Roles and Responsibilities
Management Response to Evaluations Conducted by the Evaluation Office

Prepared by the Operations Support Group/Executive Office
in consultation with the Evaluation Office

1. Background

The Executive Board approved the Evaluation Policy of UNDP on 23 June 2006. (See Annex 1 for the decision.)   The policy states that:

> …All evaluations will have a management response. The Evaluation Office will maintain a system to track management responses to evaluations. The responsible unit should periodically update the status of follow-up actions in the tracking system. Programme audits also routinely check the status of follow-up actions to recommendations made by evaluations, as well as the implementation of agreed management responses to evaluations, in the period covered by the audit. The Evaluation Office will periodically brief those with oversight function on the status of follow-up to evaluation recommendations and implementation of management responses, and will alert senior management to any areas of concern.
>
> -- Paragraph 32

2. Roles & Responsibilities

The Evaluation Policy establishes specific responsibilities with regard to conducting and following-up on evaluations. The roles regarding management response to global, independent and country-outcome level evaluations carried out by the Evaluation Office are detailed in paragraphs 16-21 of the Evaluation Policy of UNDP.

3. Procedure for the preparation of management responses

The preparation of the management response, review by senior management and posting on the Evaluation Resource Centre database should take no more than four weeks total from the time the evaluation is submitted to the Administrator.

Step	Responsible	Timeframe
1. Review and approval of the Evaluation Office's proposed programme of work	Executive Board	
2. Evaluation Office formally informs the Administrator of launch of evaluation	Evaluation Office	
3. A responsible lead unit is assigned the preparation of the management response. The responsible lead unit bears responsibility for all actions designated as the 'responsible unit'. Once the content of the evaluation is known, additional units may be designated to work with the responsible unit.	Administrator	As soon as the Evaluation Office informs the Administrator
4. Active participation in stakeholder reviews to	Responsible unit	

	begin thinking through management response.		
5.	Unedited final draft evaluation is submitted to the Administrator.	Evaluation Office	
6.	Preparation of management response in the requested format (see annex 2)	Responsible unit + key stakeholders and relevant bureaux/units/offices, including DUNA/PB for feedback on Executive Board priorities	+ 2 weeks
7.	Review of consolidated management response by OG	Operations Group + involved units, as necessary	+ 1 week
8.	Posting on the [Evaluation Resource Centre database](#)

Submission to the Executive Board via the Executive Board Secretariat | Responsible unit (with technical support from Unit Evaluation Focal Point)

Responsible Unit | + 1 week following endorsement by OG (within one month of submission of the report) |
| 9. | Implementation of proposed actions, including Board recommendations. | All responsible units | In appropriate workplan |
| 10. | Track status of implementation and updates the information in the ERC.

In doing so, the responsible unit should meet regularly with all bureaux/units/offices that are required to implement specific actions under the management response in order to validate the status of implementation and identify actions that have been completed and/or satisfactorily addressed and can be retired. | Responsible unit, in coordination with other bureaux/units/offices responsible for implementing the actions, and technical support from Unit Evaluation Focal Point. | Quarterly updates to ERC database. |
| 11. | Review and monitor of the status of implementation of management responses in the ERC. | Director of OSG | Semi-annual |

4. Procedure for the preparation of management responses to ADRs

The procedure and timeframe for the preparation of management responses to ADRs are the same as above.

In the case of ADRs, the concerned CO is responsible for preparing the management response under the oversight and guidance of the relevant Regional Bureaux. The CO is also responsible for posting the management response on the ERC database, ensuring that proposed actions are taken within the agreed time frame, tracking the status of implementation of proposed actions and updating the information in the ERC database accordingly.

As part of their oversight role, Regional Bureaux ensure that management responses are prepared for all evaluations and action taken, and regularly review the status of implementation. In fulfillment of the Executive Board decision 2006/9 to provide "country and regional programme results and performance data consolidated over the programme duration", Regional Bureaux should ensure that the previous country programme is sufficiently evaluated through independent and/or decentralized evaluations prior to the submission of a new Country Programme Document. In those cases where no ADR has been

undertaken, a summary of evaluation findings will be included in the Country Programme Performance Summary that will accompany the submission of all draft Country Programme Documents.

Annex 1

Executive Board Approval of UNDP Evaluation Policy

2006/20   Evaluation policy
The Executive Board

1.   *Welcomes* the evaluation policy contained in document DP/2006/28 as an important step towards establishing a common institutional basis for increasing transparency, coherence and efficiency in generating and using evaluative knowledge for organizational learning and effective management for results, to support accountability and to ensure impartiality;

2.   *Requests* UNDP to conduct evaluations of its operations at the country level, in close consultation with national governments;

3.   *Approves* this evaluation policy and *notes* that the mandate of the Evaluation Office is to evaluate the effectiveness and efficiency of UNDP programmes and results;

4.   *Requests* UNDP to provide, for information, an evaluation plan developed in consultation with the respective national government as an annex to programme documents submitted to the Executive Board;

5.   *Requests* that, as of the annual session 2009, UNDP submit a triennial review of the evaluation policy;

6.   *Requests* the Administrator to further strengthen the evaluation function based on the evaluation policy;

7. *Stresses* the need for UNDP to assist governments in developing national evaluation capacities.

23 June 2006

Annex 2

<u>**TEMPLATES FOR UNDP MANAGEMENT RESPONSES TO INDEPENDENT EVALUATIONS**</u>[1]

Clearance Routing:

Date: 25 January 2021

Prepared by:	Nomagugu Ndlela
Position:	**Project Manager**
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Position:	**Programme Manager**
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Unit/Bureau:	Inclusive Growth Unit
Cleared by:	Gabriel Dava
Position:	**Deputy Resident Representative**
Reviewed by:	Frederick Shikweni / Sangsun Kwon
Position:	**M&E Specialist and M&E Associate**
Unit/Bureau:	Monitoring & Evaluations
Input into and update in Evaluation Resource Centre:	Frederick Shikweni / Sangsun Kwon
Position :	**M&E Specialist and M&E Associate**

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[1] See instructions at the end of the document on how to use the templates.

Evaluation

1. Insert here up to several paragraphs on context and background and UNDP's response to the validity and relevance of the findings, conclusions and recommendations.

2. second paragraph.

3. third paragraph, etc.

Management response to the final evaluation of the Land Reform and Rural Development Project in South Africa

Context

The United Nations Development Programme (UNDP) in South Africa has been in collaboration with the Department of Agriculture, Land Reform and Rural Development (DALRRD) ('the Department') since January 2011, with the intent of enhancing government capacity to design and implement improved policies on land reform and rural development.

With the Project's implementation period scheduled to end in March 2021, the purpose of the evaluation is to provide information about the project results achieved through its implementation, with the resources allocated.

The evaluation was conducted between June and December 2020. The criteria applied is relevance, efficiency, effectiveness, and sustainability. Eight key evaluation questions were formulated, unpacking the criteria. A theory-based approach was applied, using the Project theory of change as a basis for evaluative judgements. Drawing on contribution analysis principles, key contribution claims which stakeholders were interested in testing were identified in the inception phase and particular attention was paid to addressing them. These included whether the Project had yielded value for money.

The methodology involved analysis of Project documentation and interviewed 27 stakeholders of UNDP, senior managers of DALRRD, and experts who had undertaken work for the Project. These data sources offered a good foundation for judging results up to the outcome level (adoption of policies or strategies to which the Project contributed). Given limited engagement with implementation staff and communities due to project nature, the evaluation is tentative in its discussion of whether the Project's benefits have had an impact on the ground.

Background

The Project has mainly provided upstream policy development technical support. UNDP has a comparative advantage as a repository of strong technical knowledge and expertise in specific areas of relevance to South Africa's development trajectory (United Nations South Africa, 2013: 20–21), including vast international expertise on land reform and rural development. The Project was able to leverage this expertise that resides in the international UN system; and attracted high calibre international and local technical experts to support South African policy and strategy development in this area. Furthermore, considering the sensitivity of land reform, UNDP through this Project has offered its comparative advantage of being an impartial development partner. Key project activities included: advisory and policy research and analysis work, support with technical expertise, and facilitation of activities related to the drafting of land reform and rural development policies and international knowledge and information exchange.

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Project contribution highlights

Seven important policies which benefited from Project support, are currently in force in South Africa. Project support included: contributions to further framing policies enunciated by the Green Paper on Land Reform (2011); including exchanges on the policies and legislation that built on the foundation of this Green Paper subsequently; the detailed policies were to inform, amongst others, the Extension of Security of Tenure Amendment Act (2018); Communal Property Associations Amendment Act; and expert advisory support on the Policy on Beneficiary Selection and Land Allocation (2020) as well as the Land Donations Policy (2020). The Project also supported **socio-economic impact assessment studies (SEIAS)** to inform the bills to these pieces of legislation and to policies currently under discussion. Highlights of the areas of **strategic support** include high level knowledge support to the Operation Phakisa process (2016) on Agriculture, Land and Rural Development; informing a new theory of change for Land Reform and Rural Development in South Africa that is the basis for the National Agriculture and Agro-Processing Master Plan (2020). The Project also undertook several initiatives to **increase the exposure of South African policymakers and implementers** to international experience in these policy areas, through study tours (2019) as well as participation of international experts in the National Land Tenure Summit (2014), Regulation of Agricultural Land Conference (2016), consultations towards initiating the Land Size and Efficiency Project (2018), and Land Administration Workshop (2019).

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The Project's ultimate intended impact, aligned to that of the Department, is to contribute to agrarian reform, land reform, and rural development – with the expected societal benefits of reduced poverty, inequality and unemployment. In order to achieve this, work was undertaken in line with four over-arching outputs: (1) Integrated rural development strategy developed; (2) A coherent strategy and plans to facilitate equitable access to land and development completed; (3) International Information Exchange Programme to share experiences from other countries on equitable access to land; (4) Inclusive multi-stakeholder forum established to discuss how access to land can contribute to poverty reduction.

The Project has been anchored in the Chief Directorate: Policy Research and Development[2] of DALLRD and the Inclusive Growth Programme of the UNDP. The Project is intended to be governed by a steering committee which, according to the Project Agreement (Prodoc) would meet quarterly, and would be co-chaired by the UNDP Resident Representative (RR) and Department's Director-General (DG) and attended by relevant staff from the Departmental branches and UNDP country office. This committee was unable to meet as regularly as intended, only meeting four times between 2016 and 2020[3]. This is attributable partly to insufficient institutionalisation of the steering committee in the Department and high levels of turnover in the Department's executive management.

Figure 1 below offers an overview of key project events (see main report for a timeline situating these within the broader South African and UNDP legal and strategic framework).

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[2] Until 2013, the Chief Directorate: Policy Research and *Legislation* Development. The Legislation function became a separate unit in 2013.
[3] This includes a 2018 meeting that was adjourned before it could get through its agenda; and it excludes meetings in 2013 and 2019 between the heads of the institutions, which did not constitute meetings of the steering committees as far as the evaluation can ascertain. See appendix for detail.
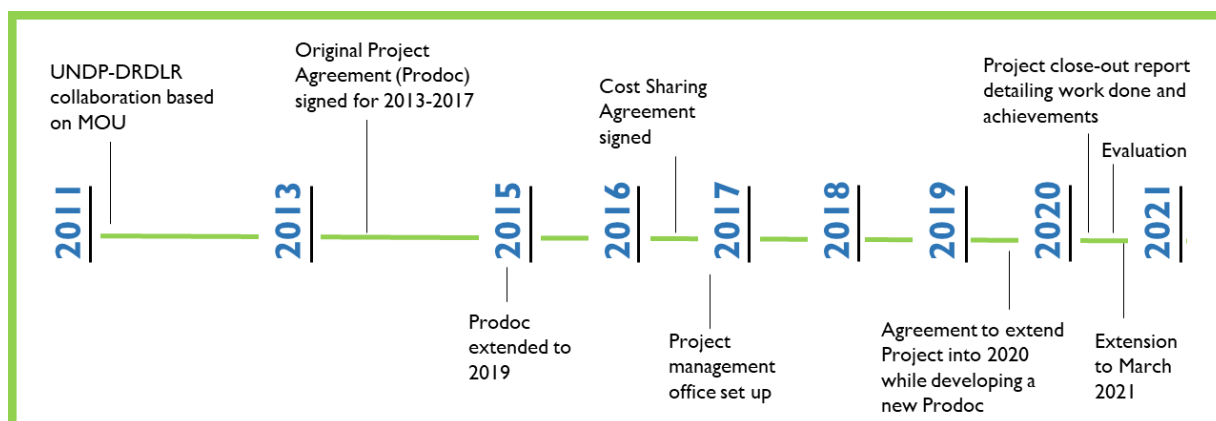
Figure 1. Timeline of key Project events

The Project is implemented on the basis of a Cost-Sharing Agreement between the two entities. The total cost (as of December 2020) is estimated at $ 3 484 734,40 (R40 889 263.24), of which the UNDP has contributed $983 069.54 (R10 408 245.24) and the Department $2 501 664.86 (R30 481 018[4]). This translates to a 75%-25% split in contributions with the Department contributing the larger share.·

Findings

Relevance

The Project is appropriately designed to enable the Department to leverage the comparative advantages of UNDP described above. The Project design is clear in terms of its intended problem statement, activities, outputs, intended outcomes and contribution to impact. There is no dispute that the core intention of the Project is to provide technical support to enable sound policy and strategy in South Africa's land reform and rural development. This is the primary basis on which the project's results and effectiveness is measured.

The rationale for a partnership around land reform and rural development, as a means of achieving these entities' shared objectives of reducing poverty, inequality and unemployment, was clear to interviewed stakeholders across government, UNDP, and experts. Furthermore, the UNDP's comparative advantage in terms of technical knowledge and expertise came quickly to mind for both Department and UNDP respondents. UNDP's reputation and its vast global footprint allows it to access high-quality international expertise, offering opportunities to learn from international experience; and to ensure that the policies and strategies put forward by the Department are able to withstand scrutiny based on the research and evidence that underpins them. Furthermore, several interviewees noted that the topic of land reform is a contentious and politically sensitive one. In such an environment, UNDP was viewed by several as "an impartial organisation in a highly sensitive space", in line with UNDP's stated comparative advantage.

Where there was a concern of divergence between interviewee views around the rationale for the partnership, is on the project management efficiencies of UNDP in comparison to that of government. Several respondents from the Department and experts mentioned efficiencies such as "turnaround time" and "cost-effectiveness" as part of the rationale for working with UNDP. While this adds to UNDP's attractiveness as a development partner, senior managers in both DALRRD and UNDP were concerned that the impression might be created that the Department uses UNDP merely, or predominantly, to simplify project management and procurement whereas UNDP should be a strategic partner which co-designs the support that it provides so that South Africa can benefit from UNDP's comparative advantages described above. The more common view was effective project management is one of several benefits of the Project, rather than the primary rationale

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[4] Rand values do not add up exactly because of fluctuations in exchange rate.

for the partnership. In a review of all the main areas of work undertaken by the Project, the evaluation found them well aligned to the policy and strategic priorities of the Department as expressed in official plans and reports.

The Project has clear relevance, and has contributed numerous pieces of research and policy development support to, the cross-cutting goals of gender and women's empowerment, the State's agenda of transformation and restorative justice, and accelerating the pace of land reform and rural development and promoting livelihoods and employment opportunities by promoting access to land and/or economic opportunities.

Project implementation arrangements have made it possible to pick up on, and respond to, changing needs of the Department in a dynamic policy environment. The Chief Directorate mostly took on the responsibility for deciding, with UNDP, on the nature and focus of Project support. They worked within the clear framework set by the Department's statutory plans and by the ProDoc, and the Departmental DG or ADG and CFO signed off on all funding transfers, signalling endorsement of the Project plans in principle. This allowed the Project to proceed and make valuable contributions despite the weakness of the oversight structure (steering committee). The evaluation found the Project's activities to be responsive to Departmental priorities and in line with the Project's objectives.

Nevertheless, senior decision makers in both DALRRD and UNDP stressed the importance of institutionalising the steering committee (or similar) in order to improve communication and consultation on Project activities. Such communication and consultation could have clarified why a small number of individuals argue that the choice of activities did not fully optimise the potential benefit of the partnership, while the evaluation does not find instances of irrelevant activities.

Through the calibre of expertise that it secured, the Project has also been able to inform national priorities in some ways, such as by facilitating consensus on a problem statement and strategy for fundamentally contributing to the transformation of the structure of the economy, particularly through the agriculture sector as expressed in the DALRRD theory of change of the Agriculture and Agro-Processing Master Plan.

Effectiveness

In terms of outputs, the Project has produced over 100 reports, position papers, consultation reports, advisory notes, concept papers, progress reports and workshop proceedings and presentations. These can be summarised into five areas of concentration (Figure 2). Much of the work was in the area of Policy Development Support: in this way, the Project contributed to the development, drafting or revision of at least 20 policies, bills and acts. (It should be noted that the type and size of contribution to these policies, bills and acts varied. See further discussion below.)

Most of the areas of work were in direct support of specific policy and strategy processes, and were focused on upstream policy development as per the Project design. Stakeholders[5] from DALRRD, UNDP, representatives of various interest groups and beneficiaries were exposed to the high calibre of expertise, that the Project was able to avail to South African policy and strategy process. Those interviewed expressed appreciation for this, as well as the significant exposure to international experience that the Project availed to these processes, and the significant contributions made to the evidence-based research from which the policies and strategies drew. There is general satisfaction among all Project stakeholders interviewed with the quality of the content of outputs (be they knowledge products, support to processes, or events such as consultations or study tours). The interviewed experts and Department officials considered the work to be of good standard.

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[5] Stakeholders across the board in UNDP and DALRRD express great appreciation for the quality of experts brought on board through this project. Experts themselves also mentioned their appreciation of other experts that they interacted with. Many interviewees mentioned specific experts by name and discussed how they are held in high esteem, without being prompted by the interviewer.
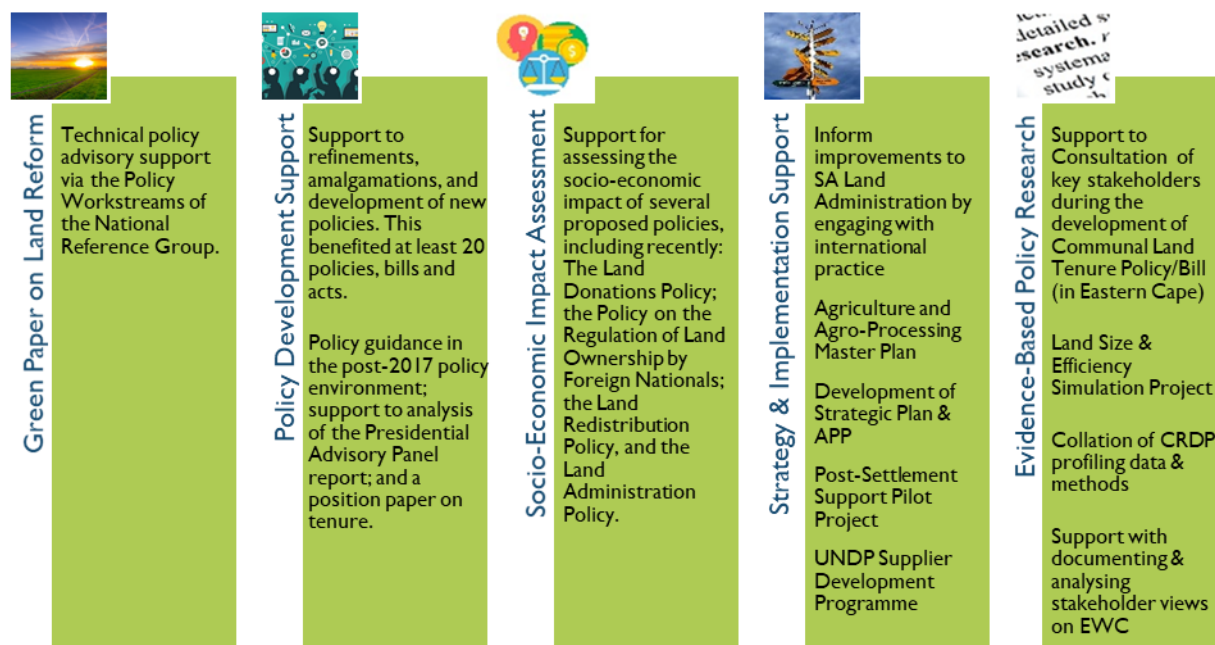
Figure 2. Project Areas of Concentration, 2011-2020

As expressed in the theory of change (and implicit in the discourse of project stakeholders), the main understanding of *effectiveness* in this Project is the extent to which it shaped sound land reform and rural development policy and strategy. For this to happen, the outputs from the Project's research and other products should feed into policies that are adopted, laws that are enacted, or strategies that are endorsed for implementation. To have an *impact* these should then be implemented and translate into changes in society, as shown in Figure 3.
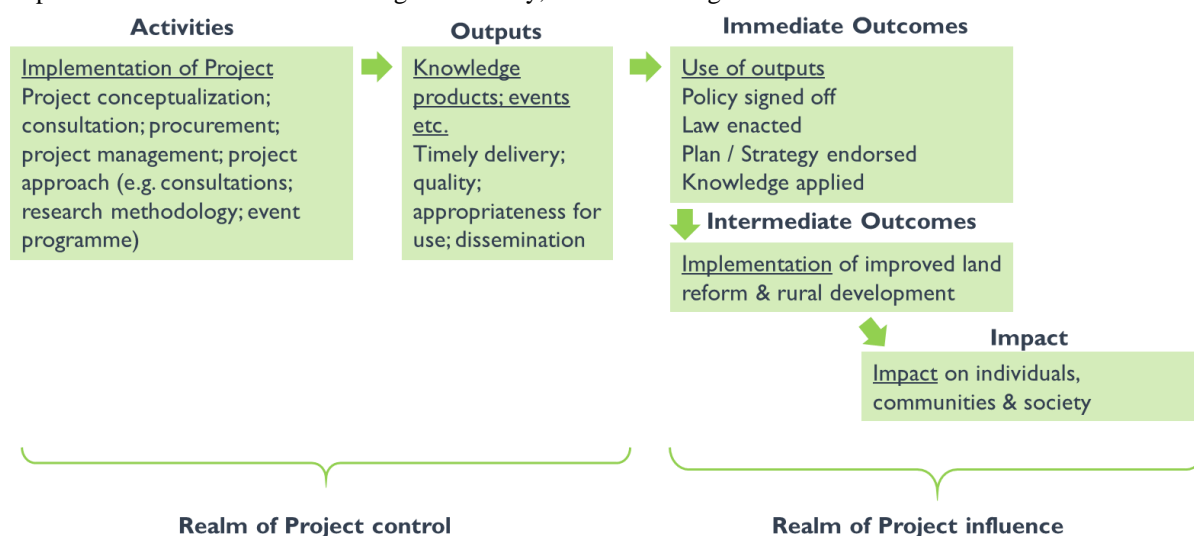

Figure 3. Impact pathway for policy or strategy support

Based on this understanding, the Project has had mixed, mostly positive results: **Error! Reference source not found.** shows that eight such pieces have been adopted/enacted, of which seven are in force with the potential to shape

implementation, and one is no longer in force. Five pieces progressed to an advanced stage but were not adopted/enacted. The latter includes the Regulation of Agricultural Land Bill which benefited from extensive Project support. For a further six policies, their drafting or processing is still underway, and it is too soon to report on whether they have been adopted/enacted.

Importantly, **Error! Reference source not found.** lists policies and laws that benefited *in some way* from Project support. The extent of support varied; from a brief set of expert inputs on a proposal, to extensive consultation and collaborative policy drafting. It was however largely weighted towards policy development and, in the case of bills, to support SEIAs and making recommendations for improvement of bills after they were published for public comment. It is important to understand that the Project supported a Department in undertaking its own processes. See Annexure A: Overview of Project activities, for detail on the nature of support in every instance.

Table 1. Status of policies and laws that benefited from Project support

Laws/ policies that benefited from Project support & were fully enacted / adopted	Laws / policies that benefited from Project support, progressed to an advanced stage but not enacted / adopted
1. Green Paper on Land Reform (2011) 2. Property Valuation Act and Office of the Valuer General (2014)[6] 3. Land Restitution Policy and related Restitution of Land Rights Amendment Act (2014)[7] 4. Land Tenure Security for Commercial Farming Areas Policy, and Extension of Security of Tenure Amendment Act (enacted 2018) (ESTA Amendment) 5. Agricultural Landholdings policy framework (2013) 6. Electronic Deeds Registration Act (2018) 7. Policy on Beneficiary Selection and Land Allocation (2020) 8. Land Donations Policy (2020)	1. Regulation of Agricultural Land Policy and Bill (amalgamating 3 previously separate policies which also benefited from Project support) 2. Land Management Commission Bill (2014) 3. Communal Land Tenure Policy and Bill (2017) 4. Communal Property Associations (CPA) Policy & Amendment Bill[8] (2013; 2018) 5. Agri-Parks Policy Framework[9] (2015)
Recent policies currently proposed or underway and benefiting from Project support	
1. Input and commentary towards Comprehensive Producer Support Policy 2. Land Tenure Reform Policy 3. Integrated Land Administration System Policy Framework 4. Draft Land Redistribution Policy Framework 5. Advisory on Framing the Revision of the White Paper on Land Reform	

[6] An official who participated in the process of developing this policy, has stated that they do not remember UNDP's involvement, while a former UNDP staff member confirmed that this work took place during his time. Successive UNDP documents and project steering committee progress reports mention this contribution and one document describes UNDP's involvement as follows: "Advised on and refined work-stream draft". Unfortunately, detailed records on this work that occurred in 2012 were lost.

[7] Note that this Amendment to the Act is not currently in force. Implementation was halted following a Constitutional Court judgement in 2016 as to the quality of consultation in the National Council of Provinces (outside the control of the Project). This is why this evaluation report states that eight pieces have been adopted/enacted, of which only seven are in force.

[8] The Annexure to the Close-out report states that "The Communal Property Associations Bill was passed by the Portfolio Committee and the Select Committee but its assenting into law has been delayed."

[9] This is an example of where UNDP Project support was not a significant contribution. It is listed anyway as an international expert provided inputs to this.

6.   Policy to Regulate Landownership by foreign nationals

There is no suggestion that it is the quality of Project outputs that hampered the enactment/adoption of the items that stalled. Instead, the internal Project documentation and stakeholder interviews attributed each of these stalled processes to specific shifts in political priorities. The realm of policymaking is inherently complex, and the South African land reform policy environment is particularly contested, given the country's history and the divergent and often opposing interests of different groups. Most policies have important implications for a wide range of political groups, economic interest groups, leaders of various types, academia, civil society and the individuals and communities who are landless or have insecure access to land. It is not uncommon for the interaction of these many factors to give rise to changes in political strategy. Therefore, during the life of the Project this has resulted in some changes in policy emphasis and priorities, which were largely beyond the control of the Project partners.

Also important is that in the last few years it has also become clear that policy processes may initially stall only to be taken further later, since the needs that these policies seek to address tend to remain relevant. For instance, the Communal Land Tenure Policy and Bill has been recently re-introduced to the executive in a form that continues to draw extensively on the previous draft that was developed with Project support. The Communal Property Associations Amendment Bill stalled in 2014; then in 2018 was passed by both National Assembly and the National Council of Provinces and is awaiting Presidential signature. The timeframes for "resuscitating" these processes, and the extent to which they will draw on the elements that previously benefited from Project support, are not always predictable. For this reason, there are grounds to withhold judgment on the effectiveness of Project support for several years after a process appears to have stalled. In such a situation, stakeholders may disagree on the success or effectiveness of the work, if they only consider whether Project support translated into policies that were adopted. In such cases it is essential that it should be clearly communicated what has been achieved and where the process stalled. There needs to be appreciation for the fact that policy development is a process and it is happening in a complex and contested environment. This is essential for transparency, learnings, acknowledging that the matters being addressed remain relevant and for future project design assumptions, and evaluations.

This raises the following insights:

1.   The Project's support may be effective in shaping the legal and policy framework in the long run, even if a policy process stalls initially.

2.   Wherever the Project can support policies that enjoy sustained political support, it is more likely to be effective in the immediate term.

3.   If there are ways to shape political support for policy processes, through the elements within the Project's control (e.g. through the approach to Project implementation; timing of support; dissemination of knowledge products; participation in events; etc.) this may somewhat enhance the likelihood of adoption. However, as shown in the diagram above, the Project will never have full control of these factors.

Some stakeholders recognising these dynamics, have suggested that the Project may increase its effectiveness if it engages political decision-makers directly to share findings of research conducted or exposes them to international experience on relevant issues.

As for the variety of work that was focused on strategy or other processes (not on a single specific policy), it is harder to make cross-cutting judgments on the effectiveness of this work. Each of these was unique in what it set out to achieve. The full report discusses the outcomes of these pieces of work, noting mostly positive findings on their effectiveness. Amongst others the Project made a major contribution to researching, developing, and building consensus on the theory of change for agro-economic transformation captured in the National Agriculture and Agro-Processing Master Plan. The support to the Department around expropriation without compensation (EWC) assisted the senior management of the Department to engage proactively and in a considered way with this policy direction, benefiting from stakeholder perceptions, discussion sessions, and policy position papers.

Efficiency

Compared to government or the private sector, the Project was economical in its main area of spending, namely experts. In 2019 the UNDP maximum daily rate for an expert was less than two-thirds the maximum of the Department of Public Service Administration (DSPA). Furthermore, the Project documentation shows that UNDP did not always set rates at the maximum limit; and several stakeholders are of the view that UNDP also offers access to experts that may not otherwise have been accessible to the Department. This appears to be a realisation of UNDP's comparative advantage in accessing international and some local experts wherein the experts appear willing to work at reasonable rates because of the reputation of UNDP.

In terms of efficient use of time, after signing of the Project Document (2013) there was a delay of three years before signing of the Cost Sharing Agreement (CSA) in 2016. This stems from the need for the Department to consult with other centre-of-government departments to clarify the status of the partnership in terms of the Public Finance Management Act (PFMA). Some key support activities were implemented, but only after the CSA was signed was the Project Manager appointed and management systems and funding arrangements in place with clear commitment by both institutions on the amount of funds to be contributed.

There were also further delays at times in the Department transferring funds to the Project, which reportedly led to some delays in implementation. However, there have also been instances where UNDP was able to continue with implementation, drawing on its own funds until resources were transferred from the Department. This enabled a degree of implementation "smoothing" which may not have been possible for the Department if undertaking similar work internally. Furthermore, stakeholders by and large considered the project management efficient.

Project management may have been further improved if the project had been staffed as per the original design with not just a Project Manager but also a project associate. The evaluation finds that the management systems (financial management systems, planning, reporting systems etc.) largely facilitated the delivery of the project's outputs.

Although the Project design did not include the appointment of a technical expert alongside the Project Manager, the Project Manager as well as some other staff in UNDP had some technical expertise in the policy areas of the Project. The Project supplemented UNDP's internal technical expertise with Resident Technical Advisors – international experts whose contracts were designed to enable them not only to produce specific deliverables but also to play a broader strategic advisory role in the Project. For instance, in 2018 the Resident Advisor met with the UNDP Resident Coordinator and Resident Representative to give advice beyond the scope of a single focus area to advise on UNDP's overall strategy with the Project. Still some UNDP stakeholders believe UNDP could have played an even stronger role in shaping how the Project approached its activities, aligned to other projects and institutional knowledge within the UNDP South Africa and the pool of expertise in the broader UN system, thereby adding further value in these policy areas.

Sustainability

The Project built government's capacity, first and foremost, by supporting the introduction of policies and strategies. In addition, the project offered government officials plenty of exposure to the views and products produced by high calibre technical experts and international experiences. Several projects featured several days of workshopping, discussion and co-creation between international experts and government officials – the LASES workshops and progress meetings, the June 2019 workshop, and Operation Phakisa being good cases in point. There may also be scope for the Project to support the development of scarce skills through international partnership in a future project. One of the remaining planned Project activities is to explore the possibility of an international partnership to develop local expertise on land administration.

The project has also generated a considerable body of research, records of consultations, and analysis that has the potential to be used going forward. Recent experience has underscored that the Department is able to use knowledge products to which the Project contributed several years ago, when issues re-emerge as priority. Earlier, stakeholders were concerned that there is a risk of loss of institutional memory of these products, but this is being addressed by a project to consolidate these knowledge products and also process some of them for dissemination to wider audiences. This will supplement this evaluation by availing the full content of select knowledge products that were shared and drawn from by the Department and its Policies.

There is potential for the Project to foster more formal partnerships between the Department and other entities / institutions (as opposed to only short-term, project-based collaboration). This would contribute to ongoing institutional and individual capacity development and help to sustain the benefits of work already produced going forward.

It is clear across all stakeholder groups that there are real needs for further policy development and reform, which are crucial to address, even more so in light of the extreme socio-economic vulnerability highlighted by COVID-19. The Agriculture and Agro-Processing Masterplan initiative of government that commenced in late 2019 has been shaped not only by the Theory of Change that benefited from the Project but has been influenced by the impact and lessons of COVID-19 and will carry through into the medium-term to long term. Government has formally committed to a range of policy work in this sector and stands to benefit from continued UN policy support in this regard. There is thus a continued rationale for a partnership between the two entities. In an increasingly fiscally constrained environment, the support for a future collaboration Project depends on the budgets and priorities of the two entities.

Annex
Key recommendations and management response

Evaluation recommendation 1.
DALRRD and UNDP senior executives should have an engagement to review the work done to date. The two partner entities should have an engagement dedicated to ensuring that the relevant senior executives of both DALRRD and UNDP review the work done under the Project. It is recommended that they use this evaluation report (with annexures A and K listing all outputs and areas of work) and the knowledge products that are being packaged and prepared for dissemination, as the basis for the discussion. The engagement should allow for questions of clarity on the information provided, as well as a facilitated discussion of senior executives' considerations when judging the appropriateness and value for money of the work done. (If there is a subsequent iteration of the Project, this discussion may inform the criteria to guide decisions on the allocation of Project resources, recommended below.)

Management response: UNDP Fully Agree
Evaluation Report and Knowledge Product to be cleared by the management.

Key action(s)	Time frame	Responsible unit(s)	Tracking*	
			Comments	Status
1.1 Complete and disseminate knowledge products generated by the project.	June 2021	Inclusive Growth Programme	To be reviewed and finalised with the DALRRD	Initiated

Evaluation recommendation 2.
UNDP should support handover of roles in DALRRD if needed. If there is a change in staffing or restructuring of the policy development function in DALRRD and UNDP should support comprehensive handover of the Project (including knowledge products and relationships/stakeholder connections) between outgoing and incoming staff. UNDP should support such a handover process even if the Project is not renewed.

Management response: UNDP Fully Agree.
Any changes to staffing will be communicated with the DALRRD on time.

Key action(s)	Time frame	Responsible unit(s)	Tracking	
			Comments	Status
2.1 Communicate regularly to DALRRD any changes to project staff including changes in UNDP's Management	Ongoing	Inclusive Growth Programme	This will be monitored outside the online system	Not occurred

Evaluation recommendation 3.
It is recommended that UNDP and DALRRD enter into a similar Project, with the following considerations:

Ensure adequate Project length. The Project should have a contract term of at least four years, to be able to follow through on processes implemented over the medium term as it has done up to 2020.

Management response: Agree. Project time frame determination is guided by standard procedures and UNDP Strategic Plan, UNSDCF and CPD

Key action(s)	Time frame	Responsible unit(s)	Tracking	
			Comments	**Status**
3.1 Outline clear project lifespan in the project document	Ongoing	Inclusive Growth Programme	This will be monitored outside the online system	Discussion to develop new project document is underway.

Evaluation recommendation 4.
UNDP should continue to draw in other UN agencies and should coordinate and streamline support for optimal benefit. In light of the merge in the DALRRD, the restructuring of the UN system in South Africa, and the need for UN agencies to deliver as one, the new Project should be designed to draw on the contributions of other UN agencies, especially FAO, IFAD and WFP. In this regard the past experience of working with these agencies on the Project should be reviewed and lessons identified to strengthen cooperation, optimise the synergy between agencies' contributions, and streamline the coordination requirements on DALRRD. Further synergies between this Project and others within the UNDP South Africa country office should also be explored.

Management response: UNDP Fully Agree.
UNDP will build synergies with other UN Agencies.

Key action(s)	Time frame	Responsible unit(s)	Tracking	
			Comments	**Status**
4.1 Enforce UN Delivery as One by coordinating UNDP, FAO, IFAD, WFP and other relevant agencies for the combined efforts and integrated/joint panning towards supporting the implementation of the DALRRD Project.	Ongoing/ Not Applicable	Inclusive Growth RRO	This will be monitored outside the online system	Initiated.

Evaluation recommendation 5.

Institutionalise technical expertise. The Project should institutionalise technical expertise into its design. This can be done in a variety of ways, including appointment of a Technical Expert as a project resource alongside the Project Manager; appointment of a Resident Advisor; or appointment of a panel of experts. Regardless of the approach taken, the Project design should be explicit as to the responsibilities of such expert(s) in Project execution.

Management response: UNDP Agree.
It will be included in the structure of the project as a function.

Key action(s)	Time frame	Responsible unit(s)	Tracking	
			Comments	Status
5.1 Incorporate Technical experts into the project governance and PMU structures to serve as resident advisors or panel of experts to provide technical expertise to the project implementation and can be invited to participate during the PSC meetings	May 2021	Inclusive Growth Programme RR Office	To be discussed and finalised with the DALRRD.	Initiated

Evaluation recommendation 6.

Cost-sharing approach remains appropriate. The Project should again be based on a CSA, as this is appropriate given a Project of this scale and UNDP's international policies on resource allocation.

Management response: UNDP Agree. This is according to the UNDP Resource Mobilisation Strategy.

Key action(s)	Time frame	Responsible unit(s)	Tracking	
			Comments	Status
				Initiated
6.2 Discuss the CSA arrangement with the Programme Board to get consensus for projects funding modality.	May 2021	RR Office	The assumption is that by May 2021 UNDP and DALRRD will be working on new prodoc.	Initiated

Evaluation recommendation 7.

Retain upstream focus, supplement with downstream work as appropriate. The Project should continue to focus on upstream policy development support, where UNDP has significant comparative advantage. It should also consider opportunities for downstream implementation related support. Such work should ideally be in support of upstream work (e.g. pilot projects; testing models proposed in policies), to reinforce the policy contribution of the Project. Such work should take into account UNDP South Africa's implementation capacity so as not to dilute the capacity available for upstream support. Where there is a clear rationale for downstream implementation work, an expansion of the dedicated Project staffing should be agreed to, or the work can be undertaken in partnership with other units within UNDP or other UN agencies in South Africa that have more implementation capacity and orientation. This would help to realise the UN South Africa comparative advantage of being able to engage all stages of the policy cycle.

Management response: UNDP Fully Agree.
Downstream is very critical to test the effectiveness and the impact of the developed and passed policies.

Key action(s)	Time frame	Responsible unit(s)	Tracking	
			Comments	**Status**
7.1 Learn lessons from the Kruger National Park Land Claims Project on how the Project can be implemented for the downstream work at community level and how to negotiate new partnership.	Immediate: Reports May 2021	Inclusive Growth Programme	The assumption is that by May 2021 UNDP and DALRRD will be working on new prodoc.	Not started.

Evaluation recommendation 8.

Develop a theory of change which is responsive to DALRRD development priorities on land reform and rural development. The subsequent iteration of the Project should be based on a theory of change, which should be collaboratively developed and responsive to DALRRD development priorities on land reform and rural development, employing existing DALRRD and UNDP conceptual definitions where appropriate, and this theory of change should be included in the ProDoc. The theory of change should include the following:

a. A problem statement which articulates the problems / needs at various levels, including the needs in DALRRD that UNDP is intended to address through the Project.
b. In addition to high level output statements (in a similar format as those used in this Project), the theory of change should elaborate briefly on each output statement, how it relates to the problem statement, and how it is meant to contribute to outcomes.
c. The theory of change should lay out causal pathways for the main anticipated types of Project support (e.g. support in developing policies; facilitation of multi-stakeholder forums) to create a framework for tracking outcomes.
d. Explicit articulation of risks, as well as assumptions.
e. The theory of change can be updated periodically to reflect lessons learned; and it should be reviewed whenever there is a change in the Project's design, period of implementation, or main role players' roles and responsibilities.

Management response: Fully Agree.
Theory of Change is standard in the updated prodoc design template. ToC is UNDP standard planning framework.

Key action(s)	Time frame	Responsible unit(s)	Tracking	
			Comments	Status
8.1 Work in collaboration with the DALRRD and other partners to develop ToC for the new interventions	May 2021	Inclusive Growth Programme	To align Project ToC to UNDP CPD & DALRRD Strategic Plan	Initiated.

Evaluation recommendation 9.

Partner entities should ensure clarity on key design aspects. The partner entities should consider and agree on the new Project's intentions for, and mechanisms for achieving:

  a. Public engagement with knowledge & evidence generated (a policy of selective dissemination may be considered)
  b. Capacity building intent, both in terms of the capacity building strategy (types of activities and approach), and the desired outcomes. The UNDP's categorisation of types of capacity should be used.
  c. Gender mainstreaming and other cross-cutting priorities of UNDP and government.
  d. Partnerships and networks for the Department's benefit which will outlast the Project.
  e. Consider the necessary capacity to manage the project and appropriate modalities thereto.
  f. Efficient Project information management to support reporting and evaluation.
  g. Clarity on the key questions, methods, and criteria of the future Project evaluation – to ensure the Project can align its activities and monitoring to facilitate such an evaluation. This may be achieved by consultatively drafting an evaluation concept note as part of the development of the Project Document.
  h. Other considerations linked to lessons learned by both institutions through the evaluation experience. These lessons should be identified by key stakeholders from both institutions in a dedicated evaluation reflection meeting or as part of engagements around the drafting of the management response.

Management response: Fully Agree
In future, when developing a new Prodoc these aspects need to be emphasised and clarified for all parties to fully understand and accept them.

Key action(s)	Time frame	Responsible unit(s)	Tracking	
			Comments	Status
9.1 Ensure clarity on all the aspects on next phase project design.	May 2021	Inclusive Growth Programme RR Office	To evert confusions during implementation, UNDP will ensure that the contents of the next Prodoc are clear.	Initiated

Evaluation recommendation 10.
Optimising effectiveness in a dynamic policy environment
The Project should regularise engagements with the political executive. As already done in a few instances, UNDP and the Department should identify opportunities to involve the Minister, Deputy Minister or other political role players directly in the Project's work, with the goal of strengthening ownership and building awareness of the evidence being generated. The engagements should take place at least every six months.

Management response: Fully Agree.
Senior Management of UNDP and RCO to make means to reach out and possibly have a direct line with the Ministry.

Key action(s)	Time frame	Responsible unit(s)	Tracking	
			Comments	**Status**
10.1 Coordinate with the Office of the Director General for a meeting with the Minister.	March 2021	Inclusive Growth Programme RR Office	UNDP has no control in ensuring regular engagements with the political executive. Bottom up may not work, however Top down may positively influence the project direction.	

Evaluation recommendation 11.
Cost-effectiveness and leveraging comparative advantage
Partners should agree on criteria to guide Project resource allocation. In addition to using the Project's high-level output statements to determine the work undertaken by the Project, the steering committee should agree on a set of criteria to guide decisions on the allocation of Project resources. The criteria may include the extent to which UNDP's comparative advantages will be leveraged; the priority level that the department assigned to the policy or strategy need that the work will address; the likelihood of the policy or strategy process stalling based on current risks in the political environment; existing capacity in the Department for undertaking the work internally; and the likelihood of the project delivering lasting value to the Department. Institutionalise the application of the criteria in the Project's annual planning and reporting; there should also be criteria to guide decision-making with regard to re-allocation of Project resources in response to unanticipated needs / requests. These criteria should be developed in a way that aids in transparency, empowers those managing Project resources to make decisions, and does not unnecessary additional administrative burden.

Management response: Fully Agree				
Key action(s)	**Time frame**	**Responsible unit(s)**	**Tracking**	
			Comments	**Status**
11.1 Establish functional Steering Committee to oversee planning, guide allocation of resources and decision making based on the project results.	May 2021	UNDP & DALRRD	This is mostly about the department's procedures and communication flow.	In progress

* Status of implementation is tracked electronically in the Evaluation Resource Centre database (ERC).
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<u>**INSTRUCTIONS ON HOW TO USE THE TEMPLATES**</u>*:*

<u>**Clearance routing**</u>
All parties involved in preparing and clearing the management response before final review by the Administrator or Associate Administrator are requested to enter their name(s), position and units. All management responses should be reviewed by the Division for UN Affairs/PB before completion.

Prepared by:	Include person preparing matrix
Contributors:	Include the names and units that contributed actions to the response. At minimum, this should include all 'responsible units'
Cleared by:	Enter senior most-person in CO, unit or bureau who cleared the draft response on behalf of management
Reviewed by:	Enter name of person in Division for UN Affairs/PB who reviewed the response in light of Executive Board priorities
Input into and update in ERC:	Specify person in unit or bureau responsible for entering approved responses into <u>Evaluation Resource Centre</u> (ERC) database and periodically updating the information.

Template for UNDP Management Response to Independent Evaluations
The template is the format required for the submission to the Executive Board of management responses to independent strategic and corporate programme evaluations. The matrix should also be used for management responses to ADRs.

Please DO NOT CHANGE any formatting such as font type, font size and margins. Please do, of course, extend the matrix and adjust the numbering to match the number of recommendations and responses.

The entire cover sheet will be removed by the Executive Board Secretariat before formal distribution. The Executive Board Secretariat will also remove the two columns on 'Tracking', which are for internal use only.

Management responses to evaluations should be clear and comprehensive, and consist of the following elements:
  ➢ Key conclusions and recommendations*: Are conclusions and recommendations relevant and acceptable?(The Management Response should address all recommendations)*
  ➢ Key actions*: What are the concrete proposed actions? Who are the key partners in carrying out the actions?*
  ➢ Implementation of actions*: Who are the responsible units? What is the timeframe for implementation?*