEA.

CSO	WWF SA	Cash	149,000	149,000
CSO	WWF SA	In-kind	1,276,000	1,700,831
CSO	EWT		100,000	108,745
CSO	CSIR	In-Kind	600,000	924,622
CSO	PPF	In-kind	1,000,000	1,178,000
Other Multilateral Agencies	ICCWC Partnership	In-kind	300,000	1,963,000 (ICCWC-CITES)
Other Multilateral Agencies	CITES Secretariat	In-kind	800,000	See above
GEF Agency	UNEP	In-kind	100,000	0
Total Co-financing			**23,795,000**	84,082,069
Total co-financing indicated at PIF stage:			***11,659,174***	

Source- of Co-financing received: Budget allocation changes as per PIR 20 June 2018

14. There were 6 informal Budget Revisions over the life of the project:

- 2015 moved 10k from legal to Programmme Assistant's salary
- 2015 - CSIR joined as a co-financing partner
- 2016-EWT joined as co-financing partner
- 2017-PPF joined as co-financing partner
- 2017 60,000 removed for external evaluation and said all budget lines could be ignored from then on.
- 2018-UNEP added back 80,000 that was double counted for PM's salary and 30,000 not needed for the external evaluation.

15. Direct leveraging in support of the program:

- U.S. Dept. of State INL Grants: $3,000,000 -2014-In support of Outcomes 1&2 Ranger Equipment and Communications Equip.
- $1,800,000-2015-In support of Outcomes 1&2. Communications and Crime Analysis Training.
- $900,000 for CSIR and EWT for their C-More support activities that assisted in Outcome 2.
- $731,000 grant to EWT that supported an existing programme to enable the training of over 1,000 EMI rangers.
- 2017-2019. $2,600,000 combined grants to PPF with roughly a 50:50 split for Outcome 2 projects at Kruger National Park and Kwa Zulu Natal Province

- 2018-INL $925,000 grant to TRAFFIC, which included the purchase of 3 additional 4x4 forensic trailers, identical to the ones we bought, bringing the total number of fully equipped trailers to 10 (5 GEF funded and 5 INL funded).

16. In-direct leveraging in the support of anti-poaching at Kruger National Park:

- $7,242,329-Buffet Foundation donation to Kruger National Park to fight rhino poaching.
- $7,380,000 from Peace Parks Foundation to Kruger National Park to fight rhino poaching.
- $61,668,538-Special Projects
- $39,415,501-Expanded Public Works Programme
- $627,769-Limpopo Transfrontier Park
- $2,709,077-Mellon Foundation
- $31,826,000-Theta
- $27,636,846-Other

6. Implementation Issues

17. An initial increase in poaching, ongoing reluctance amongst law enforcement agencies to share information, an onerous procurement system and new developments in technology.

18. Poor oversight from UN Environment- affected project reporting where indicators in project design document were different from the sub – set of these indicators-akin to output level indicators - reported on in PIRs.

19. The project steering committee functionality and scope varied from the intended design

Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION

7. Key Evaluation principles

20. Evaluation findings and judgements should be based on sound evidence and analysis, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

21. The “Why?” Question. As this is a terminal evaluation and a follow-up project is likely [or similar interventions are envisaged for the future], particular attention should be given to learning from the experience. Therefore, the “Why?” question should be at the front of the consultants’ minds all through the evaluation exercise and is supported by the use of a theory of change approach. This means that the consultants need to go beyond the assessment of “what” the project performance was, and make a serious effort to provide a deeper understanding of “why” the performance was as it was. This should provide the basis for the lessons that can be drawn from the project.

22. Baselines and counterfactuals. In attempting to attribute any outcomes and impacts to the project intervention, the evaluators should consider the difference between what has happened with, and what would have happened without, the project. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended project outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

23. Communicating evaluation results. A key aim of the evaluation is to encourage reflection and learning by UN Environment staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons. Clear and concise writing is required on all evaluation deliverables. Draft and final versions of the main evaluation report will be shared with key stakeholders by the Evaluation Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The Evaluation Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

8. Objective of the Evaluation

24. In line with the UN Environment Evaluation Policy41 and the UN Environment Programme Manual42, the Terminal Evaluation (TE) is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment and DEA. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

9. Key Strategic Questions

25. In addition to the evaluation criteria outlined in Section 10 below, the evaluation will address the strategic questions listed below. These are questions of interest to UN Environment and to which the project is believed to be able to make a substantive contribution:

[41] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx
[42] http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf . *This manual is under revision.*

- What progress towards strengthening law enforcement capabilities to combat wildlife crime and sustainable use of species in South Africa would there have been without the project over the last 4-5 years?

10. Evaluation Criteria

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

Strategic Relevance

27. The evaluation will assess, in line with the OECD/DAC definition of relevance, 'the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor'. The evaluation will include an assessment of the project's relevance in relation to UN Environment's mandate and its alignment with UN Environment's policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made.

28. This criterion comprises four elements:

i. *Alignment to the UN Environment Medium Term Strategy[43] (MTS) and Programme of Work (POW)*

The evaluation should assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

ii. *Alignment to UN Environment / Donor/GEF Strategic Priorities*

Donor, including GEF, strategic priorities will vary across interventions. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building44 (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

iii. *Relevance to Regional, Sub-regional and National Environmental Priorities*

[43] UN Environment's Medium Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.
[44] http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf

The evaluation will assess the extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented. Examples may include: national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc.

iv. *Complementarity with Existing Interventions*

An assessment will be made of how well the project, either at design stage or during the project mobilization, took account of ongoing and planned initiatives (under the same sub-programme, other UN Environment sub-programmes, or being implemented by other agencies) that address similar needs of the same target groups . The evaluation will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UN Development Assistance Frameworks or One UN programming. Linkages with other interventions should be described and instances where UN Environment's comparative advantage has been particularly well applied should be highlighted.

29. Factors affecting this criterion may include:

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

Quality of Project Design

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

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

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

C. Nature of External Context

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

D. Effectiveness

Delivery of Outputs

31. The evaluation will assess the project's success in producing the programmed outputs (products, capital goods and services resulting from the intervention) and achieving milestones as per the project design document (ProDoc). Any formal modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the TOC. In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The delivery of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their delivery. The evaluation will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision45

Achievement of Direct Outcomes

32. The achievement of direct outcomes (short and medium-term effects of the intervention's outputs; a change of behaviour resulting from the use/application of outputs, which is not under the direct control of the intervention's direct actors) is assessed as performance against the direct outcomes as defined in the reconstructed46 Theory of Change. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. As in 1, above, a table can be used where substantive amendments to the formulation of direct outcomes is necessary. The evaluation should report evidence of attribution between UN Environment's intervention and the direct outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UN Environment's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the direct outcomes realised.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Communication and public awareness

i. Likelihood of Impact

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

[46] UN Environment staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the evaluation.

33. Based on the articulation of longer term effects in the reconstructed TOC (i.e. from direct outcomes, via intermediate states, to impact), the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long term impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, https://www.unenvironment.org/about-un-environment/evaluation and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from direct outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

34. The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.47

35. The evaluation will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication48 as part of its Theory of Change and as factors that are likely to contribute to longer term impact.

36. Ultimately UN Environment and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the high-level changes represented by UN Environment's Expected Accomplishments, the Sustainable Development Goals49 and/or the high level results prioritised by the funding partner.

Factors affecting this criterion may include:

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

E. Financial Management

37. Financial management will be assessed under two themes: completeness of financial information and communication between financial and project management staff. The evaluation will establish the actual spend across the life of the project of funds secured

[47] Further information on Environmental, Social and Economic Safeguards (ESES) can be found at http://www.unep.org/about/eses

[48] *Scaling up* refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer term objective of pilot initiatives. *Replication* refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

[49] A list of relevant SDGs is available on the EO website www.unep.org/evaluation

from all donors. This expenditure will be reported, where possible, at output level and will be compared with the approved budget. The evaluation will assess the level of communication between the Project/Task Manager and the Fund Management Officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach. The evaluation will verify the application of proper financial management standards and adherence to UN Environment's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision

F. Efficiency

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

39. The evaluation will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency. The evaluation will also consider the extent to which the management of the project minimised UN Environment's environmental footprint.

40. The factors underpinning the need for any project extensions will also be explored and discussed. As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to implementing parties.

Factors affecting this criterion may include:

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

G. Monitoring and Reporting

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

i. Monitoring Design and Budgeting

42. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART50 indicators towards the delivery of the projects outputs and achievement of direct outcomes, including at a level disaggregated by gender, vulnerability or marginalisation. The evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

ii. Monitoring of Project Implementation

43. The evaluation will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. This should include monitoring the representation and participation of disaggregated groups (including gendered, vulnerable and marginalised groups) in project activities. It will also consider how information generated by the monitoring system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The evaluation should confirm that funds allocated for monitoring were used to support this activity.

iii. Project Reporting

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

Factors affecting this criterion may include:

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

H. Sustainability

45. Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes (ie. ‘assumptions’ and ‘drivers’). Some factors of sustainability may be embedded in the project design and implementation approaches while others

[50] SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of direct outcomes may also be included.

i. Socio-political Sustainability

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

ii. Financial Sustainability

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

iii. Institutional Sustainability

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

Factors affecting this criterion may include:

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

Factors and Processes Affecting Project Performance

(These factors are rated in the ratings table, but are discussed within the Main Evaluation Report as cross-cutting themes as appropriate under the other evaluation criteria, above)

i. Preparation and Readiness

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

ii. Quality of Project Management and Supervision

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

51. The evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); communication and collaboration with UN Environment colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive management should be highlighted.

iii. Stakeholder Participation and Cooperation

52. Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs and target users of project outputs and any other collaborating agents external to UN Environment. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups should be considered.

iv. Responsiveness to Human Rights and Gender Equity

53. The evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the evaluation will assess to what extent the intervention adheres to UN Environment's Policy and Strategy for Gender Equality and the Environment.

54. In particular the evaluation will consider to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to, and the control over, natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

v. Country Ownership and Driven-ness

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

vi. Communication and Public Awareness

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

Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES

57. The Terminal Evaluation will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings. Where applicable, the consultant(s) should provide a geo-referenced map that demarcates the area covered by the project and, where possible, provide geo-reference photographs of key intervention sites (e.g. sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.)

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

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

- Relevant background documentation, inter alia list of documents in drop box
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;

- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;
- Project outputs: (dropbox)
- Mid-Term Review or Mid-Term Evaluation of the project;
- Evaluations/reviews of similar projects.
- Relevant resource person discussions as necessary:

11. Evaluation Deliverables and Review Procedures

59. The evaluation consultant will prepare:

    - **Preliminary Findings Note:** Typically in the form of a powerpoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings. In the case of highly strategic project/portfolio evaluations or evaluations with an Evaluation Reference Group, the preliminary findings may be presented as a word document for review and comment.
    - Draft and Final Evaluation Report: (see links in Annex 1) containing an executive summary that can act as a stand-alone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.
    - Evaluation **Bulletin:** a 2-page summary of key evaluation findings for wider dissemination through the EOU website.

60. **Review of the draft evaluation report**. The evaluation consultant will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation consultant where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation consultant for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

61. Based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.

62. The Evaluation Manager will prepare a quality assessment of the first and final drafts of the main evaluation report, which acts as a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the

criteria specified in template listed in Annex 1 and this assessment will be appended to the Final Evaluation Report.

63. At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals by the Task Manager. The Evaluation Office will track compliance against this plan on a six monthly basis.

12. The Evaluation Consultant

64. For this evaluation, the evaluation will be conducted by an evaluation consultant who will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager, Zahra Hassanali, in consultation with the UN Environment Task Manager Jane Nimpamya, Fund Management Officer, Paul Vrontamitis and the Sub-programme Coordinators of the [Ecosystems [name]. The consultant will liaise with the Evaluation Manager on any procedural and methodological matters related to the evaluation. It is, however, the consultants' individual responsibility to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UN Environment Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

65. The consultant will be hired for 6 months spread over the period [July/ 2018 to 1 Dec/2018] and should have: an advanced university degree in environmental sciences, international development or other relevant political or social sciences area; a minimum of 10 years of technical / evaluation experience, including of evaluating large, regional or global programmes and using a Theory of Change approach; a broad understanding of managing similar conservation projects; excellent writing skills in English and, where possible, knowledge of the UN system, specifically of the work of UN Environment. Experience in managing partnerships, knowledge management and communication is desirable for all evaluation consultants.

66. The consultant will be responsible, in close consultation with the Evaluation Office of UN Environment, for overall management of the evaluation and timely delivery of its outputs, described above in Section 11 Evaluation Deliverables, above. The consultant will ensure that all evaluation criteria and questions are adequately covered.

67. Specifically, the Evaluation Consultant will undertake the following:

- In close consultation with the Evaluation Manager, the Evaluation Consultant will be responsible for the overall management of the evaluation and timely delivery of its outputs, data collection and analysis and report-writing. More specifically:

68. Data collection via desk review and analysis phase of the evaluation, including:

- conduct desk review and discussions as necessary with project implementing and executing agencies, project partners and project stakeholders;
- regularly report back to the Evaluation Manager on progress and inform of any possible problems or issues encountered and;

- keep the Project/Task Manager informed of the evaluation progress and engage the Project/Task Manager in discussions on emerging findings throughout the evaluation process.

69. Reporting phase, including:

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

70. Managing relations, including:

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

13. Schedule of the evaluation

Table 3. Tentative schedule for the evaluation

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

Milestone	**Tentative Dates**
Data collection/ Desk review and analysis	7 Dec 2018
Powerpoint/presentation on preliminary findings and recommendations	15 Dec 2018
Draft report to Evaluation Manager (and Peer Reviewer)	15 Jan 2019
Draft Report shared with UN Environment Project Manager and team (after integrating feedback)	10 Feb 2019
Draft Report shared with wider group of stakeholders	12 Feb 2019
Final Report	2 weeks after feedback 28 Feb 2019

Final Report shared with all respondents	1-2 weeks after receiving final draft with summary of recommendations Feb 2019

14. Contractual Arrangements

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

73. Fees will be paid on an instalment basis, paid on acceptance by the Evaluation Manager of expected key deliverables.

74. The schedule of payment is as follows:

Schedule of Payment for the Consultant

Deliverable	Percentage Payment
Approved Preliminary Findings Note	5%
Approved Draft Main Evaluation Report *(as per annex document 13)*	5%
Approved Final Main Evaluation Report	90%

75. Fees only contracts: Air tickets will be purchased by UN Environment and 75% of the Daily Subsistence Allowance for each authorised travel mission will be paid up front. Local in-country travel will only be reimbursed where agreed in advance with the Evaluation Manager and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

76. The consultants may be provided with access to UN Environment's Programme Information Management System (PIMS) and if such access is granted, the consultants agree not to disclose information from that system to third parties beyond information required for, and included in, the evaluation report.

77. In case the consultants are not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by the UN Environment Evaluation Office, payment may be withheld at the discretion of the Director of the Evaluation Office until the consultants have improved the deliverables to meet UN Environment's quality standards.

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

Annex H: Assessment of the Quality of the Evaluation Report

Evaluand Title:

Strengthening Law Enforcement Capabilities to Combat Wildlife Crime for Conservation and Sustainable Use of Species in South Africa: (Target – Rhinoceros)

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

	UNEP Evaluation Office Comments	Final Report Rating
Substantive Report Quality Criteria		
Quality of the Executive Summary: The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.	Final report: Concise and complete	5
I. Introduction A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.) Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?	Final report: Concise and complete	5
II. Evaluation Methods This section should include a description of how the *TOC at Evaluation*[51] was designed (who was involved etc.) and applied to the context of the project? A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/ quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and	Final report: Concise and complete	5

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

consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.). Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their experiences captured effectively, should be made explicit in this section. The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described. It should also address evaluation limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider evaluation questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome. Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views. Is there an ethics statement?		
III. The Project This section should include: • *Context:* Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses). • *Objectives and components*: Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • *Stakeholders:* Description of groups of targeted stakeholders organised according to relevant common characteristics • *Project implementation structure and partners:* A description of the implementation structure with diagram and a list of key project partners • *Changes in design during implementation:* Any key events that affected the project's scope or parameters should be described in brief in chronological order • *Project financing:* Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing	Final report: Concise and complete	5
IV. Theory of Change The *TOC at Evaluation* should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors. Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project's intentions or do not follow UNEP's definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the *TOC at Evaluation*. *The two results hierarchies should be presented as a two-column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.*	Final report: Detailed TOC compiled with contributing conditions (assumptions and drivers) identified at appropriate stages of the change process. Transparent description of how results statements from the project design documents were adjusted to support the evaluation of performance and reflect UNEP/international standards of results formulation within a results hierarchy.	5

V. Key Findings **A. Strategic relevance:** This section should include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. An assessment of the complementarity of the project at design (or during inception/mobilisation[52]), with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed: i. Alignment to the UNEP Medium Term Strategy (MTS) and Programme of Work (POW) ii. Alignment to UNEP/ Donor/GEF Strategic Priorities iii. Relevance to Regional, Sub-regional and National Environmental Priorities iv. Complementarity with Existing Interventions	Final report: Complete with good discussion	5
B. Quality of Project Design To what extent are the strength and weaknesses of the project design effectively summarized?	Final report: Strengths and weaknesses of the design appropriately discussed.	5
C. Nature of the External Context For projects where this is appropriate, key external features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval[53]), and how they affected performance, should be described.	Final report: Complete	5
D. Effectiveness **(i) Outputs and Project Outcomes:** How well does the report present a well-reasoned, complete and evidence-based assessment of the a) availability of outputs, and b) achievement of project outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention. The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.	Final report: Well-informed and well described analysis of project performance against outputs and outcomes	6

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

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

(ii) Likelihood of Impact: How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact? How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed? Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.	Final report: Detailed discussion of each Intermediate State pathway with reference to relevant assumptions and drivers	6
E. Financial Management This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table. Consider how well the report addresses the following: • *completeness* of financial information, including the actual project costs (total and per activity) and actual co-financing used • *communication* between financial and project management staff	Final report: The assessment of financial management led to prolonged discussions with the project team (both Implementing and Executing Agencies). The report reflects an assessment of financial management performance at the level of the evaluand (ie project) rather than being an assessment of each or both agencies. It was not possible to answer the question of whether a letter confirming a departmental audit had been carried, but without a copy of any audit report, meets auditing requirements definitively during the evaluation process.	4
F. Efficiency To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including: • Implications of delays and no cost extensions • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • Discussion of making use during project implementation of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. • The extent to which the management of the project minimised UNEP's environmental footprint.	Final report: Few details are provided on what measures the Executing Agency took to deliver the project within the timeframe (with one extension) and such insight might have been helpful to other project teams.	4
G. Monitoring and Reporting How well does the report assess: • Monitoring design and budgeting *(including SMART results with measurable indicators, resources for MTE/R etc.)* • Monitoring of project implementation *(including use of monitoring data for adaptive management)* • Project reporting *(e.g. PIMS and donor reports)*	Final report: Concise and complete	5
H. Sustainability	Final report:	5

How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved project outcomes including: • Socio-political Sustainability • Financial Sustainability • Institutional Sustainability	Relevant and detailed discussion of sustainability under the three sub-categories	
I. Factors Affecting Performance These factors are <u>not</u> discussed in stand-alone sections but are **integrated in criteria A-H as appropriate**. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes: • Preparation and readiness • Quality of project management and supervision[54] • Stakeholder participation and co-operation • Responsiveness to human rights and gender equity • Country ownership and driven-ness • Communication and public awareness	Final report: Discussed throughout the report. A summary of key points under some topics could have been beneficial to the reader. Although summary comments are provided in the Evaluation Ratings Table	5
VI. Conclusions and Recommendations **i. Quality of the conclusions:** The key strategic questions should be clearly and succinctly addressed within the conclusions section. It is expected that the conclusions will highlight the main strengths and weaknesses of the project and connect them in a compelling story line. Human rights and gender dimensions of the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.	Final report: Good summary. Key strategic question is only addressed in the Exec Summary	5
ii) Quality and utility of the lessons: Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.	Final report: More lessons regarding why the Executing Agency was a good choice – or what their key characteristics are that make them a good partner – would have been helpful to other project teams or UNEP staff but the UNEP evaluation process is already 'heavy'. The Evaluation Office will consider its evaluation report structure on this point.	5

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

iii) Quality and utility of the recommendations: To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results? They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when. At least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions, should be given. Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.	Final report: Recommendations relate largely to project management systems and processes. It is noted that follow on phases had already been designed and were under discussion with the GEF while the evaluation was ongoing. It is believed that considerable learning on project performance was also shared during the evaluation process.	5
VII. Report Structure and Presentation Quality		
i) Structure and completeness of the report: To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Final report: . Consistent with guidelines	5
ii) **Quality of writing and formatting:** Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?	Final report: Final report is well written	5
OVERALL REPORT QUALITY RATING		**5 Satisfactory**

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

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

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

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

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

Process Criterion Number	**Evaluation Office Comments**
11	A prolonged commenting process considerably extended the duration of the evaluation.
11	An error in the payment of fees to the consultant (a UNEP staff member with the same name was paid) took a long while to rectify and led to considerable inconvenience to the Evaluation Consultant.
15&16	Some documentation was not received and a question on the adequacy of a letter confirming a departmental audit had been carried out, but not the audit report itself was not resolved.