Initiative for Climate Action Transparency for Adaptation (ICAT-A)

Country Report

Capacity Building Needs Assessment

South Africa

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1. Introduction

A number of national and sector-specific early warning systems have been implemented in South Africa however, there is a need to improve the coordination of early warning systems in the different spheres of government. While the DAOs (Desired Adaptation Outcomes) have been developed to complement the building blocks of South Africa's monitoring and evaluation (M&E) framework (DEA, 2017) and to facilitate and focus the M&E of the country's progress towards resilience, there remain gaps in terms of M&E that need to be addressed. Based on input at a national stakeholder consultation meeting for the ICAT-A project in March 2019, it was agreed that there was a need to refine existing measures for M&E in the area of disaster risk reduction (DAO G3), as the focus area of the ICAT-A project for South Africa. Specifically the objective is to include more detail in terms of defining indicators used and assessing what can be improved. In addition, there is a need to identify gaps in the monitoring and observation network and addressing these gaps to ensure that national climate data is reliable, comparable, up to date and accessible (DEA, 2019). The purpose of this report is present the findings from the analysis of the South African stakeholder climate change adaptation M&E capacity needs assessment exercise. This qualitative exercise was undertaken to investigate the current level of capacity within key governmental and institutional organizations as climate service providers and users to undertake climate change M&E in order to identify opportunities to integrate climate change adaptation M&E within organizational strategic planning, operations, M&E systems, structure, stakeholder networks and policy work.

A stakeholder mapping of South Africa's climate services landscape was previously conducted by Environmental Resources Management towards supporting the implementation of the country's National Framework for Climate Services (NFCS) (DEA, 2016). Stakeholders identified for the ICAT project built on the mapping that was undertaken for the NFCS, with further detail provided for stakeholders specific to disaster risk reduction and early warning systems. Stakeholders identified include national government, local government, academia/research institutions, research councils, insurance companies and training institutions. The government departments are responsible for policy formulation and regulation of sectors and data provision, and local government are responsible for the implementation of national policy and development of local plans. The research councils and academic institutions provide research and development, and technical support to both government and industry.

Through a series of initial stakeholder consultations, the objective of the discussions was to assess the capacity of individual organizations to undertake the monitoring, reporting and evaluation of the effectiveness of individual adaptation actions. A series of questions, shortlisted from the guiding questions provided in the ICCCAD capacity needs assessment tool was submitted to stakeholders to assist the CSIR researchers in understanding the level of implementation of reporting and evaluation frameworks for individual projects and for reviewing organization strategy and operations. This report provides a summary of the feedback received from organizations to help recognize capacity limitations across different areas. Subsequently, results from the assessment will help identify and guide the steps that can be taken by individual organizations to contribute towards improving M&E systems for adaptation at the national level.

2. Overview of capacity needs assessment approach

Consultations with stakeholders were undertaken using skype, email and telephone Invitation requests to engage with the CSIR on capacity needs for climate change adaptation were sent out by email to the following organisations:

- National Disaster Management Centre (NDMC)
- Department of Environmental Affairs (DEA)
- Department of Human Settlements (DHS)
- Department of Water and Sanitation (DWS)
- Department of Rural Development and Land Reform (DRDLR)
- Water Research Commission (WRC)
- South African Weather Service (SAWS)
- Department of Health (DOH)
- South African Environmental Observation Network (SAEON)
- Corporative Governance and Traditional Affairs (COGTA)
- South African Local Government Association (SALGA)
- South African National Biodiversity Institute (SANBI)
- Department of Energy (DOE)
- ESKOM
- Department of Agriculture, Forestry and Fisheries (DAFF)
- Research Alliance for Disaster And Risk Reduction, (Stellenbosch University) (RADAR)
- Department of Science & Technology (DST)

The capacity assessment exercise has also been informed by a desktop review of organisation functioning and M&E based on available annual reports, strategy documents and organisation organograms which have been referred to when consulting with stakeholders. Thus far, consultations have been completed with some stakeholders. There will be a final round of engagements with remaining stakeholders to follow up on the capacity assessments which were assessed to review the scoring of the various aspects of organisational planning, systems and impact.

The series of focussed stakeholder consultations are not only conducted to gauge the level of M&E implementation but also to further refine the list of active early warning system projects, identify potential early warning case studies with a documented history of stakeholder consultation which will be use cases to test and refine the basic tools and methodologies identified for use in the ICAT-A study, as well as identify additional stakeholders relevant for inclusion in the policy-practitioner-expert dialogue platform that will be formed. These consultations will also serve to develop a better understanding of how organisations are undertaking capacity development to mainstream climate change M&E across the organisation systems and projects. The basic tools and methodologies identified in Activity 1 of this study will be discussed with stakeholders in workshops to ensure they are relevant to the country needs and how they can best be refined and utilised to ensure they are relevant to national needs.

The CSIR team have adapted the Capacity Assessment Tool for Climate Action Transparency tool by shortlisting and reframing questions in a way that is more applicable to the South African context. This context is reflected in the progress made towards capacitating organisations to provide data and information for the Climate Change Mitigation Monitoring and Evaluation System by monitoring and reporting activity data relevant for quantifying the Greenhouse Gas Emission Reductions of individual mitigation actions. The mechanisms to report on National GHG Emissions have been formalized through legislation and both public and private sector entities will be required to report on their GHG emissions under the carbon budget, sectorial emission targets and carbon tax regulations. The compliance process for the industrial sector to track and report the GHG emission reductions of individual mitigation actions have been adopted under the requirements for Pollution Prevention Plans which are incentivised through the carbon tax bill. DEA have also devised a high-level M&E tool for adaptation to track the country's progress towards implementing the National Adaptation Strategy. This tool, the DAOs lacks the detail of M&E frameworks for guiding the M&E of individual adaptation actions though. There are currently no legislative requirements in place to drive climate change adaptation M&E initiatives for organisations.

As such the questions that were shortlisted included:

1. Does the organization's mandate, vision and strategy have provisions for disaster risk reduction, climate change adaptation or sustainable development?

2. How often is the organization's strategic plan reviewed? Does the process of review follow any frameworks/guidelines for disaster risk reduction or climate change adaptation or sustainable development?

3. In your view, could additional capacity building and resources for the organization assist the organization to include climate change adaptation into the scope of its strategic plans?

4. Who are the organizations partners within its domain of work?

5. How do the organization conduct monitoring and evaluation (M&E) of its performance in relation to organizational structure and function and disaster risk reduction or climate change adaptation or sustainable development project activities? To what extent are the targets set realistic? Are the indicators qualitative or quantitative? How often is M&E undertaken? Do staff have sufficient expertise to undertake M&E? Are the staff knowledgeable about climate change M&E

6. Do the staff undertaking disaster risk reduction or climate change adaptation or sustainable development projects have sufficient access to training opportunities? Are there any specific training needs (as examples)?

7. Is M&E of gender and social inclusion undertaken for strategic planning in terms of organizational structure and operations, and for community or policy impact of projects?

8. Are any of the organization's current activities related to early warning systems? Please elaborate

9. Does the organization have access to the necessary ICT hardware and software for data collection and knowledge management, which contributes to enhancing the quality of project activities and outputs?

10. In your view, which components of the organization's financial operations could be strengthened given additional capacity building to improve the systems for tracking and reporting, with better alignment to organizational strategy and aspirations? Please elaborate, by providing a few examples.

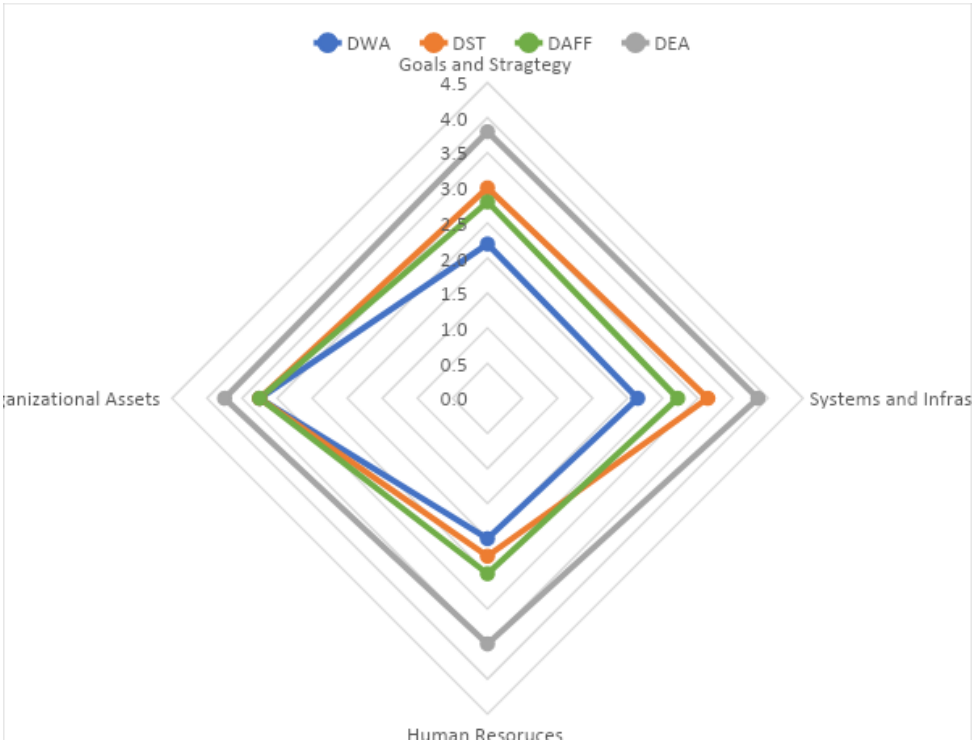
3. Current scenario of stakeholders' capacity

3.1 Stakeholder capacity assessment of national department climate service providers

The National Departments which are relevant for the provision of climate services in adaptation and disaster risk reduction include the DST, DWS, DAFF and DEA. The climate service functions fulfilled by these departments include observation and monitoring; research, modelling and prediction; information systems and users services platforms (DEA, 2016). Climate service providers have stronger capabilities for national climate change policymaking and networking as indicated in Table 1 with domestic and international governmental and non-governmental organizations engaging on climate change issues. These capabilities are demonstrated through the country's national communications on climate change to the UNFCCC and diplomatic engagements at the United Nations Climate Change conference amongst others. Climate change is communicated very clearly as a strategic objective within the annual reports of DAFF and DEA who are the core policy enablers of climate change action in the country. DWS is actively engaged with climate change adaptation in the water sector. However, relatively poor quality quantitative M&E indicators are used for climate change, and the organizational structure is not conducive to supporting an efficient M&E system in this regard. While DST does have less capacity within its systems and infrastructure (Figure 1) to support climate change adaptation M&E, the organization does have greater capacity to collate information on climate change research and development indicators through the institutions it has oversight over. Further expansion of the DAO system for tracking South Africa's climate change adaptation pathway through the inclusion of various quantitative indicators for each department thematic area would strengthen the existing M&E systems within these departments to support climate change adaptation. Additional policy mandates for the collection of adaptation data through M&E framework policy amendments will ensure that capacity is built into national government to implement the DAO system and to actively track progress on adaptation through M&E of organization performance.

Table 1: Capacity assessment scores across domains and sub-domains for national department climate service providers

	Domains		Sub-domains	Name of the Organizations			
				DST	DWS	DAFF	DEA
A	Goals and Strategy	1	Mission/Mandate	2	2	4	4
		2	Strategic planning	3	3	3	4
		3	Leadership quality	2	2	3	4
		4	Funding model	1	1	3	4
		5	Gender and social inclusion	3	3	1	3
			Total	**11**	**11**	**14**	**19**
B	Systems and Infrastructure	6	Organizational structure	1	1	3	4
		7	Inter-functional coordination	1	1	3	4
		8	Monitoring & Evaluation	1	1	3	3
		9	Knowledge Management	2	3	2	4
		10	External communication	3	3	2	4
		11	Information and communication technology (ICT)	4	2	3	4
		12	Financial operations management	3	3	3	4
			Total	**15**	**14**	**19**	**27**
C	Human Resources	13	Staffing levels	1	1	3	3
		14	Knowledge and expertise in climate change	2	2	2	4
		15	Technical skills for M&E	2	2	3	4
		16	Access to capacity building	2	2	2	3
			Total	**7**	**7**	**10**	**14**
D	Organizational Assets	17	Understanding of issue, context and role of relevant stakeholders	3	3	3	4
		18	Partners' / network development and fostering	3	3	3	3
		19	National presence and engagement	3	3	3	4
		20	Policy influence	4	4	4	4
			Total	**13**	**13**	**13**	**15**



	Name of the Organization				
	Domains	**DST**	**DWA**	**DAFF**	**DEA**
A	Goals and Strategy	3.0	2.2	2.8	3.8
B	Systems and Infrastructure	3.1	2.1	2.7	3.9
C	Human Resources	2.3	2.0	2.5	3.5
D	Organizational Assets	3.3	3.3	3.3	3.8

Figure 1: Analysis of weighted average score across domains of national department climate service providers

3.1.1 Department of Science and Technology

The DST broadly supports all fields of science and technology in the country. These include specific initiatives to support climate change (under the theme of “Developing priority science areas”) and sustainability (under the theme of “S&T for sustainable development and a green economy”) (DST, 2019). DST provides an enabling policy environment and resources to the whole national system of innovation (NSI) through the public entities that it funds such as the National Research Foundation, CSIR, Human Sciences Research Council, Academy of Science of South Africa and Technology Innovation Agency. A limited number of DST staff have climate change expertise themselves, and the organization could thus benefit from capacity building in monitoring and evaluating the climate change initiatives they support through these funded institutions. DST are important enablers of building capacity in human resources and research infrastructure (especially cyber-infrastructure),

through the directed funding they provide to these institutions. Given the above summary, DST scores are highest for organizational assets and lowest for human resources

3.1.2 Department of Water and Sanitation

The DWS has a climate change unit which works to mainstream climate change into its planning and operations across the various divisions in the organization. DWS oversees the Water Research Commission which provides capacity building support to it in this regard. While progress is being made in mainstreaming climate change, further work is needed to achieve this goal in a holistic manner, as different divisions in the Department view climate change from their distinct perspectives (e.g. assurance of supply versus flooding). DWS continues to operate in a highly constrained financial environment which hampers adaptation efforts (DWS, 2019). DWS would be likely to benefit from capacity building to strengthen M&E of climate change related activities. The Department maintains a fluvial flood monitoring system for the Orange-Vaal basin system (DWS, 2015) but there is a need to expand this activity to other large managed basins and to incorporate early warning systems. DWS will need to work with water boards and other entities (who report to it) to achieve this goal. A strength of DWS is its hydrological data collection network and the distribution of this data via the internet (at no cost to users). In addition it also maintains the National Integrated Water Information System which has dashboards related to focal areas such as climate and weather, drought disaster management and water quantity and quality. Given the above summary, DST scores are highest for organizational assets and lowest for human resources.

3.1.3 Department of Agriculture, Forestry and Fisheries

DAFF is a national government department of agriculture, forestry and fisheries. They have a Directorate dedicated to Climate Change and Disaster Management. This directorate is well aware of the risks that climate change pose and have embarked on several climate change adaptation projects. They seem to be well staffed while staff is also trained in dealing with climate change issues. They have a strong focus on climate change mitigation and adaptation, risk and disaster management. Monitoring and evaluation features evidently in their action plans, but it is not clear as to how projects are monitored and evaluated. It is proposed that staff should be trained in better understanding and developing of M&E projects. DAFF has good platforms to disseminate climate change information but are mostly limited to the Western Cape. Other provinces are lacking information on climate impacts and dedicated adaptation strategies. DAFF works well in partnership with several important stakeholders across a spectrum of private and governmental institutions, but they are lacking some partnership with academic institutions.

The Auditor General of South Africa (AGSA) in its review of DAFF's performance for 2018/19, highlighted challenges in the department around effective leadership, monitoring, reporting and evaluation and risk management (AGSA, 2019a). At the national committee meeting for Agriculture, Land Reform and Rural Development to review the first quarter performance of DAFF on 8 October

2019, members of the committee indicated there was inadequate information provided by DPME on the monitoring and evaluation aspect of DAFF (PMG, 2019a). The DPME reported that of 39 indicators planned for implementation, only 18 (46%) of the targets had been achieved. As such capacity building for climate change adaptation M&E is necessary for DAFF with particular focus on improving existing M&E systems, collection of data, inter-functional co-ordination and strategic communications.

3.1.4 Department of Environmental Affairs

The legal mandate and core business of the Department of Environmental Affairs are to manage, protect and conserve South Africa's environment and natural resources. The Department fulfils its mandate through formulating, coordinating and monitoring the implementation of national environmental policies, programmes and legislation with the additional support from its entities, such as the iSimangaliso Wetland Park Authority (iSimangaliso), the South African National Biodiversity Institute (SANBI), South African National Parks (SANParks), and the South African Weather Service (SAWS). The department is very well capacitated to support adaptation M&E with a strong policy foundation and partnership of stakeholders. There is potential to enhance the continuous organizational growth that the department experiences from continuous learning through the implementation of its M&E system and stakeholder engagements through the addition of quantitative indicators within the DAOs. Under the climate change, air quality management and sustainable development program of DEA, the strategic objectives include (PMG, 2019b):

- Threats to environmental quality and integrity managed;
- Negative impacts to health and wellbeing minimized
- Effective information and knowledge management for the sector
- Enhanced international co-operation supportive of SA environment or sustainable development priorities,

While the department undertakes activities in climate change adaptation and progress towards addressing climate change related objectives are tracked and reported, climate change adaptation M&E is not mainstreamed within the department's strategic planning. For organization level M&E to comply with Public Finance Management Act (PFMA) regulations, The AGSA briefing to the portfolio committee on DEA for 2018/19, indicated that areas of concern or intervention for 2018/19 related to organization performance management included effective leadership, record keeping, reviewing and monitoring compliance and risk management (AGSA, 2019b). The AGSA recommended that performance reporting must be subject to critical evaluation to ensure the processes around year-end reporting are well understood and executed. DEA identified challenges around securing cooperation from internal stakeholders on the implementation of controls and human and financial resources/cooperation from key stakeholders (PMG, 2018d). These challenges could be potential opportunities to link capacity building interventions to mainstream climate change adaptation M&E.

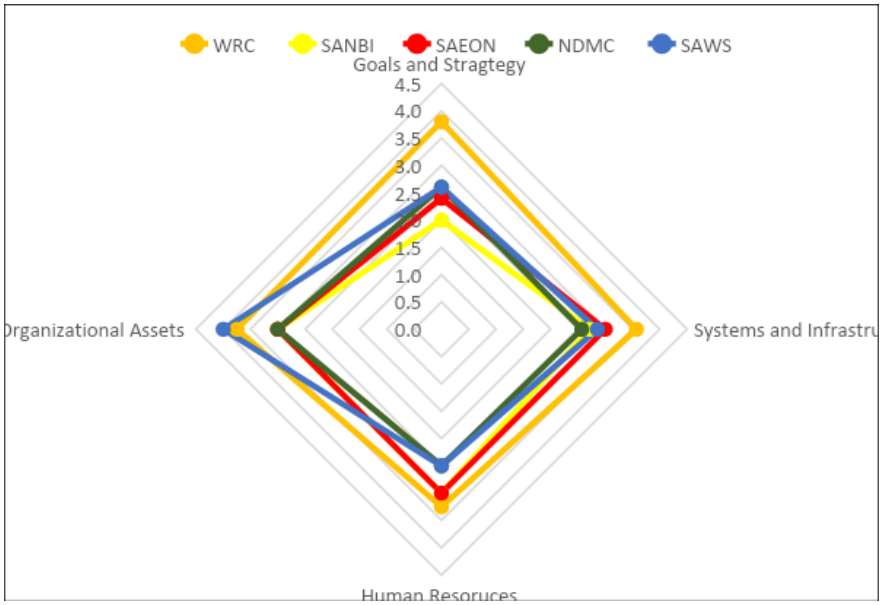
3.2 Stakeholder capacity assessment of institutional climate service providers

The public institutions which provide climate services support the full spectrum of services from the operation of in situ observation and monitoring stations, collection of measurement data, modelling, and operation of early warning systems to capacity development. The organizations include the WRC, SANBI, SAEON NDMC and SAWS. Climate change is well communicated as strategic goals within the annual reports of these organizations. The SOEs scored well under goals and strategy for the mainstreaming of climate change or disaster risk reduction into their strategic plans (Table 2). These organizations also have greater capacity in their systems and infrastructure, human resources and organizational assets (Figure 2) to address climate change and disaster risk reduction issues. Opportunities exist to enhance organizational structure and inter-functional organization while revising the existing M&E systems in place to incorporate climate change adaptation M&E. This will not be difficult since these organizations are mandated by national government to address climate change and disaster risk issues.

Table 2: Capacity assessment scores across domains and sub-domains for institutional entity climate service providers

	Domains		Sub-domains	Name of the Organizations				
				WRC	SANBI	SAEON	NDMC	SAWS
A	Goals and Strategy	1	Mission/Mandate	4	2	2	2	3
		2	Strategic planning	4	1	3	3	3
		3	Leadership quality	4	3	2	4	2
		4	Funding model	3	3	2	1	2
		5	Gender and social inclusion	4	1	3	3	3
			Total	19	10	**12**	**13**	**13**
B	Systems and Infrastructure	6	Organizational structure	4	2	2	3	2
		7	Inter-functional coordination	3	3	3	2	2
		8	Monitoring & Evaluation	3	3	3	1	2
		9	Knowledge Management	4	2	3	2	4
		10	External communication	4	3	3	3	3
		11	Information and communication technology (ICT)	4	3	4	4	4
		12	Financial operations management	3	3	3	3	3
			Total	25	19	**21**	**18**	**20**
C	Human Resources	13	Staffing levels	3	2	3	2	2
		14	Knowledge and expertise in climate change	3	4	3	3	3

		15	Technical skills for M&E	3	3	3	2	3
		16	Access to capacity building	4	3	3	3	2
			Total	13	12	**12**	**10**	**10**
D	**Organizational Assets**	17	Understanding of issue, context and role of relevant stakeholders	4	3	3	2	4
		18	Partners' / network development and fostering	3	4	3	3	4
		19	National presence and engagement	4	3	3	3	4
		20	Policy influence	4	2	3	4	4
			Total	15	12	**12**	**12**	**16**



		Name of the Organization					
	Domains	**WRC**	**SANBI**	**ARC**	**SAEON**	**NDMC**	**SAWS**
A	Goals and Strategy	3.8	2.0	1.8	2.4	2.6	2.6
B	Systems and Infrastructure	3.6	2.7	2.6	3.0	2.6	2.9
C	Human Resources	3.3	3.0	2.5	3.0	2.5	2.5
D	Organizational Assets	3.8	3.0	3.3	3.0	3.0	4.0

Figure 2: Analysis of weighted average score across domains of institutional entity climate service providers

3.2.1 Water Research Commission

The WRC scores well in the needs assessment with most domains/sub-domains being assessed as having moderate to high capacity. Staff are highly qualified and the organization is focused on innovation. Climate change is a key focus area of research (WRC, 2018). Streamlining of IT services is required as the organization's current resources are operating at full capacity. The WRC performs an important function as a knowledge broker of water-related technologies and innovation.

3.2.2 South African National Biodiversity Institute

Biodiversity and conservation issues feature very strongly in SANBI's strategy and goals (SANBI, 2019). There is however less focus on climate change issues, and there is not a very clear picture of how climate change is currently addressed within the organization. SANBI used to have a very specific focus on climate change with a dedicated division addressing several issues of climate change and biodiversity. SANBI has a very good network of partners and associations and they support education and collaborate on research projects. The staff in their previous climate change unit used to have very good technical skills on climate change and adaptation and frequently communicated on these issues. SANBI has good access to financial resources and this will hopefully also be used within the climate change sphere.

3.2.3 South African Environmental Observation Network

The mandate of SAEON is to serve as the national instrument for detecting and translating environmental change, and for predicting the impact of such change on terrestrial and marine ecosystems (NRF and DST, 2015). SAEON carries out this mandate by establishing and maintaining state-of-the-art observation and monitoring sites and systems; driving and facilitating research on long-term change of South Africa's terrestrial biomes, coastal and marine ecosystems; developing and maintaining collections of accurate, consistent and reliable long-term environmental databases; promoting access to data for research and/or informed decision making; and contributing to capacity building and education in environmental sciences. The NFCS identifies SAEON's role in climate services provision in observation and monitoring; research, modelling and prediction and the development of climate services information systems. The organization requires some capacity building to mainstream climate change adaptation M&E effectively into the organization's goals and strategy by inclusion of a separate climate change objective and incorporation of climate change adaptation M&E indicators into the annual report. Furthermore there is scope for improving the communication of gender and social factors within organizational operations and projects by identifying appropriate M&E indicators. The organization does not make its annual report publically available. All staff appointed as managers are required to comply with quarterly and annual performance policies. As such there are adequate systems and infrastructure

in place to support M&E in the organization, although these are financial and performance-related M&E frameworks. SAEON engages actively with other stakeholders in climate change policy via existing working groups and steering committees. M&E for climate change adaptation within the organization could be effected by strengthening organizational structure and inclusion of staff into national capacity building workshops for climate change adaptation M&E.

3.2.4 Co-operative Governance and Traditional Affairs and National Disaster Management Centre

COGTA performs the challenging role of promoting cooperative governance across different spheres of government (local, provincial, national) and between different departments of government. This includes taking overall responsibility for the coordination of disaster management, which it facilitates largely through the National Disaster Management Centre (a unit within COGTA) (COGTA, 2015; COGTA, 2018). While NDMC is a functional unit, disaster management systems at provincial and municipal levels are sometimes weak. COGTA is currently developing an M&E system for disaster management and coordination of fire services, and would benefit from capacity building in undertaking this task. Early warning systems are developed in the NDMC and include warnings related to multiple hazards for example wind, floods, fire and drought. There is a recognition of the need for improved coordination in ICT systems within the Department, and an objective has been set in this regard. Overall, COGTA scores well in terms of goals and strategy, but is relatively weaker in the other domains (systems and infrastructure, human resources and organizational assets).

The objective of the NDMC as an entity of the Department of Co-operative Governance and Governmental Affairs, is to co-ordinate and integrate disaster management in South Africa, with special emphasis on prevention and mitigation by national, provincial and municipal organs of state, statutory functionaries and other role-players involved in disaster management and communities (NDMC, 2018). COGTA has been grouped with NDMC as part of the analysis of climate change adaptation M&E capacity. Capacity for M&E in disaster risk reduction or climate change is weak indicated by the poor quality of M&E reporting in performance plans. The systems and infrastructure of the organization are adequate to support the mandate of the organization as defined by the Disaster Management Act No 57 of 2002 but there is no process indicated for organization growth through continuous learning. The organization structure lacks a separate M&E unit although financial and performance M&E is practiced within all departments. The leadership and staff engaged in projects indirectly related to climate change adaptation do not have the required knowledge and understanding of climate change issues to effect climate change adaptation M&E in the organization. It is possible to strengthen the organization's understanding of climate change issues and relevance of climate change adaptation M&E within the scope of the organization's existing stakeholder network and policy influence through the active working committees on disaster management. The department face various challenges from provincial to municipal level for the implementation of monitoring and reporting procedures associated with disaster grants (PMG, 2018a) including:

- Submission of incomplete documentation
- Lack of proper reporting as per the frameworks
- Inconsistencies with what was on the ground compared to what was reported

- Infrastructure backlogs being included in the list of damaged infrastructure as a result of disasters;
- Projects falling within normal sector programs, appearing on disaster listed projects, such as drought projects; and
- Insufficient capacity within the disaster management centers within the three spheres of government.

Remedial measures and improvements to the administration of the disaster grants (PMG, 2018a) include:

- A technical task team on planning, response and recovery to promote disaster risk reduction, monitor the development of disaster plans, monitor the use and reporting of disaster funds and implement the lessons learnt during disaster damage assessments;
- Facilitate workshops with National Treasury to assist municipalities in developing emergency procurement policies;
- Conduct national and provincial workshops on the processes to access and implement the disaster grants;
- Strengthen monitoring, reporting and evaluate the impact with regard to the value the grants have to the service delivery;
- Conduct a roadshow on disaster management legislative processes to improve compliance and implementation thereof;
- Create awareness on disaster risk reduction and development of disaster risk reduction strategies;
- Promote integrated planning through Municipal Integrated Development Planning to ensure risk mitigation and preparedness in the sectoral and municipal development plans.

3.2.5 South African Weather Service

The SAWS is the authority for weather and climate forecasting in South Africa. As a member of the World Meteorological Organization (WMO), it complies with international meteorological standards. As the aviation meteorological authority, SAWS is designated by the state to provide weather services to the aviation industry and to fulfil the international obligations of the government under the Convention of the International Civil Aviation Organization (ICAO) (SAWS, 2019). Climate change is communicated within the organization's annual reports as a core issue and strategic planning can be enhanced by communicating the alignment of performance indicators with National Development Plan, SDG and DAO goals. Incorporation of climate change adaptation M&E could be constrained due to the limited technical expertise on climate change within key executive leadership positions. The biggest opportunity for integration of climate change M&E into systems and infrastructure could be enhancements to organizational structure, inter-functional coordination and strengthening the cross-learning processes of stakeholder network development. The organizations' strengths include knowledge management as the primary public provider of climate and meteorological data and policy influence on disaster management and climate change legislation. Current projects linked to adaptation involve impact-based forecasting, climate services for agriculture and health and the SAWS Perception Survey. The survey was conducted to evaluate the nature and quality of the relationship between SAWS and its end-user stakeholders and to identify areas of improvement.

The AGSA briefing to the portfolio committee on DEA for 2018/19, indicated a few areas of concern and interventions in terms of M&E for PFMA regulations including record keeping, keeping controls, reviewing and monitoring compliance and risk management (AGSA, 2019b). Planned target indicators were not specific in clearly identifying the nature and required level of performance (Aerodrome Warnings and Terminal Aerodrome forecast accuracy). There were concerns raised about the reliability and usefulness of performance information. Recommendations that were addressed to DEA and its entities including SAWS included staff needing to better understand the requirements of the PFMA laws and regulations to ensure adequate planning within procurement cycles and that performance reporting must be subject to critical evaluation to ensure the processes around year-end reporting are well understood and executed. SAWS could address these recommendations by supplementing planned interventions with those suggested for climate change adaptation M&E as mentioned above.

3.3 Stakeholder capacity assessment of national department climate services users

Government institutions need climate information and products to adapt and mitigate climate change impact. As such, the use of climate data and information includes the following (DEA, 2016):

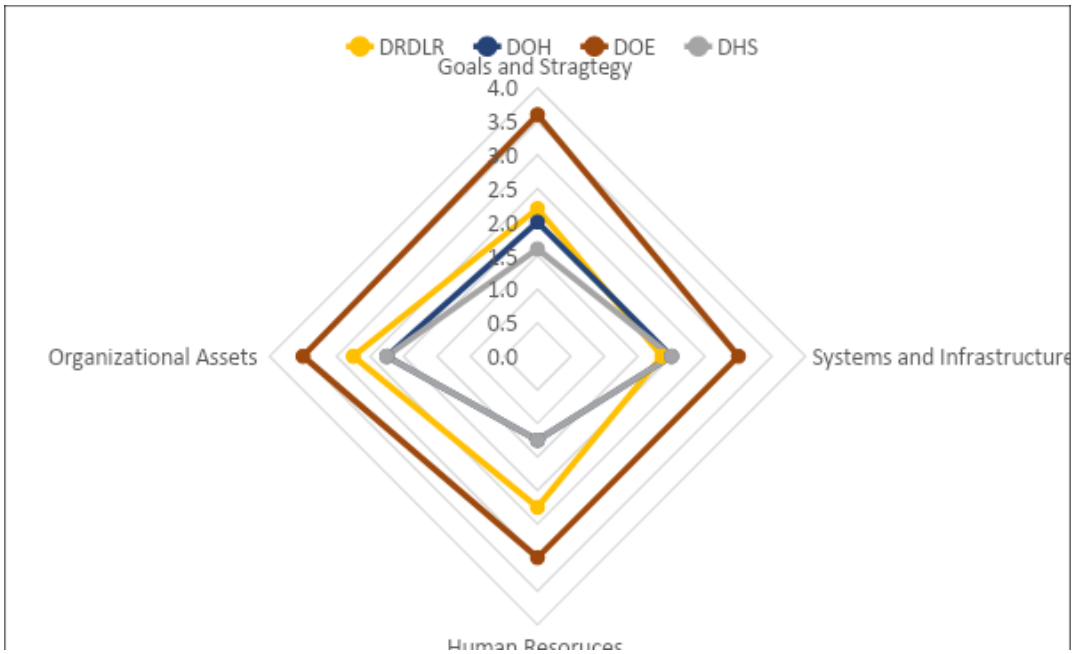
- Development of climate change adaptation plans
- Policymaking (including how climate change will impact on current government policies)
- Inform government plans, programs and projects
- Resource optimization
- Water and energy resource planning
- Resilient infrastructure development
- Disaster management and readiness etc.
- Early warning services to the public.

The national departments assessed included DRDLR, DOH, DOE, DHS and COGTA. The DOE is the most active in the climate change space having implemented a number of renewable energy generation projects and supports the country's tracking of greenhouse gas emissions. Common strong points for capacity in climate change exist, with all stakeholders having good knowledge of climate change issues, established partnerships and effective engagement and influence on policy (Table 3). Common weak points based on weighted scores include goals and strategy and systems and infrastructure (Figure 3). Opportunities for capacity building of climate change issues exist in how these organizations include climate change within strategic plans and how the operations, knowledge and infrastructure are enhanced to effectively achieve and track climate change goals.

Table 3: Capacity assessment scores across domains and sub-domains for national department climate services users

	Domains		Sub-domains	Name of the Organizations				
				DRDLR	DOH	DOE	DHS	COGTA

A	**Goals and Strategy**	1	Mission/Mandate	1	3	4	1	3
		2	Strategic planning	2	2	4	1	3
		3	Leadership quality	2	1	4	2	2
		4	Funding model	3	1	3	1	3
		5	Gender and social inclusion	3	3	3	3	3
			Total	**11**	**10**	**18**	8	**14**
B	**Systems and Infrastructure**	6	Organizational structure	2	1	3	2	2
		7	Inter-functional coordination	2	2	3	2	2
		8	Monitoring & Evaluation	3	1	3	1	2
		9	Knowledge Management	1	2	2	2	2
		10	External communication	2	3	4	3	2
		11	Information and communication technology (ICT)	2	2	3	1	3
		12	Financial operations management	1	3	3	3	3
			Total	**13**	**14**	**21**	14	**16**
C	**Human Resources**	13	Staffing levels	2	1	3	1	2
		14	Knowledge and expertise on climate change	2	1	3	1	2
		15	Technical skills for M&E	3	1	3	1	2
		16	Access to capacity building	2	2	3	2	2
			Total	**9**	**5**	**12**	5	**8**
D	**Organizational Assets**	17	Understanding of issue, context and role of relevant stakeholders	3	1	3	1	2
		18	Partners' / network development and fostering	3	2	3	2	2
		19	National presence and engagement	3	3	4	3	2
		20	Policy influence	2	3	4	3	3
			Total	**11**	**9**	**14**	9	**9**



		Name of the Organization				
	Domains	**DRDLR**	**DOH**	**DOE**	**DHS**	**COGTA**
A	Goals and Strategy	2.2	2.0	3.6	1.6	2.8
B	Systems and Infrastructure	1.9	2.0	3.0	1.9	2.3
C	Human Resources	2.3	1.3	3.0	1.3	2.0
D	Organizational Assets	2.8	2.3	3.5	2.0	2.3

Figure 3: Analysis of weighted average score across domains of national department climate services users

3.3.1 Department of Rural Development and Land Reform

The DRDLR has a Climate Change Adaptation Sector Strategy for Rural Human Settlements. This is almost the only document available referring to climate change and adaptation and is also not updated frequently. Climate change issues are not adequately addressed in the mission statement of the organization and do not seem to feature strongly as part of their vision and goals (DRDLR, 2019). They also lack the capacity of staff that is trained in climate change, although they have created a learning platform for internal and external use to inform people about climate adaptation in human settlements. This platform is however not widely known and the extent to which it is used is not known. It seems as if any climate change-related work is mostly outsourced as tenders to consultants and they do not have a dedicated unit that deals with climate change in settlements. This is rather worrying as the impact of climate change in rural settlements and on their economies may be devastating. The rural areas are especially vulnerable, as we have seen with the latest drought in the Eastern Cape as well as the Northern Cape, rural areas are at dire straits. DRDLR

should work more closely with other stakeholders such as the Departments of Water Affairs to identify and act on climate risks. This Department has such a strong focus on land reform that settlements are being neglected.

3.3.2 Department of Health

The Department of Health is tasked with the provision of public healthcare to the South African public and the management of all public healthcare facilities (DOH, 2019). The organization scored well for strategic planning and policy engagement. The DOH has aligned its strategic objectives with the NDP goals and SDGs. An adaptation plan for the health sector was published which outlined a number of impact and vulnerability indicators. The national health system is the main source of data used to inform these indicators. The DOH has weaker capacity in systems and infrastructure to accomplish climate change adaptation M&E. Current systems in place for performance M&E are inadequate to support continuous learning and growth. The AGSA briefing to the Portfolio Committee on Health on DOH's performance for the 2018/19 year identified areas of concern or intervention including proper record keeping, keeping controls, reviewing and monitoring compliance and risk management (AGSA, 2019c). AGSA provided recommendations to improve performance within DOH including effective leadership regarding financial and performance reporting and compliance; accessible and available complete, relevant and accurate information; and accurate performance reporting informed by reliable evidence.

The current organization structure, inter-functional coordination, knowledge management systems, human resources and ICT infrastructure will hinder any steps taken to incorporate climate change M&E into the organization's operations and strategic decision making. Improving the quality of public healthcare remains the department's biggest challenge and climate change issues will need to compete for prioritization in healthy policy

3.3.3 Department of Energy and ESKOM

DoE is responsible for energy security within the country and achieves this by undertaking integrated energy planning, regulating energy industries, and promoting electric power investment (DoE, 2019). The department is well capacitated to support climate change adaptation M&E as it is actively involved in the implementation of renewable energy production-related mitigation actions and M&E thereof. To mainstream adaptation M&E into the organization, there are opportunities for improving knowledge management and M&E systems and technical skills of staff.

Eskom is South Africa's primary electricity supplier, generating more than 90% of the electricity in South Africa (ESKOM, 2019). Climate change adaptation is addressed directly within the organizations strategic planning and business operations. ESKOM has a large network of strategic partners but there is limited evidence of cross-learning to inform organizational growth. ESKOM

reports annually to the carbon disclosure report on its mitigation and adaptation activities. There is an indication that ESKOM does have the capacity in place to support climate change adaptation M&E based on its successes with the tracking of mitigation actions and greenhouse gas emissions. As such, there is potential for ESKOM to engage positively with other stakeholders on climate change M&E. ESKOM has been grouped with DOE due to the supporting roles of the organization's to manage South Africa's energy supply and energy demand.

As part of the briefing to the portfolio committee on mineral resources and energy on 08 October 2019; AGSA identified areas of concern for performance for the 2018/19 year including effective leadership and reviewing and monitoring compliance (AGSA, 2019d). At the briefing of the 2017/18 DOE Annual Report to the portfolio committee of energy on 26 February 2019, DOE did indicate some challenges for only achieving 42% of its targets in that year including lack of specific skills; leadership changes and governance challenges in some SoEs (PMG, 2018e).

3.3.4 Department of Human Settlements

The Department of Human Settlements is mandated to implement development actions that support sustainable human settlements and improved quality of household life (DHS, 2015). The strategic planning of the organization and the current human, systematic and operational resources are largely inadequate to support climate change M&E. The department has partnered with the CSIR to publish the Neighborhood Planning and Design Guide (DHS, 2019) which supports the development of sustainable human settlements by addressing aspects of housing, public open spaces, public facilities, water supply, sanitation, storm water management, energy, transportation, solid waste management and crime prevention through environmental design. There is an opportunity to capacitate decision-makers in the department with climate change knowledge and skills to enhance the current strategic plans of the organization.

The Department do not have customized sector indicators to ensure consistency between performance targets and indicators reported on at the national and provincial level (PMG, 2018c). The Auditor General of South Africa had engaged with the Director General (DG) and the Department to ensure indicators were customized, but there are still no customized indicators. There was a need identified for the Department to meet with the Department of Performance Management and Evaluation (DPME) in order to address these issues.

Key areas of work related to adaptation being undertaken as part of the Department's mandate impacted on the overall strategic objectives of the government related to the eradication of poverty, inequality and unemployment, as well as socio-economic transformation (PMG, 2018c). The policies, legislation and implementation frameworks of the Department were designed to ensure key mandates of the government were integrated into the outputs and outcomes achieved. The Human Settlements Development Grant (HSDG) and Urban Settlements Development Grant (USDG) frameworks ensured the key priorities were addressed, and these included the following:

- Monitoring and reporting on related to procurement awards to women, youth, military veterans and persons with disabilities.

- Investment in socio-economic infrastructure which takes steps to eradicate asset and infrastructure inequality, including the building of libraries, fire stations, community centres, energy, roads, and transport infrastructure.
- Ring-fenced funding for distressed mining towns and labour sending areas.
- In the City of Cape Town, USDG funds had been allocated to assist mitigation measures related to the drought.
- The objective of the title deeds programme was to promote and foster an increase in household wealth, which would promote the eradication of poverty and inequality.

An analysis of the DHS quarter 4 performance for urban settlements in 2018 indicates the following challenges based on the findings of the PMG (2018b) report:

- Slow delivery on Medium Term Strategic Framework targets
- Conflicting sources of information in the sector
- Need to ensure all planned measures have credible verification standards and processes
- Need for integrated planning, budgeting and reporting
- Overall performance of the organization was very low at 52 per cent
- Need to improve capacity in the organization
- Insufficient collaboration
- Need for mandatory standard operating procedures

3.4 Stakeholder capacity assessment of institutional climate services users.

Institutions can serve as both users and providers of climate services (DEA, 2016). Climate service user needs, complement those of national departments including:

- Informing government plans, programs and projects
- Resource optimization
- Water and energy resource planning
- Resilient infrastructure development
- Climate impact studies
- Development of climate change adaptation plans

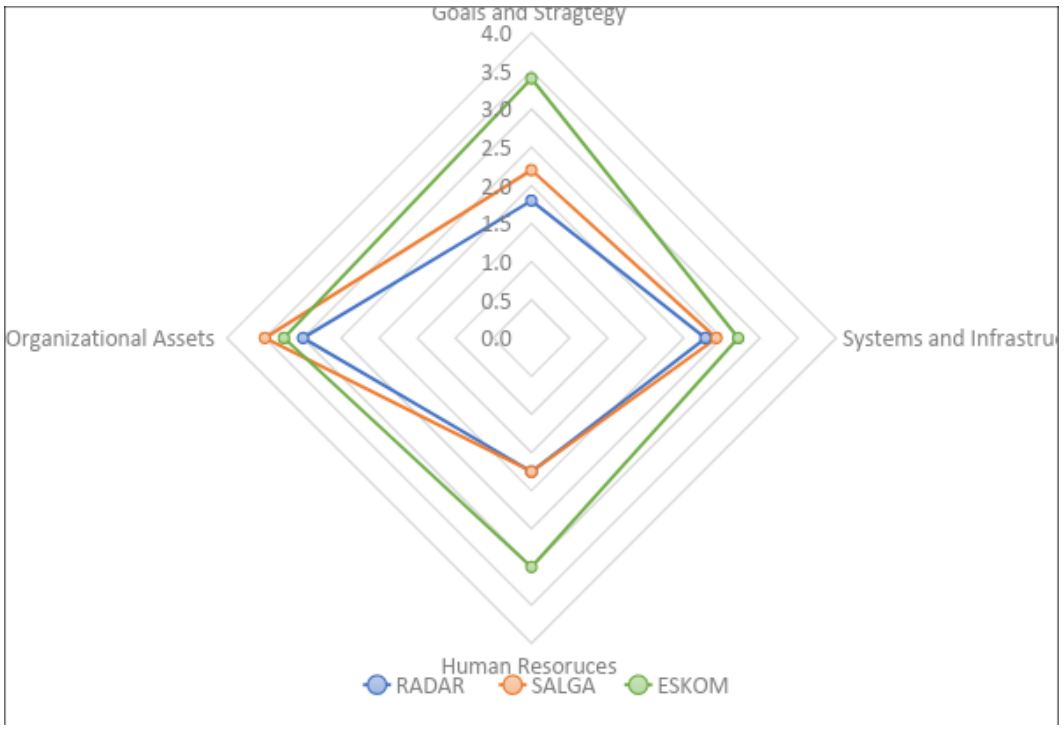
The organizations assessed included RADAR, SALGA and ESKOM. These organizations scored high for organization assets because of the project work that is undertaken that address climate change and disaster management, engagement with other stakeholders within the climate change and disaster management space and involvement in the development of climate change and disaster management policy. SALGA scored less for goals and strategy (Table 4) since climate change and disaster management is not communicated clearly within its mandates and vision. RADAR as an academic institution does not produce annual performance reports in the same manner as government departments and SOE's, and focuses on productivity reporting to sponsors and other stakeholders. ESKOM has greater capacity for climate change M&E based on the weighted assessment of scores (Figure 4). ESKOM actively communicates its climate change strategy in its carbon disclosure reports for mitigation and adaptation, and thus has M&E systems in

places to support the annual reporting, although the number of quantitative adaptation indicators reported on are limited.

Table 4: Capacity assessment scores across domains and sub-domains for national department climate services users

	Domains	No.	Sub-domains	Name of the Organizations	
				RADAR	SALGA
A	Goals and Strategy	1	Mission/Mandate	2	2
		2	Strategic planning	1	2
		3	Leadership quality	2	2
		4	Funding model	1	1
		5	Gender and social inclusion	3	4
			Total	**9**	**11**
B	Systems and Infrastructure	6	Organizational structure	3	3
		7	Inter-functional coordination	1	2
		8	Monitoring & Evaluation	1	1
		9	Knowledge Management	3	2
		10	External communication	3	3
		11	Information and communication technology (ICT)	2	1
		12	Financial operations management	3	3
			Total	**16**	**15**
C	Human Resources	13	Staffing levels	1	1
		14	Knowledge and expertise in climate change	2	1
		15	Technical skills for M&E	2	1
		16	Access to capacity building	2	2
			Total	**7**	**5**
D	Organizational Assets	17	Understanding of issue, context and role of relevant stakeholders	3	4
		18	Partners' / network development and fostering	3	3

		19	National presence and engagement	2	2
		20	Policy influence	4	4
			Total	**12**	**13**



		Name of the Organization	
	Domains	**RADAR**	**SALGA**
A	Goals and Strategy	1.8	2.2
B	Systems and Infrastructure	2.3	2.1
C	Human Resources	1.8	1.3
D	Organizational Assets	3.0	3.3

Figure 4: Analysis of weighted average score across domains of SOE and institutional climate services users

3.4.1 Research Alliance for Disaster And Risk Reduction

RADAR relies heavily on soft donor funding for its research activities which renders it vulnerable to changes in the donor funding landscape. It performs vital research in the field of reducing disaster

risks and makes important contributions to policy in this arena. RADAR also play an important role in building human capacity in the field through the short courses and degree/diploma programs that it offers. The group does not conduct formal monitoring and evaluation of its impact on disaster risk reduction. Given the above summary, RADAR scores well in terms of areas such as policy influence and knowledge management, but less well in terms of funding and monitoring and evaluation.

3.4.2 South African Local Government Association

The mandate of SALGA is to transform local government to enable it to fulfil its developmental mandate and is built on six pillars including “Lobby, Advocate and Represent”, “Employer Body”, “Capacity Building”, “Support and Advice”, “Strategic Profiling” and “Knowledge and Information Sharing” (SALGA, 2017). As representatives of local government, SALGA has recognized the need to improve technical skills in general in the sector, and has identified partnerships with professional bodies as a means to achieve this. This is particularly the case for municipalities outside of the large metros. The need for skills development includes knowledge on climate change. Currently, the indicators used to measure achievement of sustainability goals are not very explicit, and need to also incorporate climate change. Capacity building on climate change issues is needed in general, and includes M&E of climate change related activities. There are performance measures related to reducing the vulnerability to disasters, but it is likely that these include all types of disasters and not only weather-related disasters. The only early warning systems explicitly mentioned in the organization’s strategic plan relate to service delivery problems (protests) and poor expenditure. There is a recognition that the organization’s financial resources are insufficient (it depends on a membership levy for most of its funding), and partnerships with development finance institutions have been identified as a means of supplementing finances. The need for greater investment in IT infrastructure and data intelligence has been identified, and the organization’s IT strategy is currently being updated to reflect this. Social cohesion is a core feature of SALGA’s goals and the impact of SALGA’s activities in this domain on the municipal community are closely monitored. The organization has a strong influence on policy within its domain and facilitates extensive networking in the local government sector. Given the above context, SALGA scores well in terms of organization assets but requires capacity building in human resources and finance.

4. Summary

The evaluation of aggregated scores for the organizations indicate moderate to high levels of capacity of organizational assets to partner and engage with other stakeholders to address climate change issues and to impact policy for climate change action. The strategic plans of organizations indicate a low to moderate level of capacity to include climate change issues with general capacity needs to establish explicit strategic goals for climate change adaptation. The systems, infrastructure and human resource capacity for most organizations are moderate to lesser capacitated to implement organization strategic planning objectives for climate change but there is weaker capacity in these organizations to undertake climate change adaptation M&E due to varying levels of understanding of climate change issues by senior staff and insufficient co-ordination between different units of the organizations. Furthermore there is inadequate capacity within these organizations to use internal knowledge, organizational data and best practices, particularly for

climate change for guiding future actions, particularly on climate change, although there are sufficient knowledge platforms in place and access to ICT infrastructure to store and communicate knowledge internally. For all of the organizations consulted with, there is greater commitment by senior staff to report on general performance indicators and apply the general M&E guidelines of the organization which are not strategically aligned to climate change or disaster risk reduction issues.

5. Way forward

A national workshop is needed to communicate to stakeholders the value of climate change adaptation M&E to strengthening the effectiveness of adaptation and disaster risk reduction actions. Such a workshop would target executive directors and senior management representatives in organizations related to the NFCS. The next step is to hold a series of focused stakeholder consultations with targeted groups of stakeholders to select a pilot case for evaluating the effectiveness of adaptation actions which can be used to test and refine the basic tools and methodologies identified for use in the ICAT-A study The basic tools and methodologies identified in Activity 1 of this study will be discussed with stakeholders in further consultations to ensure they are relevant to the country needs and how they can best be refined and utilized to ensure they are relevant to national needs. The exercise undertaken to compile this report highlighted the various mechanisms for performance and financial M&E undertaken by government organizations, for example, the DPME and the National Treasury. Additionally there are M&E frameworks that organizations are obliged to comply with from

international funders, for example, UNDP and USAID. Adding value to the DAO M&E framework for adaptation with the inclusion of quantitative sectoral indicators should directly link to the existing M&E systems in place in the country and internationally and incorporate indicators where appropriate that are presently reported on annually.

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Annexure 1: Capacity Assessment Exercise Department of Science and Technology

Organization Information			
Name of organization:	**Department of Science and Technology (DST)**		
Organization type:	☒ Government ☐ Research/Academia ☐ NGO/CSO ☐ Private Sector ☐ International Organization ☐ Other		
Point of contact:	**Mr Leluma Matooane (Leluma.Matooane@dst.gov.za)**		
List of participants:	**Name:**	**Designation:**	
	Mr Leluma Matooane	**Director: Earth Systems Science**	
Date of assessment:	**21 Nov 2019**		

Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)
Goals and strategy	**Mission/mandate**	3	Mission and vision clearly expresses and entails actionable goals for addressing climate change - however they are not well aligned with organization's broader mission and national priorities. Organization's climate change mandate is fairly well known and accepted by relevant stakeholders (internal and external).
	Strategic planning	3	Strategy document, or a general plan outlining short-medium term plans for addressing climate change exists . The document is regularly reviewed and updated to reflect national priorities. However, climate change issue is not extensively integrated across the organization's work portfolio.
	Leadership quality	3	Senior management / steering committee possess necessary technical expertise on climate change, provide strong direction and support, however is not actively engaged in M&E processes.
	Funding model	3	Modest access to financial resources for supporting climate change priorities and objectives - limited sources and types of funding support available (e.g. government, donor agencies, private sector etc.) with little budget allocated towards enhancing transparency and reporting or M&E of climate action.
	Gender and social inclusion	3	Gender and social inclusion strategy in place and actively practiced, but is not mainstreamed across different programmes.
Systems and infrastructure	**Organizational structure**	3	Organizational structure with clearly defined roles and responsibilities of departments, functions and lines of authority particularly for accomplishing climate change objectives is in place, and is adequately followed.
	Interfunctional coordination	3	Moderate coordination across departments or key functions, particularly between the climate change and M&E unit, for achieving climate change goals.

	Monitoring & evaluation	3	Monitoring Reasonably capable of establishing suitable indicators for measuring organizational performance, particularly in regard to climate change objectives Moderate expertise in collection and analysis of baseline and performance monitoring data, particularly on climate change Performance monitoring data, particularly on climate change, is regularly collected and reported to relevant stakeholders in a transparent manner Evaluation Moderate expertise in programme evaluation, particularly climate change objectives Evaluation is conducted frequently and is of moderate quality Evaluation is regularly guided by stakeholder inputs and results and recommendations are frequently incorporated in new and existing strategies and programming
	Knowledge management	3	Systems exist for capturing and documenting internal knowledge, organizational data and best practices, particularly for climate change, which are somewhat comprehensive, but are not widely used for guiding future actions, particularly on climate change
	External communication	3	Systems exist and are widely used, but they are not well targeted at relevant stakeholders
	Information and communication technology	4	Wide access to necessary equipment and also advanced hardware and software for data collection as well as knowledge management, that contribute towards enhanced effectiveness and efficiency
	Financial operations management	3	Formal internal controls in place governing all financial operations including tracking, reporting and cash flow management.
Human resources	**Staffing levels**	2	Dedicated units for climate change as well as M&E exists, however staff levels are very low compared to other departments.

	Knowledge and expertise on climate change	2	The climate change staff has some training, technical expertise or professional experience on climate change research and practice. However, the organization-wide knowledge on climate change across different departments is limited.
	Technical skills on M&E	2	Staff in the M&E unit has necessary training, technical expertise or professional experience on employing M&E approaches and tools. However, they do not possess necessary knowledge and understanding on climate change issues
	Access to capacity building	3	Staffs in the climate change and M&E unit have regular access to training and capacity development, however this is limited to those in leadership positions.
Organizational assets	**Understanding of issue, context and role of relevant stakeholders**	3	Solid institutional knowledge of and engagement with the issue of climate change adaptation and other relevant global and national commitments (SDGs, annual development plans etc.), as well as relevant actors and local context for these issues, however with limited scope for regular and continuous learning.
	Partnerships/network development and fostering	3	Vast network of partners comprised of a diverse range of organizations within the climate change arena, with whom communication and cross-learning is fostered however relationships are not actively maintained.
	National presence and engagement	3	Reasonably well recognized and regarded as positive within the sector or field the organization is working in, however with limited coordination with other actors in the sector.
	Policy influence	4	Actively engaged in climate change - policy influencing and formulation processes at both local and global context.

Annexure 2: Capacity Assessment Exercise Department of Water and Sanitation

Organization Information						
Name of organization:	**Department of Water and Sanitation (DWS)**					
Organization type:	☒	Government	☐	Research/Academia	☐	NGO/CSO
	☐	Private Sector	☐	International Organization	☐	Other
Point of contact:	**Mr Zacharia Maswuma**[1] **(**MaswumaZ@dws.gov.za) **Dr Magda Ligthelm**[1] **(**LigthelmM@dws.gov.za**)**					

[1] No comment received at the time of compiling report. Communications were sent by email and reminder follow ups were attempted by telephone. Feedback will be received during the project which may impact the scoring of this assessment.

	Dr Chris Moseki[1] **(**MosekiC@dws.gov.za**)**	
List of participants:	**Name:**	**Designation:**
Date of assessment:	**19 Nov 2019**	

Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)
Goals and strategy	**Mission/mandate**	2	Mission and vision has provisions for climate change action, however there is lack of clarity and metrics for measuring attainment. Organization's climate change mandate is known and accepted by a small number of relevant stakeholders (internal and external).
	Strategic planning	3	climate change issue is not extensively integrated across the organization's work portfolio
	Leadership quality	2	leadership demonstrates reasonable commitment towards the issue of climate change.
	Funding model	1	Inadequate access to or allocation of financial resources for supporting climate change priorities and objectives.
	Gender and social inclusion	3	Gender and social inclusion strategy in place and actively practiced, but is not mainstreamed across different programmes.
Systems and infrastructure	**Organizational structure**	2	Organizational structure with clearly defined roles and responsibilities of departments, functions and lines of authority, particularly for accomplishing climate change objectives is in place but is not appropriately followed.
	Interfunctional coordination	2	Weak coordination across departments or key functions, particularly between the climate change and M&E unit, for achieving climate change goals.

	Monitoring & evaluation	2	Some difficulty in establishing suitable indicators for measuring organizational performance. Performance monitoring data on climate change occasionally collated. Minimal expertise in programme evaluation
	Knowledge management	3	not widely used for guiding future actions, particularly on climate change (e.g. organizational growth, policy influencing on climate change etc.).
	External communication	3	Systems exist and are widely used, but they are not well targeted at relevant stakeholders
	Information and communication technology	2	Sufficient access to equipment, hardware and software required to meet the most important and immediate needs
	Financial operations management	1	Basic financial activities undertaken with supporting documentation collected and retained, however there is limited transparency.
Human resources	**Staffing levels**	2	Dedicated units for climate change as well as M&E exists, however staff levels are very low compared to other departments.
	Knowledge and expertise on climate change	2	The climate change staff has some training, technical expertise or professional experience on climate change research and practice. However, the organization-wide knowledge on climate change across different departments is limited.
	Technical skills on M&E	2	Staff in the M&E unit has necessary training, technical expertise or professional experience on employing M&E approaches and tools. However, they do not possess necessary knowledge and understanding on climate change issues

	Access to capacity building	2	Staffs in the climate change and M&E unit have some access to training and capacity development opportunities, however this is somewhat irregular
Organizational assets	**Understanding of issue, context and role of relevant stakeholders**	3	Solid institutional knowledge of and engagement with the issue of climate change adaptation and other relevant global and national commitments (SDGs, annual development plans etc.), as well as relevant actors and local context for these issues, however with limited scope for regular and continuous learning.
	Partnerships/network development and fostering	3	Vast network of partners comprised of a diverse range of organizations within the climate change arena, with whom communication and cross-learning is fostered however relationships are not actively maintained.
	National presence and engagement	3	Reasonably well recognized and regarded as positive within the sector or field the organization is working in, however with limited coordination with other actors in the sector.
	Policy influence	4	Actively engaged in climate change - policy influencing and formulation processes at both local and global context.

Annexure 3: Capacity Assessment Exercise: Department of Agriculture, Forestry and Fisheries

Organization Information						
Name of organization:	**Department of Agriculture, Forestry and Fisheries (DAFF)**					
Organization type:	☒	Government	☐	Research/Academia	☐	NGO/CSO
	☐	Private Sector	☐	International Organization	☐	Other

Point of contact:	Doctor Phuthi[2]	DoctorP@daff.gov.za
	David Makate[1]	DavidMa@daff.gov.za
List of participants:	**Name:**	**Designation:**
Date of assessment:	**21/11/2019**	

[2] No comment received at the time of compiling report. Communications were sent by email and reminder follow ups were attempted by telephone. Feedback will be received during the project which may impact the scoring of this assessment.

Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)
Goals and strategy	**Mission/mandate**	4	Climate change issues are adequately addressed in the mission statement of the organization. Organization's climate change mandate is widely known and accepted by relevant stakeholders
	Strategic planning	3	DAFF has a well-defined strategic plan in terms of climate change. Several issues focusing on adaptation, mitigation and disaster risk features strongly in this document. It is also an updated and to-date document.
	Leadership quality	3	Senior leadership has a food understanding of climate change implications for this sector as well as some technical expertise.
	Funding model	3	Modest access to financial resources
	Gender and social inclusion	1	Some mention of social and gender aspects but very limited in implementation.
Systems and infrastructure	**Organizational structure**	3	Very well defined organizational structure to address climate change issues. DAFF has a dedicated Directorate: Climate Change and Disaster Management which deals with climate change mitigation and adaptation, risk and disaster management.
	Interfunctional coordination	3	There is good coordination across departments or key functions on climate change, but not clear evidence on strong interaction between climate change and M&E unit
	Monitoring & evaluation	3	Strong guidelines in terms of M&E for Adaptation in this sector. Department is still developing and improving on indicators.

	Knowledge management	2	There are some established systems in place for capturing and documenting internal knowledge on climate change, to enable capacity building.
	External communication	2	There are existing platforms and other sources of communication, but are not always well targeted at relevant stakeholders.
	Information and communication technology	3	Very good access to most important technology and equipment. Could improve in some areas of software.
	Financial operations management	3	?
Human resources	**Staffing levels**	3	The Climate Change & Disaster Management unit is well-staffed.
	Knowledge and expertise on climate change	2	Some level of expertise and knowledge on climate change issues but not sufficient across all departments.
	Technical skills on M&E	3	There are a commitment from DAFF to provide training and developing tools for those contributing and managing the M&E.
	Access to capacity building	2	There are training available to government staff on integrating climate change adaptation and socio-economic development planning and implementation
Organizational assets	**Understanding of issue, context and role of relevant stakeholders**	3	Solid knowledge of climate change adaptation and other relevant global and national commitments, but a lack of frequent exposure to necessary platforms.

	Partnerships/network development and fostering	3	Good and solid network of partners across the climate change institutional and research domain.
	National presence and engagement	3	Strong presence amongst other sectors.
	Policy influence	4	Minimal scope for influencing policy-making particularly on climate change action.

Annexure 4: Capacity Assessment Exercise Department of Environmental Affairs

Organization Information					
Name of organization:	**Department of Environmental Affairs (DEA)**				
Organization type:	☒ Government	☐ Research/Academia	☐ NGO/CSO		
	☐ Private Sector	☐ International Organization	☐ Other		

Point of contact:	**Sibonelo Mbanjwa (smbanjwa@environment.gov.za); Tsepang Makholela (TMakholela@environment.gov.za)**	
List of participants:	**Name:**	**Designation:**
	Sibonelo Mbanjwa **Tsepang Makholela**	Director: Climate Change Adaptation- Natural Resources Director: Climate Change Adaptation Monitoring & Evaluation
Date of assessment:	**04/11/2019**	

Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)
Goals and strategy	**Mission/mandate**	4	Addressing climate change is well defined in the organization's mission and vision statements with clear goals, and this which are widely followed and aligned with national priorities and supports the organization's broader mission. Organization's climate change mandate is widely known and accepted by relevant stakeholders
	Strategic planning	4	Strategy document with clear and coherent medium-to-long term plan for addressing climate change in place – both actionable and linked to mission, vision and goals - has strong considerations for M&E, transparency, reporting .
	Leadership quality	4	Senior management / steering committee possess necessary technical expertise, on the issue of climate change as well as MRV. Leadership also embodies diversity and provide strong direction and support as well as active participation.
	Funding model	4	Substantial access to financial resources for supporting climate change priorities and objectives - various sources and types of funding support available (e.g. government, donor agencies, private sector etc.) with budget allocated towards enhancing transparency and reporting or M&E of climate action.
	Gender and social inclusion	3	Gender and social inclusion strategy in place and actively practiced, but is not mainstreamed across different programmes.
Systems and infrastructure	**Organizational structure**	4	Organizational structure with clearly defined roles and responsibilities of departments, functions and lines of authority, particularly for accomplishing climate change objectives is in place, and is effectively applied.

	Interfunctional coordination	4	Strong coordination across departments or key functions, particularly between the climate change and M&E unit, for achieving climate change goals.
	Monitoring & evaluation	3	Reasonably capable of establishing suitable indicators for measuring organizational performance. Moderate expertise in programme evaluation. Evaluation is conducted frequently and is of moderate quality
	Knowledge management	4	Well-designed, comprehensive and user-friendly systems in place for capturing and documenting internal knowledge, organizational data and best practices, which are widely used for guiding future actions,
	External communication	4	Robust systems in place for communicating with relevant stakeholders (e.g. communication strategy) and are well used and targeted to pursue organizational goals, particularly on climate change.
	Information and communication technology	4	Wide access to necessary equipment and also advanced hardware and software for data collection as well as knowledge management, that contribute towards enhanced effectiveness and efficiency
	Financial operations management	4	Robust systems and controls in place governing all financial operations including tracking, reporting which are well aligned with organizational strategy and aspirations..
Human resources	**Staffing levels**	3	Dedicated units for climate change as well as M&E exists, composed of medium sized teams with staff levels equal to or lower than other departments.
	Knowledge and expertise on climate change	4	Organization-wide awareness on the issue of climate change among staff. The climate change unit is composed of staff with substantial expertise on climate change research and practice. The climate change unit also has dedicated people for M&E.

	Technical skills on M&E	4	Staff in the M&E unit has substantial training, technical expertise or professional experience on employing M&E approaches tools and are also trained on climate change in some capacity.
	Access to capacity building	3	Staffs in the climate change and M&E unit have regular access to training and capacity development, however this is limited to those in leadership positions.
Organizational assets	**Understanding of issue, context and role of relevant stakeholders**	4	Extensive institutional knowledge of and engagement with the issue of climate change adaptation and other relevant global and national commitments, as well as relevant actors, local context and the international policy architecture for these issues, with systems and processes in place for regular and continuous learning.
	Partnerships/network development and fostering	3	Vast network of partners comprised of a diverse range of organizations within the climate change arena, with whom communication and cross-learning is fostered however relationships are not actively maintained.
	National presence and engagement	4	Widely recognized within the within the sector or field the organization is working in and regarded as proactive in cooperating with other actors in the sector.
	Policy influence	4	Actively engaged in climate change - policy influencing and formulation processes at both local and global context.

Annexure 5: Capacity Assessment Exercise Water Research Commission

Organization Information			
Name of organization:	**Water Research Commission (WRC)**		
Organization type:	☐ Government ☒ Research/Academia ☐ NGO/CSO ☐ Private Sector ☐ International Organization ☐ Other		
Point of contact:	**Dr Brilliant Petja (brilliantp@wrc.org.za)**		
List of participants:	**Name:**	**Designation:**	
	Dr Brilliant Petja	**Research Manager: Climate Change**	
Date of assessment:	**20 Nov 2019**		

Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)
Goals and strategy	**Mission/mandate**	4	Addressing climate change is well defined in the organization's mission and vision statements with clear goals, and this which are widely followed and aligned with national priorities and supports the organization's broader mission.
	Strategic planning	4	Strategy document with clear and coherent medium-to-long term plan for addressing climate change in place – both actionable and linked to mission, vision and goals - has strong considerations for M&E, transparency, reporting as well as climate change mainstreaming. Gender and social inclusion considerations are also adequately incorporated within the document. Strategy document is regularly reviewed and updated to reflect new information and data, as well as national priorities.
	Leadership quality	4	Senior management / steering committee possess necessary technical expertise, on the issue of climate change as well as MRV. Leadership also embodies diversity and provide strong direction and support as well as active participation.
	Funding model	3	Modest access to financial resources for supporting climate change priorities and objectives - limited sources and types of funding support available (e.g. government, donor agencies, private sector etc.) with little budget allocated towards enhancing transparency and reporting or M&E of climate action.
	Gender and social inclusion	4	Comprehensive gender and social inclusion strategy in place and mainstreamed across different programmes, ensuring an enabling space for inclusive participation and contribution of diverse views towards strategic decision-making
Systems and infrastructure	**Organizational structure**	4	Organizational structure with clearly defined roles and responsibilities of departments, functions and lines of authority, particularly for accomplishing climate change objectives is in place, and is effectively applied.

	Inter-functional coordination	3	Moderate coordination across departments or key functions, particularly between the climate change and M&E unit, for achieving climate change goals.
	Monitoring & evaluation	3	Reasonably capable of establishing suitable indicators for measuring organizational performance, particularly in regard to climate change objectives Moderate expertise in collection and analysis of baseline and performance monitoring data, particularly on climate change Performance monitoring data, particularly on climate change, is regularly collected and reported to relevant stakeholders in a transparent manner
	Knowledge management	4	Well-designed, comprehensive and user-friendly systems in place for capturing and documenting internal knowledge, organizational data and best practices, particularly for climate change, which are widely used for guiding future actions, particularly on climate change
	External communication	4	Robust systems in place for communicating with relevant stakeholders (e.g. communication strategy) and are well used and targeted to pursue organizational goals, particularly on climate change.
	Information and communication technology	4	Wide access to necessary equipment and also advanced hardware and software for data collection as well as knowledge management, that contribute towards enhanced effectiveness and efficiency.
	Financial operations management	3	Formal internal controls in place governing all financial operations including tracking, reporting and cash flow management.
Human resources	**Staffing levels**	3	Dedicated units for climate change as well as M&E exists, composed of medium sized teams with staff levels equal to or lower than other departments.

	Knowledge and expertise on climate change	3	The climate change unit has necessary training, technical expertise or professional experience on climate change research and practice. Also, moderate levels of knowledge on climate change across different departments / units.
	Technical skills on M&E	3	Staff in the M&E unit has substantial training, technical expertise or professional experience on employing M&E approaches tools and are also trained on climate change in some capacity.
	Access to capacity building	4	All staff in the climate change and M&E unit have regular access to training and capacity development opportunities, on a diverse range of topics and skillset
Organizational assets	**Understanding of issue, context and role of relevant stakeholders**	4	Extensive institutional knowledge of and engagement with the issue of climate change adaptation and other relevant global and national commitments, as well as relevant actors, local context and the international policy architecture for these issues, with systems and processes in place for regular and continuous learning.
	Partnerships/network development and fostering	3	Vast network of partners comprised of a diverse range of organizations within the climate change arena, with whom communication and cross-learning is fostered however relationships are not actively maintained.
	National presence and engagement	4	Widely recognized within the within the sector or field the organization is working in and regarded as proactive in cooperating with other actors in the sector.
	Policy influence	4	Actively engaged in climate change - policy influencing and formulation processes at both local and global context.

Annexure 6: Capacity Assessment Exercise South African National Biodiversity Institute

Organization Information		
Name of organization:	**South African National Biodiversity Institute (SANBI)**	
Organization type:	☒ Government ☒ Research/Academia ☐ NGO/CSO ☐ Private Sector ☐ International Organization ☐ Other	
Point of contact:	Dr. Mandy Barnett Tel: +27 (0) 21 799 8895 fax: +27 (0) 86 5799 488 Email: m.barnett@sanbi.org.za	
List of participants:	**Name:**	**Designation:**
	Dr. Mandy Barnett	Chief Director: Climate Change
Date of assessment:	**13/11/2019**	

Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)
Goals and strategy	**Mission/mandate**	4	SANBI used to have a research division dedicated to climate change. However, this has been replaced by the climate change adaptation portfolio and integrates across all aspects of biodiversity.
	Strategic planning	3	As far as their website concerns, there is no available strategic plan in terms of climate change. Other documents have a greater focus and explanation of their climate change strategy.
	Leadership quality	3	Senior leadership has a good understanding of climate change implications for this sector as well as solid technical expertise.
	Funding model	3	Good access to financial resources
	Gender and social inclusion	2	There is a good focus on social and gender aspects.
Systems and infrastructure	**Organizational structure**	3	Climate change issues are integrated across all departments.
	Interfunctional coordination	3	There is good coordination across departments or key functions on climate change, but not clear evidence on strong interaction between climate change and M&E unit
	Monitoring & evaluation	3	SANBI has good guidelines in terms of M&E for Adaptation in this sector. Department is still developing and improving on indicators.

	Knowledge management	2	There are some established systems in place for capturing and documenting internal knowledge on climate change, to enable capacity building.
	External communication	3	SANBI has developed good platforms and other sources of communication to communicate climate change issues. They also have very good stakeholder interaction.
	Information and communication technology	3	Very good access to most important technology and equipment.
	Financial operations management		?
Human resources	**Staffing levels**	2	Staffing levels are adequate.
	Knowledge and expertise on climate change	4	SANBI has excellent resources, expertise and knowledge on climate change.
	Technical skills on M&E	3	SANBI has good skills in M&E although it is unclear as to how this relates to specific climate change projects.
	Access to capacity building	3	There is training available.
Organizational assets	**Understanding of issue, context and role of relevant stakeholders**	3	Solid knowledge of climate change adaptation and other relevant global and national commitments, as well as good exposure to international forums.

	Partnerships/network development and fostering	4	Good and solid network of partners across the climate change institutional and research domain.
	National presence and engagement	3	Strong presence amongst other sectors.
	Policy influence	3	Important ability to influence policy-making particularly on climate change action.

Annexure 7: Capacity Assessment Exercise South African Earth Observation Network

Organization Information	
Name of organization:	**South African Earth Observation Network**

Organization type:	☒ Government ☐ Research/Academia ☐ NGO/CSO ☐ Private Sector ☐ International Organization ☐ Other	
Point of contact:	**Claire Reddy -** claire@saeon.ac.za	
List of participants:	**Name:**	**Designation:**
	Claire Reddy	**Data Science Manager - uLwazi Node**
Date of assessment:	**15/11/2019**	

Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)
Goals and strategy	**Mission/mandate**	2	Mission and vision has provisions for climate change action, however there is lack of clarity and metrics for measuring attainment
	Strategic planning	3	Strategy document for addressing climate change or a general plan with climate change objectives exist. There is limited focus on M&E, transparency and reporting as well as gender and social inclusion considerations.
	Leadership quality	2	Limited technical expertise on climate change within leadership positions , however leadership demonstrates reasonable commitment towards the issue of climate change
	Funding model	2	Minimal access to financial resources for supporting climate change priorities and objectives – insufficient access to funding sources
	Gender and social inclusion	3	Gender and social inclusion strategy in place and actively practiced, but is not mainstreamed across different programmes.
Systems and infrastructure	**Organizational structure**	2	Organizational structure with clearly defined roles and responsibilities of departments, functions and lines of authority is in place but needs to be revised to effectively support climate change and disaster management activities.
	Interfunctional coordination	3	Moderate coordination across departments or key functions,
	Monitoring & evaluation	3	Reasonably capable of supporting M&E for climate change.

	Knowledge management	3	Systems exist for capturing and documenting internal knowledge, organizational data and best practices, particularly for climate change, which are somewhat comprehensive, but are not widely used for guiding future actions
	External communication	3	Systems exist and are widely used, but they are not well targeted at relevant stakeholders
	Information and communication technology	4	Wide access to necessary equipment and also advanced hardware and software for data collection as well as knowledge management, that contribute towards enhanced effectiveness and efficiency.
	Financial operations management	3	Formal internal controls in place governing all financial operations including tracking, reporting and cash flow management
Human resources	**Staffing levels**	3	Dedicated units for climate change as well as M&E exists, composed of medium sized teams with staff levels equal to or lower than other departments.
	Knowledge and expertise on climate change	3	The climate change unit has necessary training, technical expertise or professional experience on climate change research and practice. Also, moderate levels of knowledge on climate change across different departments / units.
	Technical skills on M&E	3	Staff in the M&E unit has necessary training, technical expertise or professional experience on employing M&E tools and approaches for progress reporting but do not have the necessary technical knowledge for climate change M&E.
	Access to capacity building	4	Staffs in the climate change and M&E unit have regular access to training and capacity development, however this is limited to those in leadership positions.

Organizational assets	**Understanding of issue, context and role of relevant stakeholders**	4	Solid institutional knowledge of and engagement with the issue of climate change adaptation and other relevant global and national commitments
	Partnerships/network development and fostering	4	Vast network of partners comprised of a diverse range of organizations within the climate change arena, with whom communication and cross-learning is fostered however relationships are not actively maintained
	National presence and engagement	4	Reasonably well recognized and regarded as positive within the sector or field the organization is working in, however with limited coordination with other actors in the sector
	Policy influence	4	Moderate scope for influencing policymaking and particularly on climate change action change action.

Annexure 8: Capacity Assessment Exercise Co-operative Governance and Traditional Affairs and National Disaster Management Centre

Organization Information	
Name of organization:	**Co-operative Governance and Traditional Affairs and National Disaster Management Centre**
Organization type:	☒ Government ☐ Research/Academia ☐ NGO/CSO

	☐ Private Sector ☐ International Organization ☐ Other	
Point of contact:	**David Madurai - DavidM@ndmc.gov.za**	
List of participants:	**Name:**	**Designation:**
	David Madurai	**Chief Director**
Date of assessment:	**04/11/2019**	

Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)
Goals and strategy	**Mission/mandate**	2	Mission and vision has provisions for climate change action, however there is lack of clarity and metrics for measuring attainment. Organization's climate change mandate is known and accepted by a small number of relevant stakeholders (internal and external).
	Strategic planning	3	Strategy document, or a general plan outlining short-medium term plans for addressing climate change exists . The document is regularly reviewed and updated to reflect national priorities. However, climate change issue is not extensively integrated across the organization's work portfolio.
	Leadership quality	4	Senior management / steering committee possess necessary technical expertise, on the issue of climate change as well as MRV. Leadership also embodies diversity and provide strong direction and support as well as active participation.
	Funding model	1	Inadequate access to or allocation of financial resources for supporting climate change priorities and objectives.
	Gender and social inclusion	3	Gender and social inclusion strategy in place and actively practiced, but is not mainstreamed across different programmes.
Systems and infrastructure	**Organizational structure**	3	Organizational structure with clearly defined roles and responsibilities of departments, functions and lines of authority particularly for accomplishing climate change objectives is in place, and is adequately followed..
	Interfunctional coordination	2	Weak coordination across departments or key functions, particularly between the climate change and M&E unit, for achieving climate change goals.

	Monitoring & evaluation	1	Significant difficulty in establishing suitable indicators for measuring organizational performance. Lack of expertise in collection and analysis of baseline and performance monitoring data. Lack of expertise in programme evaluation. Performance monitoring data is not transparently collected and reported to relevant stakeholders
	Knowledge management	2	Systems exist for capturing and documenting internal knowledge, organizational data and best practices, particularly for climate change, which are somewhat comprehensive, but are not widely used for guiding future actions,
	External communication	3	Systems exist and are widely used, but they are not well targeted at relevant stakeholders
	Information and communication technology	4	Wide access to necessary equipment and also advanced hardware and software for data collection as well as knowledge management, that contribute towards enhanced effectiveness and efficiency
	Financial operations management	3	Formal internal controls in place governing all financial operations including tracking, reporting and cash flow management.
Human resources	**Staffing levels**	2	Dedicated units for climate change as well as M&E exists, however staff levels are very low compared to other departments.
	Knowledge and expertise on climate change	3	The climate change unit has necessary training, technical expertise or professional experience on climate change research and practice. Also, moderate levels of knowledge on climate change across different departments / uni
	Technical skills on M&E	2	Staff in the M&E unit has necessary training, technical expertise or professional experience on employing M&E approaches and tools. However, they do not possess necessary knowledge and understanding on

			climate change issues
	Access to capacity building	3	Staffs in the climate change and M&E unit have regular access to training and capacity development, however this is limited to those in leadership positions.
Organizational assets	**Understanding of issue, context and role of relevant stakeholders**	2	Solid institutional knowledge of and engagement with the issue of climate change adaptation and other relevant global and national commitments (SDGs, annual development plans etc.), as well as relevant actors and local context for these issues, however with limited scope for regular and continuous learning.
	Partnerships/network development and fostering	3	Vast network of partners comprised of a diverse range of organizations within the climate change arena, with whom communication and cross-learning is fostered however relationships are not actively maintained.
	National presence and engagement	3	Reasonably well recognized and regarded as positive within the sector or field the organization is working in, however with limited coordination with other actors in the sector.
	Policy influence	4	Actively engaged in climate change - policy influencing and formulation processes at both local and global context.

Annexure 9: Capacity Assessment Exercise South African Weather Services

Organization Information						
Name of organization:	**South African Weather Services**					
Organization type:	☒	Government	☐	Research/Academia	☐	NGO/CSO
	☐	Private Sector	☐	International Organization	☐	Other
Point of contact:						

	Miriam Murambadoro (Miriam.Murambadoro@weathersa.co.za)	
List of participants:	**Name:**	**Designation:**
	Miriam Murambadoro	
Date of assessment:	**29/10/2019**	

Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)
Goals and strategy	**Mission/mandate**	3	Mission and vision clearly expresses and entails actionable goals for addressing climate change and they are aligned with organization's broader mission and national priorities. An explanation about the linkages between strategic goals and objectives and the country's National Adaptation Strategy is not communicated. Organization's climate change mandate is fairly well known and accepted by relevant stakeholders (internal and external). The service offerings for climate service end users are not clearly communicated.
	Strategic planning	3	Strategy document, or a general plan outlining short-medium term plans for addressing climate change exists . The document is regularly reviewed and updated to reflect national priorities. However, climate change issue is not extensively integrated across the organization's work portfolio. There is limited focus on M&E, transparency and reporting as well as gender and social inclusion considerations.
	Leadership quality	2	Limited technical expertise on climate change within leadership positions , however leadership demonstrates reasonable commitment towards the issue of climate change
	Funding model	2	Minimal access to financial resources for supporting climate change priorities and objectives – insufficient access to funding sources.
	Gender and social inclusion	3	Gender and social inclusion strategy in place and actively practiced, but is not mainstreamed across different programmes.
Systems and infrastructure	**Organizational structure**	2	Organizational structure with clearly defined roles and responsibilities of departments, functions and lines of authority, particularly for accomplishing climate change objectives is in place but is not appropriately followed

	Interfunctional coordination	2	Weak coordination across departments or key functions, particularly between the climate change and M&E unit, for achieving climate change goals.
	Monitoring & evaluation	2	Monitoring 🎬 Some difficulty in establishing suitable indicators for measuring organizational performance, particularly in regard to climate change objectives 🎬 Minimal expertise in collection and analysis of baseline and performance monitoring data, particularly on climate change 🎬 Performance monitoring data, particularly on climate change, is occasionally collected and reported to relevant stakeholders in a transparent manner Evaluation 🎬 Minimal expertise in programme evaluation, particularly climate change objectives 🎬 Evaluation is conducted occasionally and is of minimal quality 🎬 Evaluation is occasionally guided by stakeholder inputs and results and recommendations are occasionally incorporated in new and existing strategies and programming
	Knowledge management	4	Well-designed, comprehensive and user-friendly systems in place for capturing and documenting internal knowledge, organizational data and best practices, particularly for climate change, which are widely used for guiding future actions, particularly on climate change.
	External communication	3	Systems exist and are widely used, but they are not well targeted at relevant stakeholders.

	Information and communication technology	4	Wide access to necessary equipment and also advanced hardware and software for data collection as well as knowledge management, that contribute towards enhanced effectiveness and efficiency.
	Financial operations management	3	Formal internal controls in place governing all financial operations including tracking, reporting and cash flow management.
Human resources	**Staffing levels**	2	Dedicated units for climate change as well as M&E exists, however staff levels are very low compared to other departments.
	Knowledge and expertise on climate change	3	The climate change unit has necessary training, technical expertise or professional experience on climate change research and practice. Also, moderate levels of knowledge on climate change across different departments / units.
	Technical skills on M&E	3	Staff in the M&E or unit does not have sufficient training and technical expertise on employing M&E tools and very little knowledge and understanding on climate change issues.
	Access to capacity building	2	Staffs in the climate change and M&E unit have some access to training and capacity development opportunities, however this is somewhat irregular
Organizational assets	**Understanding of issue, context and role of relevant stakeholders**	4	Solid institutional knowledge of and engagement with the issue of climate change adaptation and other relevant global and national commitments (SDGs, annual development plans etc.), as well as relevant actors and local context for these issues.
	Partnerships/network development and fostering	4	Medium network of partners, comprised of a variety of organizations within the climate change arena, however relationships entail limited communication and scope for crosslearning.

	National presence and engagement	4	Reasonably well recognized and regarded as positive within the sector or field the organization is working in, however with limited coordination with other actors in the sector.
	Policy influence	4	Moderate scope for influencing policymaking and particularly on climate change action change action

Annexure 10: Capacity Assessment Exercise Rural Development and Land Reform

Organization Information						
Name of organization:	Rural Development and Land Reform (DRDLR)					
Organization type:	☒	Government	☐	Research/Academia	☐	NGO/CSO
	☐	Private Sector	☐	International Organization	☐	Other
Point of contact:	Magezi Mhlanga 0123128668 0795151167/0718531227 magezi.mhlanga@drdlr.gov.za Zongezile Bongo 0123129628					

	0714884461 zongezile.bango@drdlr.gov.za Mfanafuthi Gama 0123128777 0820417526/0835789157 mfanafuthi.gama@drdlr.gov.za	
List of participants:		**Designation:**
	Magezi Mhlanga Zongezile Bongo Mfanafuthi Gama	Chief Town and Regional Planner: Environment Planning Services Control Environment Officer: Environment Planning Services A/Chief Director: Spatial Development Planning
Date of assessment:	**20/11/2019**	

Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)
Goals and strategy	**Mission/mandate**	1	Climate change issues are not addressed in the mission statement of the organization.
	Strategic planning	2	The DRDLR has a Climate Change Adaptation Sector Strategy for Rural Human Settlements as mandated by the National Climate Change Response White Paper (NCCR). The latest version is however, 6 years old.
	Leadership quality	2	Technical expertise is lacking, but there are willingness and commitment to address climate change as well as forming partnerships.
	Funding model	3	Although climate change objectives are not featuring mission statement, there are financial commitment towards making funding available for appointment of service providers to do climate Risk and Vulnerability assessments and provide training on climate change adaptation sector plan for Rural Human Settlements
	Gender and social inclusion	3	
Systems and infrastructure	**Organizational structure**	2	The adaptation sector plan for Rural Human Settlements has a clear indication of function and responsibility, but there is doubt as to how effectively this if followed. There is also no clear indication on their website as to which “branches” are responsible and where the functions for climate change issues lie.
	Interfunctional coordination	2	There is some coordination across departments or key functions. Lack of insight into which department is responsible for specific M&E functions.
	Monitoring & evaluation	3	Well defined monitoring and evaluation framework with suitable indicators as informed by the Climate Change Adaptation Plan.

	Knowledge management	1	Could find no evidence of established systems in place for capturing and documenting internal knowledge on climate change.
	External communication	2	There are some sources of communication, but it is not updated frequently and not distributed widely.
	Information and communication technology	2	Sufficient access to most important technology and equipment.
	Financial operations management		?
Human resources	**Staffing levels**	2	The Chief Directorate for Spatial Planning and Information is the dedicated unit to deal with climate change. There is however no clear evidence that they implement M&E.
	Knowledge and expertise on climate change	2	Some level of expertise and knowledge on climate change issues but not sufficient across all branches.
	Technical skills on M&E	3	Staff do have training but have low levels of knowledge and understanding on climate change issues.
	Access to capacity building	2	The DRDLR has a Climate Change Adaptation Training Programme, but it is uncertain when and how often staff participate in these trainings.
Organizational assets	**Understanding of issue, context and role of relevant stakeholders**	3	Solid knowledge of climate change adaptation and other relevant global and national commitments, but a lack of frequent exposure to necessary platforms.

	Partnerships/network development and fostering	3	Good and solid network of partners across the climate change institutional and research domain.
	National presence and engagement	3	Strong presence amongst other sectors.
	Policy influence	2	Minimal scope for influencing policy-making particularly on climate change action.

Annexure 11: Capacity Assessment Exercise Department of Health

Organization Information						
Name of organization:	**Department of Health (DoH)**					
Organization type:	☒	Government	☐	Research/Academia	☐	NGO/CSO
	☐	Private Sector	☐	International Organization	☐	Other

Point of contact:	**Gaurang Tanna-** Gaurang.Tanna@health.gov.za[3]; Anwar Mohamed - Anwar.Mahomed@health.gov.za[1];	
List of participants:	**Name:**	**Designation:**
Date of assessment:	**26/11/2019**	

[3] No comment received at the time of compiling report. Communications were sent by email and reminder follow ups were attempted by telephone. Feedback will be received during the project which may impact the scoring of this assessment.

Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)
Goals and strategy	**Mission/mandate**	3	Mission and vision clearly expresses and entails actionable goals for addressing climate change indirectly - however they are not well aligned with organization's broader mission and national priorities.
	Strategic planning	2	Strategy document for addressing climate change or a general plan with climate change objectives exist, but is largely inadequate as it is in conflict with the organization's broader mission/mandate. There is limited access to climate change data and the document or plan is not regularly reviewed or updated.
	Leadership quality	1	Limited technical expertise on climate change within leadership positions – also characterized by little direction and low commitment from senior management, towards addressing climate change.
	Funding model	1	Inadequate access to or allocation of financial resources for supporting climate change priorities and objectives.
	Gender and social inclusion	3	Gender and social inclusion strategy in place and actively practiced, but is not mainstreamed across different programmes.
Systems and infrastructure	**Organizational structure**	1	The scope of organizational structure is not well defined to include climate change or sustainable development.
	Interfunctional coordination	2	Weak coordination across departments or key functions but strengthening of the basic monitoring and evaluation M&E system has been proposed.

	Monitoring & evaluation	1	Significant difficulty in establishing suitable indicators for measuring organizational performance. Lack of expertise in programme evaluation. Evaluation is conducted rarely and is of poor quality
	Knowledge management	2	Systems exist for capturing and documenting internal knowledge, organizational data and best practices which are somewhat comprehensive, but are not widely used for guiding future actions.
	External communication	3	Systems exist and are widely used, but they are not well targeted at relevant stakeholders
	Information and communication technology	2	Sufficient access to equipment, hardware and software required to meet the most important and immediate needs.
	Financial operations management	3	Formal internal controls in place governing all financial operations including tracking, reporting and cash flow management.
Human resources	**Staffing levels**	1	No dedicated unit for climate change in place. M&E unit within the organizations either does not exist or is small in size.
	Knowledge and expertise on climate change	1	Majority of the staff, including those in the dedicated climate change unit, do not have necessary training, technical expertise or professional experience on climate change.
	Technical skills on M&E	1	Staff in the M&E or unit does not have sufficient training and technical expertise on employing M&E tools and very little knowledge and understanding on climate change issues.
	Access to capacity building	2	Staffs in the climate change and M&E unit have some access to training and capacity development opportunities, however this is somewhat irregular

Organizational assets	**Understanding of issue, context and role of relevant stakeholders**	1	Solid institutional knowledge of and engagement with the issue of climate change adaptation and other relevant global and national commitments (SDGs, annual development plans etc.), as well as relevant actors and local context for these issues.
	Partnerships/network development and fostering	2	Medium network of partners, comprised of a variety of organizations within the climate change arena, however relationships entail limited communication and scope for crosslearning
	National presence and engagement	3	Reasonably well recognized and regarded as positive within the sector or field the organization is working in, however with limited coordination with other actors in the sector.
	Policy influence	3	Moderate scope for influencing policymaking and particularly on climate change action change action.

Annexure 12: Capacity Assessment Exercise Department of Energy and ESKOM

Organization Information	
Name of organization:	**Department of Energy (DOE) and ESKOM**
Organization type:	☒ Government ☒ Research/Academia ☐ NGO/CSO

	☐ Private Sector ☐ International Organization ☐ Other	
Point of contact:	**Thebe.Mamakoko@energy.gov.za[4]; Azile.Nesi@energy.gov.za[1]; Tebogo.Mokgomo@energy.gov.za[1]**	
List of participants:	**Name:**	**Designation:**
Date of assessment:	**23/11/2019**	

[4] No comment received at the time of compiling report. Communications were sent by email and reminder follow ups were attempted by telephone. Feedback will be received during the project which may impact the scoring of this assessment.

Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)
Goals and strategy	**Mission/mandate**	4	Addressing climate change is well defined in the organization's mission and vision statements with clear goals, and this which are widely followed and aligned with national priorities and supports the organization's broader mission. Organization's climate change mandate is widely known and accepted by relevant stakeholders...
	Strategic planning	4	Strategy document is regularly reviewed and updated to reflect new information and data, as well as national priorities
	Leadership quality	4	Senior management / steering committee possess necessary technical expertise, on the issue of climate change as well as MRV. Leadership also embodies diversity and provide strong direction and support as well as active participation.
	Funding model	3	Modest access to financial resources for supporting climate change priorities and objectives.
	Gender and social inclusion	3	Not mainstreamed across different programmes.
Systems and infrastructure	**Organizational structure**	3	Organizational structure with clearly defined roles and responsibilities of departments, functions and lines of authority particularly for accomplishing climate change objectives is in place, and is adequately followed.
	Interfunctional coordination	3	Moderate coordination across departments or key functions, particularly between the climate change and M&E unit, for achieving climate change goals.

	Monitoring & evaluation	3	Reasonably capable of supporting M&E for climate change
	Knowledge management	2	Some systems and procedures in place for capturing and documenting internal knowledge, organizational data and best practices, particularly for climate change, however they are not comprehensive
	External communication	4	Robust systems in place for communicating with relevant stakeholders (e.g. communication strategy) and are well used and targeted to pursue organizational goals, particularly on climate change.
	Information and communication technology	3	Significant access to necessary equipment, however advanced hardware and software not available
	Financial operations management	3	Formal internal controls in place governing all financial operations including tracking, reporting and cash flow management.
Human resources	**Staffing levels**	3	Dedicated units for climate change as well as M&E exists, composed of medium sized teams with staff levels equal to or lower than other departments.
	Knowledge and expertise on climate change	3	The climate change unit has necessary training, technical expertise or professional experience on climate change research and practice. Also, moderate levels of knowledge on climate change across different departments / units.
	Technical skills on M&E	3	Staff in the M&E unit has necessary training, technical expertise or professional experience on employing M&E tools and approaches, with low levels of knowledge and understanding on climate change issues.

	Access to capacity building	3	Staffs in the climate change and M&E unit have regular access to training and capacity development, however this is limited to those in leadership positions.
Organizational assets	**Understanding of issue, context and role of relevant stakeholders**	3	Solid institutional knowledge of and engagement with the issue of climate change adaptation and other relevant global and national commitments
	Partnerships/network development and fostering	3	Vast network of partners comprised of a diverse range of organizations within the climate change arena, with whom communication and cross-learning is fostered however relationships are not actively maintained..
	National presence and engagement	4	Widely recognized within the within the sector or field the organization is working in and regarded as proactive in cooperating with other actors in the sector.
	Policy influence	4	Actively engaged in climate change - policy influencing and formulation processes at both local and global context.

Annexure 13: Capacity Assessment Exercise Department of Human Settlements

Organization Information	
Name of organization:	**Department of Human Settlements (DHS)**

Organization type:	☒	Government	☐	Research/Academia	☐ NGO/CSO
	☐	Private Sector	☐	International Organization	☐ Other
Point of contact:	**Andile.Mncube@dhs.gov.za**[5]; **Mulalo.Muthige@dhs.gov.za**[1]; **martie.vdberg@dhs.gov.za**[1].; **wonder.nkosi@dhs.gov.za**[1]				
List of participants:	**Name:**		**Designation:**		
Date of assessment:	**04/11/2019**				

[5] No comment received at the time of compiling report. Communications were sent by email and reminder follow ups were attempted by telephone. Feedback will be received during the project which may impact the scoring of this assessment.

Domain	Sub-domain	Score (1-4)	Rationale for provided score
Goals and strategy	**Mission/mandate**	1	No clearly defined mission, vision or organizational goals dictating it to Address climate change issues.
	Strategic planning	1	Strategy document for addressing Sustainable human settlements with climate change objectives exist, but is largely inadequate.
	Leadership quality	2	Limited technical expertise on climate change within leadership positions, however leadership demonstrates reasonable commitment towards the issue of climate change
	Funding model	1	Inadequate access to or allocation of financial resources for supporting climate change priorities and objectives.
	Gender and social inclusion	3	Gender and social inclusion strategy in place and actively practiced, but is not mainstreamed across different programs.
Systems and infrastructure	**Organizational structure**	2	Organizational structure with clearly defined roles and responsibilities of departments, functions and lines of authority, particularly for accomplishing climate change objectives is in place but is not appropriately followed.
	Inter-functional coordination	2	Weak coordination across departments or key functions, particularly between the climate change and M&E unit, for achieving climate change goals.

	Monitoring & evaluation	1	Significant difficulty in establishing suitable indicators for measuring organizational performance. Lack of expertise in collection and analysis of baseline and performance monitoring data. Lack of expertise in program evaluation. Performance monitoring data is not transparently collected and reported to relevant stakeholders
	Knowledge management	2	Some systems and procedures in place for capturing and documenting internal knowledge however they are not comprehensive
	External communication	3	Systems exist and are widely used, but they are not well targeted at relevant stakeholders
	Information and communication technology	1	Inadequate access to necessary equipment, hardware and software for data collection as well as knowledge management, resulting in loss of effectiveness and efficiency.
	Financial operations management	3	Formal internal controls in place governing all financial operations including tracking, reporting and cash flow management.
Human resources	**Staffing levels**	1	No dedicated unit for climate change in place. M&E unit within the organizations either does not exist or is small in size.
	Knowledge and expertise on climate change	1	Majority of the staff, including those in the dedicated climate change unit, do not have necessary training, technical expertise or professional experience on climate change.
	Technical skills on M&E	1	Staff in the M&E or unit does not have sufficient training and technical expertise on employing M&E tools and very little knowledge and understanding on climate change issues.

	Access to capacity building	2	Staffs in the climate change and M&E unit have some access to training and capacity development opportunities, however this is somewhat irregular
Organizational assets	**Understanding of issue, context and role of relevant stakeholders**	1	Solid institutional knowledge of and engagement with the issue of climate change adaptation and other relevant global and national commitments (SDGs, annual development plans etc.), as well as relevant actors and local context for these issues.
	Partnerships/network development and fostering	2	Medium network of partners, comprised of a variety of organizations within the climate change arena, however relationships entail limited communication and scope for cross learning
	National presence and engagement	3	Reasonably well recognized and regarded as positive within the sector or field the organization is working in, however with limited coordination with other actors in the sector.
	Policy influence	3	Moderate scope for influencing policymaking and particularly on climate change action change action

Annexure 14: Capacity Assessment Exercise Research Alliance for Disasters and Risk Reduction

Organization Information	
Name of organization:	**Research Alliance for Disasters and Risk Reduction (RADAR)**

Organization type:	☐	Government	☒	Research/Academia	☐	NGO/CSO
	☐	Private Sector	☐	International Organization	☐	Other
Point of contact:	**Mr Carinus de Kock (dekokc@sun.ac.za)**					
List of participants:	**Name:**		**Designation:**			
	Mr Carinus de Kock					
Date of assessment:	**23 Oct 2019**					

Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)
Goals and strategy	**Mission/mandate**	2	Mission and vision has provisions for climate change action, however there is lack of clarity and metrics for measuring attainment. Organization's climate change mandate is known and accepted by a small number of relevant stakeholders

			(internal and external).
	Strategic planning	1	Strategy document for addressing climate change or a general plan with climate change objectives does not exist.
	Leadership quality	2	leadership demonstrates reasonable commitment towards the issue of climate change.
	Funding model	1	Inadequate access to or allocation of financial resources for supporting climate change priorities and objectives.
	Gender and social inclusion	3	Gender and social inclusion strategy in place and actively practiced, but is not mainstreamed across different programmes.
Systems and infrastructure	**Organizational structure**	3	Organizational structure with clearly defined roles and responsibilities of departments, functions and lines of authority particularly for accomplishing climate change objectives is in place, and is adequately followed.
	Interfunctional coordination	1	Limited to no coordination across departments or key functions, particularly between the climate change and M&E unit, for achieving climate change goals.
	Monitoring & evaluation	1	Significant difficulty in establishing suitable indicators for measuring organizational performance. Performance monitoring data, not collated. Lack of expertise in programme evaluation
	Knowledge management	3	Systems exist for capturing and documenting internal knowledge, organizational data and best practices, particularly for climate change, which are somewhat comprehensive, but are not widely used for guiding future actions, particularly on climate change (e.g. organizational growth, policy influencing on climate change etc.).

	External communication	3	Systems exist and are widely used, but they are not well targeted at relevant stakeholders
	Information and communication technology	2	Sufficient access to equipment, hardware and software required to meet the most important and immediate needs
	Financial operations management	3	Formal internal controls in place governing all financial operations including tracking, reporting and cash flow management.
Human resources	**Staffing levels**	1	No dedicated unit for climate change in place. M&E unit within the organizations either does not exist or is small in size.
	Knowledge and expertise on climate change	2	The climate change staff has some training, technical expertise or professional experience on climate change research and practice. However, the organization-wide knowledge on climate change across different departments is limited.
	Technical skills on M&E	2	Staff in the M&E unit has necessary training, technical expertise or professional experience on employing M&E approaches and tools. However, they do not possess necessary knowledge and understanding on climate change issues
	Access to capacity building	2	Staffs in the climate change and M&E unit have some access to training and capacity development opportunities, however this is somewhat irregular
Organizational assets	**Understanding of issue, context and role of relevant stakeholders**	3	Solid institutional knowledge of and engagement with the issue of climate change adaptation and other relevant global and national commitments (SDGs, annual development plans etc.), as well as relevant actors and local context for these issues, however with limited scope for regular and continuous learning.

	Partnerships/network development and fostering	3	Vast network of partners comprised of a diverse range of organizations within the climate change arena, with whom communication and cross-learning is fostered however relationships are not actively maintained.
	National presence and engagement	2	Presence somewhat recognized and generally regarded as positive within the sector or field the organization is working in.
	Policy influence	4	Actively engaged in climate change - policy influencing and formulation processes at both local and global context.

Annexure 15: Capacity Assessment Exercise South African Local Government Association

Organization Information			
Name of organization:	**South African Local Government Association (SALGA)**		
Organization type:	☒ Government	☐ Research/Academia	☐ NGO/CSO
	☐ Private Sector	☐ International Organization	☐ Other
Point of contact:	**Ms Telly Chauke**[6] **(**ichauke@salga.org.za) **Ms Lungelwa Dlulisa**[1] **(**ldlulisa@salga.org.za)		
List of participants:	**Name:**	**Designation:**	

[6] No comment received at the time of compiling report. Communications were sent by email and reminder follow ups were attempted by telephone. Feedback will be received during the project which may impact the scoring of this assessment.

Date of assessment:	**19 Nov 2019**	

Domain	Sub-domain	Score (1-4)	Rationale for provided score (supported by evidence, if available)
Goals and strategy	**Mission/mandate**	2	Mission and vision has provisions for climate change action, however there is lack of clarity and metrics for measuring attainment.

	Strategic planning	2	Strategy document for addressing climate change or a general plan with climate change objectives exist. There is limited access to climate change data and the document or plan is not regularly reviewed or updated.
	Leadership quality	2	Limited technical expertise on climate change within leadership positions , however leadership demonstrates reasonable commitment towards the issue of climate change
	Funding model	1	Inadequate access to or allocation of financial resources for supporting climate change priorities and objectives.
	Gender and social inclusion	4	social inclusion strategy in place and mainstreamed across different programmes, ensuring an enabling space for inclusive participation and contribution of diverse views towards strategic decision-making
Systems and infrastructure	**Organizational structure**	3	Organizational structure with clearly defined roles and responsibilities of departments, functions and lines of authority particularly for accomplishing climate change objectives is in place, and is adequately followed.
	Interfunctional coordination	2	Weak coordination across departments or key functions, particularly between the climate change and M&E unit, for achieving climate change goals.
	Monitoring & evaluation	2	Some difficulty in establishing suitable indicators for measuring organizational performance. Minimal expertise in collection and analysis of baseline and performance monitoring data. Minimal expertise in programme evaluation
	Knowledge management	2	Some systems and procedures in place for capturing and documenting internal knowledge, organizational data and best practices, particularly for climate change, however they are not comprehensive (e.g. easy access to data and information, user-friendliness of data-collection tools, data analysis etc.)

	External communication	3	Systems exist and are widely used, but they are not well targeted at relevant stakeholders
	Information and communication technology	2	Sufficient access to equipment, hardware and software required to meet the most important and immediate needs.
	Financial operations management	3	Formal internal controls in place governing all financial operations including tracking, reporting and cash flow management.
Human resources	**Staffing levels**	1	No dedicated unit for climate change in place. M&E unit within the organizations either does not exist or is small in size.
	Knowledge and expertise on climate change	2	The climate change unit has some training, technical expertise or professional experience on climate change research and practice. However, the organization-wide knowledge on climate change across different departments is limited.
	Technical skills on M&E	2	Staff in the M&E unit has necessary training, technical expertise or professional experience on employing M&E approaches and tools. However, they do not possess necessary knowledge and understanding on climate change issues.
	Access to capacity building	2	Staffs in the climate change and M&E unit have some access to training and capacity development opportunities, however this is somewhat irregular.
Organizational assets	Understanding of issue, context and role of relevant stakeholders	4	Extensive institutional knowledge of and engagement with the issue of climate change adaptation and other relevant global and national commitments, as well as relevant actors, local context and the international policy architecture for these issues, with systems and processes in place for regular and continuous learning.

	Partnerships/network development and fostering	3	Vast network of partners comprised of a diverse range of organizations within the climate change arena, with whom communication and cross-learning is fostered however relationships are not actively maintained.
	National presence and engagement	3	Reasonably well recognized and regarded as positive within the sector or field the organization is working in, however with limited coordination with other actors in the sector.
	Policy influence	4	Actively engaged in climate change - policy influencing and formulation processes at both local and global context.