

MOPAN

2017-18 ASSESSMENTS

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**Food and Agriculture  
Organization (FAO)**

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MOPAN Assessments

# **Food and Agriculture Organization (FAO)**

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2017-18 Performance Assessment



# Preface

## ABOUT MOPAN

The Multilateral Organisation Performance Assessment Network (MOPAN) comprises 18 countries<sup>1</sup> that share a common interest in assessing the effectiveness of the major multilateral organisations they fund. These include United Nations agencies, international financial institutions and global funds. The Network generates, collects, analyses and presents relevant and credible information on their organisational and development effectiveness. This knowledge base is intended to contribute to organisational learning within and among the organisations, their direct clients and partners, and other stakeholders. Network members use the reports for their own accountability needs and as a source of input for strategic decision-making.

MOPAN 3.0, first applied in 2015-16, is the latest operational and methodological iteration of how the Network assesses organisations. It builds on the former version, the *Common Approach*, which the Network implemented from 2009 through 2014.

In 2017-18, MOPAN assessed 14 organisations, including the Food and Agriculture Organization (FAO). The other 13 are:

- Asian Development Bank (ADB)
- Global Environment Facility (GEF)
- Global Partnership for Education (GPE)
- International Fund for Agricultural Development (IFAD)
- International Organization for Migration (IOM)
- Office of the United Nations High Commissioner for Human Rights (OHCHR)
- United Nations Entity for Gender Equality and the Empowerment of Women (UN Women)
- United Nations Educational, Scientific and Cultural Organization (UNESCO)
- United Nations Population Fund (UNFPA)
- Office of the United Nations High Commissioner for Refugees (UNHCR)
- United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA)
- World Food Programme (WFP)
- World Health Organization (WHO).

### Operating principles

MOPAN generates assessments that are credible, fair and accurate. Credibility is ensured through an impartial, systematic and rigorous approach. MOPAN seeks an appropriate balance between coverage and depth of information from a variety of sources and through multiple streams of evidence. The Network gives priority to quality of information over quantity and uses structured tools for enquiry and analysis. An audit trail of findings ensures transparency. MOPAN applies efficient measures of assessment practice through building layers of data, with a view to limiting the burden on organisations assessed. A focus on organisational learning aims to ensure utility of the findings by multiple stakeholders.

### Objectives of the MOPAN methodology

MOPAN seeks to provide a diagnostic assessment, or snapshot, of an organisation. It tells the story of an organisation's current performance. MOPAN is guided by framing questions which serve to understand the relevance, efficiency and effectiveness of multilateral organisations, while also garnering a sense of the sustainability of their results. The empirical design of MOPAN is based on a theory of change.

1. Australia, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, Italy, Japan, Korea, Luxembourg, the Netherlands, Norway, Sweden, Switzerland, the United Kingdom and the United States. MOPAN also has two observers, New Zealand and the United Arab Emirates.

The methodology's key elements include a set of five performance areas against which the assessment takes place. The first four cover strategic, operational, relationship and performance management. The fifth area englobes the organisation's contribution to development, humanitarian and normative results. These areas are captured in the MOPAN indicator framework against which performance is measured using three evidence streams – a document review, surveys, and interviews and consultations – brought together in a combined approach.

A MOPAN assessment is not an external audit of an organisation, nor is it an institutional evaluation. MOPAN does not comprehensively assess all operations or all processes of an organisation, nor can it provide a definitive picture of all the organisation's achievements and performance during the time period of the assessment. Neither does MOPAN offer comprehensive documentation or analysis of ongoing organisational reform processes.

## Acknowledgements

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The MOPAN assessment was finalised under the overall strategic guidance of Suzanne Steensen, Head of the MOPAN Secretariat. It was prepared under the responsibility of Jolanda Profos, Policy Advisor. We are very grateful to Gérard Cairet and Delphine Babin-Pelliard from France and Davide Bradanini from Italy for championing this assessment of FAO on behalf of the MOPAN membership.

The assessment was conducted with support from IOD PARC, an independent consultancy specialised in assessing performance and managing change in the field of international development. Simon Henderson served as Team Lead for the assessment of FAO, with support from Sadie Watson and Stuart Kinsella, under the overall leadership of Julian Gayfer. Ipsos MORI administered the partner survey.

The report benefited from a peer review conducted within the MOPAN Secretariat and from the comments of a senior independent advisor, Deborah Rugg, former chair of the UN Evaluation Group and former director of the Inspection and Evaluation Division at the UN Secretariat. David McDonald edited the report, and Andrew Esson provided layout and graphic design.

MOPAN is grateful to its Steering Committee representatives for supporting the assessment of FAO.

Finally, MOPAN would like to convey appreciation to FAO management and staff for their input and comments at various stages, in particular those staff members who internally co-ordinated the process and provided substantive feedback on the final draft report.

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## Acronyms and abbreviations

<b>AAP</b>	Accountability to affected populations	<b>NMTPF</b>	National medium-term priority framework
<b>ADB</b>	Asian Development Bank	<b>OED</b>	Office of Evaluation
<b>CCAM</b>	Climate change adaptation and mitigation	<b>OHCHR</b>	Office of the United Nations High Commissioner for Human Rights
<b>COFI</b>	Committee of Fisheries	<b>OSP</b>	Office of Strategy, Planning and Resources Management
<b>COP</b>	Conference of the Parties	<b>PANTHER</b>	Participation, accountability, non-discrimination, transparency, human dignity, empowerment and rule of law
<b>CPF</b>	Country programming framework	<b>PEMS</b>	Performance Evaluation and Management System
<b>DO</b>	Decentralised Office	<b>QCPR</b>	Quadrennial comprehensive policy review
<b>DRM</b>	Disaster risk management	<b>PIRES</b>	Programme Planning, Implementation Reporting and Evaluation Support System
<b>DRR</b>	Disaster risk reduction	<b>PWB</b>	Programme of work and budget
<b>FAO</b>	Food and Agriculture Organization	<b>RBB</b>	Results-based budgeting
<b>FPMIS</b>	Field Programme Management Information System	<b>REACH</b>	Regulation for Registration, Evaluation, Authorisation and Restriction of Chemicals
<b>GEF</b>	Global Environment Facility	<b>SO</b>	Strategic objective
<b>GHG</b>	Greenhouse gas	<b>SP</b>	Strategic programme
<b>GPE</b>	Global Partnership for Education	<b>TCP</b>	Technical Cooperation Programme
<b>GRMS</b>	Global Resource Management System	<b>TNCC</b>	Technical Network on Climate Change
<b>HQ</b>	Headquarters	<b>UN</b>	United Nations
<b>HR</b>	Human resources	<b>UNDAF</b>	United Nations Development Assistance Framework
<b>HRBA</b>	Human rights-based approach	<b>UNESCO</b>	United Nations Educational, Scientific and Cultural Organization
<b>ICN2</b>	Second International Conference on Nutrition	<b>UNFPA</b>	United Nations Population Fund
<b>IFAD</b>	International Fund for Agricultural Development	<b>UNHCR</b>	Office of the United Nations High Commissioner for Refugees
<b>IIED</b>	International Institute for Environment and Development	<b>UNRWA</b>	United Nations Relief and Works Agency for Palestine Refugees in the Near East
<b>IMIS</b>	Integrated Management Information System	<b>UNSCN</b>	United Nations System Standing Committee on Nutrition
<b>INGO</b>	International non-governmental organisation	<b>UN Women</b>	United Nations Entity for Gender Equality and the Empowerment of Women
<b>IOM</b>	International Organization for Migration	<b>USD</b>	US dollar
<b>IPSAS</b>	International Public Sector Accounting Standards	<b>WFP</b>	World Food Programme
<b>IUCN</b>	International Union for Conservation of Nature	<b>WHO</b>	World Health Organization
<b>KPI</b>	Key performance indicator		
<b>MI</b>	Micro-indicator		
<b>M&amp;E</b>	Monitoring and evaluation		
<b>MTP</b>	Medium term plan		
<b>NGO</b>	Non-governmental organisation		

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## Executive summary

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In 2017-18, MOPAN, the Multilateral Organisation Performance Assessment Network, assessed the performance of the Food and Agriculture Organization (FAO). The assessment looked at FAO's organisational effectiveness (strategic, operational, relationship and performance aspects) and the results it achieved against its objectives. This was the third MOPAN assessment of FAO; previous ones were conducted in 2011 and 2014.

### CONTEXT

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FAO's mandate spans the production and maintenance of international norms and standards, the development and curation of global knowledge, the provision of technical policy and capacity support for rural development, and the delivery of assistance in emergency situations. The organisation operates globally, regionally and nationally in 130 countries, and is governed by a Conference comprising 194 member nations.

FAO initiated a series of organisational reforms in 2009 with the launch of the Immediate Plan of Action. The process continued with the introduction of "transformative changes" introduced in 2012 by the new Director-General. The review period for this current MOPAN assessment coincides with a number of reform initiatives that have been instrumental in shaping the organisation. Key among these are FAO's revised Strategic Framework 2010-19 and the associated shift to a matrix management model. These represent a major change management project for the organisation requiring significant alterations to the way in which FAO operates. The reform initiatives have been designed to ensure FAO's continued fit with partners' expectations and the needs of the operating environment. The process has continued to evolve and has aligned itself with the Sustainable Development Goals (SDGs) launched in late 2015 under the 2030 Agenda and new initiatives on wider United Nations (UN) reform.

### KEY FINDINGS

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The assessment finds that FAO has strengthened its performance since the last MOPAN assessment in 2014. The organisation now has an enhanced strategic focus; stronger operational management, including of fiduciary risk; and a stronger commitment to partnerships.

FAO has significantly refocused its strategy by shifting away from a largely technical focus towards five complex, ambitious, multidisciplinary challenges facing its partner countries. This shift was undertaken to ensure that FAO meets the expectations and evolving needs of its partners. It has been accompanied by profound changes in the way FAO organises its work internally. Implementing those reforms while operating under a zero-growth core budget has required significant adaptation. Externally, the new focus has reinforced FAO's commitment to decentralisation and to working in partnerships. These reforms are still in progress and will take some time to fully implement. The evidence from the assessment also suggests that FAO is highly valued among its partners.

Significant changes to the wider UN Development System, and within FAO, entail not only opportunities but also risk for FAO. Looking ahead, the organisation will need to strengthen its systems and enhance its ability to manage strategic risk, while remaining agile to take advantage of opportunities to advance its mandate. FAO has yet to find sustainable forms of funding for some of its core activities, such as normative work, that have traditionally relied on core funding. FAO's approach to measuring results, particularly in normative work, remains a work in progress.

The assessment identifies several key **strengths** of FAO:

**1. FAO has established a clear, compelling and focused strategic vision that bodes well for the future.** The shift from 11 objectives largely based on technical disciplines to 5 strategic objectives framed in terms of complex development challenges requiring multi-disciplinary approaches, has strengthened the alignment of FAO's focus with the needs of partners. The revised Strategic Framework has been instrumental in shaping the organisation and is driving significant change in the way FAO works. FAO continues to implement new ways of working, and despite implementation challenges, the assessment finds strong support for the direction of change.

**2. FAO demonstrates a strong commitment to working in partnerships.** Its knowledge base is one of its key comparative advantages. This strength is evident in responses to the MOPAN partner survey. Furthermore, FAO is looking to develop new partnership modalities and engage with new types of partners, in particular through South-South co-operation and the private sector. FAO's approach is deeply rooted in the view that good development requires collective action and that the SDGs will not be achieved by aid funds alone.

**3. The refocusing of FAO's strategic direction has fostered a more integrated, multidisciplinary way of working.** The associated shift to a matrix management model has had profound implications for the way in which FAO operates and organises and staffs itself. This approach has the potential to leverage the organisation's technical expertise in new and more holistic responses to complex development problems. This change remains a work in progress and has not been without its challenges, as described below.

**4. FAO has established sound, high-quality financial management systems and improved its systems of internal control.** Resources are allocated and disbursed in line with priorities identified in FAO's programme of work and budget, which is reviewed regularly. FAO complies with International Public Sector Accounting Standards and during the review period, took significant steps to strengthen internal controls, including fraud risk management. This process is still ongoing and will require continued attention to ensure it is effectively implemented.

The assessment also identifies five major **areas for improvement**:

**1. FAO has paid insufficient attention to strategic risk management.** The organisation invested significant effort over the review period in strengthening its approach to risk, to good effect. However, the emphasis has been on operational risk and control. Going forward, FAO faces both opportunity and risk at an enterprise level – in particular from the UN reform process. FAO therefore needs to develop the tools and processes to strengthen its approach to strategic risk management.

**2. The way in which FAO implemented recent reforms in human resources bears risks.** FAO has actively used its human resources (HR) strategy and policies to enhance the agility and relevance of the organisation. While HR reforms have a clear rationale, the current approach to implementation exposes FAO to both operational and reputational risk. Greater consultation and transparency within HR management systems would help to address this concern. FAO's human resources management has lacked sufficient consultation and transparency.

**3. The timeliness of FAO's administrative and operational processes for delivery needs further attention.** The efficiency and timeliness of these processes were raised by the 2014 MOPAN assessment and require ongoing attention, as FAO's administrative and operational processes on the ground can cause great delays (except in its emergency work). The assessment finds that FAO had not done enough to diagnose the root causes of these delays in order to determine whether these stem from procedural or resource- or capacity-related limitations.

**4. FAO's corporate results framework gives insufficient visibility to the organisation's crucial normative work.** Although FAO has invested significant effort in promoting results-based management and made noteworthy progress in measuring results since the last MOPAN assessment, a key weakness of its corporate results framework (CRF) remains that it does not do justice to FAO's key role as a knowledge provider. It does not elaborate in detail how this core asset, and other core capabilities, contribute to each of its strategic objectives. Also, although reporting against the organisation's CRF for 2016-17 presents FAO as a highly effective organisation, limitations in both targets and indicators for outcomes and the degree of uncertainty around FAO's role in reported changes make interpreting these results difficult.

**5. Corporate performance reporting is not sufficiently integrated and complete.** FAO's enhancements to programme management and budgetary systems (through the Field Programme Management Information System, FPMIS, and the Programme Planning, Implementation Reporting and Evaluation Support System, PIREs) have allowed for more clarity and timeliness in the monitoring and reporting of deliverables that contribute to corporate outputs. Nonetheless, insufficient integration of systems remains a challenge. Evidence points to important gaps in FAO's whole-of-organisation view and oversight of performance. Interviews and FAO's own evaluation reports indicate that the tools and approaches used have limited utility for management. Given the level of scrutiny applied internationally to the organisational and development effectiveness of UN agencies, FAO's ability to manage and communicate its performance will be important in the future.

In all this, a key challenge for FAO has been that its normative functions and its role as a provider of global public knowledge rely on a core budget that has nominally stayed flat throughout the review period. Its success in attracting voluntary contributions has somewhat masked this challenge, and FAO has not defined the balance between core and voluntary contributions for the business model it strives for. If the trend for declining core contributions (in real terms) continues, the bigger debate may revolve around how to sustainably fund activities that have traditionally been core-funded in ways that are acceptable to members.

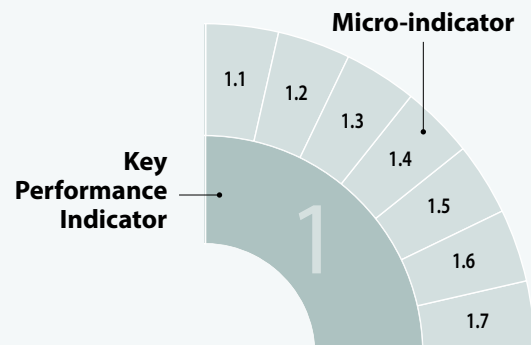
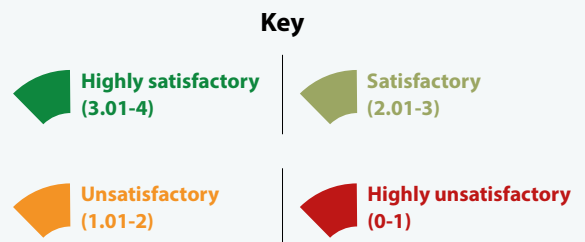
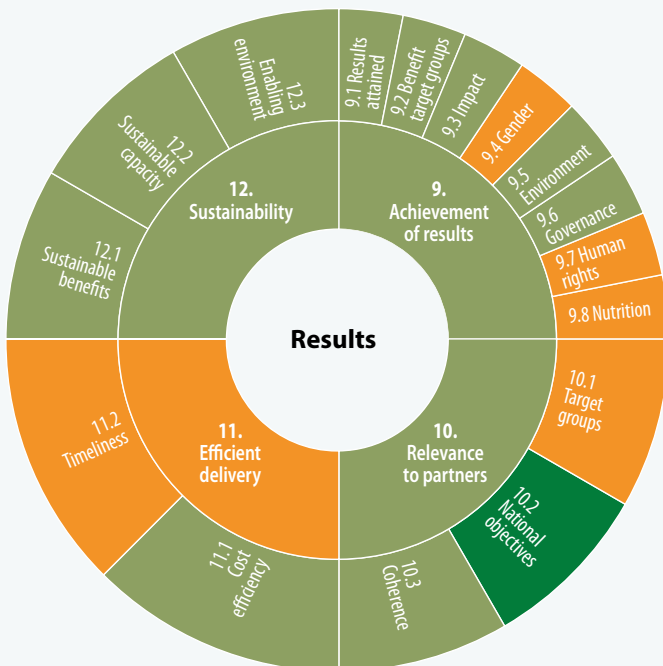
## METHODS OF ANALYSIS

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The assessment of performance covers FAO's headquarters and regional and country field presence. It addresses organisational systems, practices and behaviours as well as results achieved during the period 2016 to mid-2018. It relies on three lines of evidence: a review of 112 documents, interviews with 50 staff members individually and in small group discussions, and an online survey conducted among partners in 13 countries.

The MOPAN 3.0 methodology entails a framework of 12 key performance indicators and associated micro-indicators. It comprises standards that characterise an effective multilateral organisation. MOPAN conducted the assessment with support from IOD PARC, a consulting company located in the United Kingdom that specialises in results-based performance assessment in international development. France and Italy acted as the institutional lead countries representing MOPAN members in this assessment process.

FAO PERFORMANCE RATING SUMMARY (2017-18)



# 1. INTRODUCTION



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# Chapter 1. Introduction

## 1.1. STRUCTURE OF THE REPORT

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This report has three chapters and three annexes. Chapter 1 introduces the Food and Agriculture Organization (FAO) and the MOPAN 3.0 assessment process. Chapter 2 presents the main findings of the assessment in relation to each performance area. Chapter 3 provides the conclusions of the assessment. Annex 1 summarises the evidence gathered against each indicator with the detailed scores. Annex 2 lists the documents used for the analysis. Finally, Annex 3 provides an overview of the results of MOPAN's partner survey.

## 1.2. FAO AT A GLANCE

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**Mission and mandate:** FAO is a specialised agency of the United Nations (UN) established in 1945 to work globally on all aspects of food and agriculture. The organisation's comprehensive mandate established by its member states encompasses fishery, forestry and natural resources management, and food security and nutrition across the humanitarian and development continuum.

FAO and the organisation's Governing Bodies reaffirmed its vision in 2013 of "a world free from hunger and malnutrition, where food and agriculture contribute to improving the living standards of all, especially the poorest, in an economically, socially and environmentally sustainable manner".

FAO's Strategic Framework 2010-19 presents three Global Goals for member nations:

- eradication of hunger, food insecurity and malnutrition, progressively ensuring a world in which people at all times have sufficient safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life
- elimination of poverty and the driving forward of economic and social progress for all, with increased food production, enhanced rural development and sustainable livelihoods
- sustainable management and utilisation of natural resources, including land, water, air, climate and genetic resources for the benefit of present and future generations.

FAO helps member nations achieve these goals individually at the national level and collectively at regional and global levels through normative work, development assistance and emergency support to governments.

**Governance:** The Governing Bodies of FAO consist of the Conference, the Council and supporting committees. Within their respective mandates, they contribute to the definition of the overall policies and regulatory frameworks of FAO and the establishment of the strategic framework, medium term plan, and programme of work and budget. They also exercise or contribute to oversight of the administration of FAO.

The Conference is the sovereign Governing Body and comprises 194 member nations, the European Union, and two associate members (Faroe Islands and Tokelau). It is chaired by an elected member state representative and meets once per biennium. The Council acts as the executive organ of the Conference between sessions and usually meets at least five times per biennium. The Council consists of representatives of 49 member nations elected by the Conference for staggered three-year terms. It is chaired by an Independent Chairperson who is appointed by the Conference for a two-year renewable term.



**Organisational structure:** FAO is headquartered in Rome and has a national presence in over 130 countries. The organisation is led by a Director-General supported by three Deputy Directors-General who are responsible for programmes (strategic programmes, FAO's Technical Cooperation Programme and Resource Mobilization Division); climate and natural resources (technical departments and divisions); and operations (finance, corporate services and regional offices). In addition, FAO has an Economic and Social Development Department. Offices that are responsible for oversight and integrity, strategy and planning, and human resources report directly to the Director-General.<sup>2</sup>

FAO's decentralised network includes 5 regional offices, 10 sub-regional offices, 85 fully fledged country offices, and 36 countries that are covered through multiple accreditation whereby the FAO Representative resides in another country and receives local support. In addition, there are four countries with other representational arrangements, four countries with National Correspondents and without an FAO Representative, six Liaison Offices, and two Information Offices. Based on available figures, FAO employs 1 489 technical staff, 1 438 consultants, 2 481 national project personnel and about 360 people in other categories of employment. Around 57% of staff funded out of the regular core budget are based at the headquarters in Rome. The remaining staff work in other offices worldwide. Over the last 15 years, the proportion of women in the professional staff category has increased to 37% from 19%.

**Strategy:** FAO's Strategic Framework sets out the organisation's ten-year vision and priorities and is reviewed and adjusted, as necessary, at least once every four years. The current Framework covers 2010-19 and was reviewed in 2013 and 2017 by the Conference. The most recent update identified ten main development challenges and five strategic objectives (SOs) for the organisation:

1. contribute to the eradication of hunger, food insecurity and malnutrition (10%)
2. make agriculture, forestry and fisheries more productive and sustainable (26%)
3. reduce rural poverty (6%)
4. enable more inclusive and efficient agricultural and food systems (10%)
5. increase the resilience of livelihoods to threats and crises (28%).

The percentage figures above reflect each SO's anticipated share of FAO's total expenditure during the 2018-19 biennium. The Strategic Framework also includes a sixth, broad objective on technical quality, knowledge and services (including cross-cutting themes) that is designed to cover FAO's internal capability to deliver its strategic objectives. This is expected to account for about 3% of total expenditure during 2018-19. In addition, seven functional objectives cover aspects of FAO's operations such as including administrative performance, capital expenditure, governance and oversight functions, and so on.

The Strategic Framework also elaborates six basic organisational attributes and seven core functions. Collectively, FAO's organisational attributes are considered unique and are viewed as key elements in the organisation's comparative advantage. These elements include FAO's intergovernmental status and neutrality, its network of decentralised offices and country presence, and the combination of core and voluntary contributions from members that make up its budget.

Core functions are the key capabilities by which FAO generates value for and with partners in pursuit of its strategic objectives. The seven core functions include FAO's role in supporting and developing normative and standard-setting instruments such as international agreements, codes of conduct and technical standards; sharing and improving data and information in areas relevant to FAO's mandate; supporting policy dialogue at global, regional and country level; and facilitating partnerships among governments, development partners, civil society and the private sector.

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2. Note, however, that while the Ombudsman/Ethics officer is situated administratively in the Legal and Ethics Office, this officer reports to the Deputy Director-General responsible for Operations and not directly to the Director-General.

**Finances:** FAO's overall programme of work is funded by assessed (core) and voluntary contributions. The total budget planned for 2018-19 is USD 2.57 billion, which suggests no significant growth over the previous, 2016-17 biennium. Of this amount, USD 1.01 billion (39%) represent assessed contributions paid by member nations and agreed at the biennial FAO Conference. Assessed contributions make up the regular budget and cover staff and office costs, core normative functions and the Technical Cooperation Programme.

For 2018-19, voluntary contributions provided by members and other partners are expected to comprise 61% of FAO's total budget, or about USD 1.6 billion. Voluntary contributions support technical and emergency (including rehabilitation) assistance to governments for clearly-defined purposes linked to FAO's results framework, as well as direct support to core aspects of FAO's work.

**Organisational change initiatives:** A number of significant organisational change initiatives are underway, many of which continue the direction of reform established at FAO prior to the assessment period. Key among these are the revised, streamlined Strategic Framework and the associated results framework, introduced in 2014. These led to significant changes in FAO's organisational structure and management systems, including the introduction of a matrix management approach designed to promote strategic alignment and multidisciplinary working and a significantly revised performance management policy framework for staff.

Alongside these structural and policy changes, FAO is also looking to strengthen the information technology systems underpinning management processes and has recently introduced new organisation-wide measures to promote risk

### Box 1: Preventing sexual exploitation, abuse and harassment<sup>3</sup>

FAO has implemented a Policy on the Prevention of Harassment, Sexual Harassment and Abuse of Authority. The FAO Director-General issued an Administrative Circular on 21 February 2018, to reaffirm that the organisation takes seriously complaints of harassment, in particular sexual harassment (SH) and sexual exploitation and abuse (SEA), and that these complaints can be made in strict confidence.

The Office of the Inspector General has a secure reporting mechanism in place to receive all complaints made within and outside the organisation related to FAO's activities. Mechanisms for reporting include, but are not limited to, a telephone hotline, a secure email, a web form application, and in-person or Skype consultations. The Office of the Inspector General accords SEA and SH complaints a high priority and deals with them in strict confidence.

FAO is a signatory to the Statement of Commitment on Eliminating Sexual Exploitation and Abuse by UN and Non-UN Personnel. Increasingly, project documents include a standard clause on sexual harassment and sexual exploitation and abuse. In addition, FAO has formulated a work plan to mainstream this commitment into revised Project Cycle guidelines, to build the capacity of FAO personnel, and provide personnel with technical guidance on complaints mechanisms and procedures for FAO internal complaints mechanisms, as outlined in the SEA policy.

FAO is also concerned that there may be a degree of under-reporting of sexual harassment and is participating in the Chief Executives Board of Coordination Task Force on Addressing Sexual Harassment within the organisations of the UN System.

3. The 2017-18 MOPAN assessment does not cover the organisation's performance with regard to preventing sexual exploitation and abuse and sexual harassment (SEAH). This topic may become an area of assessment in future cycles. In the meantime, the assessment team simply collected key facts related to safeguarding against SEAH as self-reported by the organisation but did not verify the actual implementation of the instruments outlined by the organisation. A key reference used was: FAO (2018), Letter from José Graziano da Silva, FAO Director-General, dated 11 April 2018, addressed to Penny Mordaunt, Secretary of State for International Development of the United Kingdom and responding to Ms Mordaunt's letter to multilateral organisations dated 15 March 2018 (unpublished).

management. At the same, FAO has continued to reinforce its approach to country programming through the country programming frameworks, a results-based strategic planning approach at the country level for which FAO and the country government are mutually accountable.

### 1.3. THE ASSESSMENT PROCESS

#### Assessment framework

This MOPAN 3.0 assessment covers the period from 2016 to mid-2018 in line with the MOPAN 3.0 methodology, which can be found on MOPAN's website.<sup>4</sup> The assessment addresses organisational systems, practices and behaviours, as well as results achieved. It focuses on the five performance areas presented in Box 2. The first four relate to organisational effectiveness, and each has two key performance indicators (KPIs). The fifth performance area relates to effectiveness of development, humanitarian and normative work, and comprises four KPIs.

The MOPAN 3.0 indicator framework was developed by MOPAN's Technical Working Group, and draws on international standards and reference points, as described in Annex C of the Methodology Manual.

#### Box 2: Performance areas and key performance indicators

Aspect	Performance area	KPI
Organisational effectiveness	Strategic management	<b>KPI 1:</b> The organisational architecture and the financial framework enable mandate implementation and achievement of expected results
		<b>KPI 2:</b> Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels
	Operational management	<b>KPI 3:</b> The operating model and human and financial resources support relevance and agility
		<b>KPI 4:</b> Organisational systems are cost and value-conscious and enable financial transparency and accountability
	Relationship management	<b>KPI 5:</b> Operational planning and intervention design tools support relevance and agility within partnerships
		<b>KPI 6:</b> Partnership working is coherent and directed at ensuring relevance and the catalytic use of resources
	Performance management	<b>KPI 7:</b> The focus on results is strong, transparent and explicitly geared towards function
		<b>KPI 8:</b> The organisation applies evidence-based planning and programming
Development effectiveness	Results	<b>KPI 9:</b> Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals
		<b>KPI 10:</b> Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate
		<b>KPI 11:</b> Results are delivered efficiently
		<b>KPI 12:</b> Results are sustainable

4. MOPAN 3.0 Methodology Manual, 2017-18 Assessment Cycle, [www.mopanonline.org/ourwork/ourapproachmopan30/](http://www.mopanonline.org/ourwork/ourapproachmopan30/).

### Applying the MOPAN methodology to FAO

The MOPAN assessment covers the performance of FAO headquarters, regional offices and country field operations.

The MOPAN 3.0 methodology was applied with the following minor adjustments to indicator application and interpretation in order to reflect the realities of FAO's mandate and operating systems. See also Annex 1.

- **KPI 2:** An additional indicator was added to the MOPAN assessment framework reflecting FAO's identification of nutrition as a cross-cutting issue for the organisation.
- **MI 2.1 c, MI 5.5 and MI 9.6:** Examination of FAO's approach to good governance as a cross-cutting issue is based on the organisation's own definition of the term governance as:

"the formal and informal rules, organizations, and processes through which public and private actors articulate their interests and make and implement decisions. [...] Strengthening governance is essentially concerned with enabling effective and efficient problem-solving in ways that are regarded as legitimate by the stakeholders who are involved, enabled, or otherwise directly affected by the decisions and actions undertaken within or by any governance structure or regime".

In practical terms, this involves the use of political economy analysis to identify the roles and interests of stakeholders and institutions and a strong focus on promoting consultation with, and the participation of, those most affected.

### Lines of evidence

The MOPAN assessment of FAO was undertaken between May 2017 and July 2018. It covers FAO's headquarters operations and provides insights on the organisation's regional and country field presence. The methodology relies in part on the following lines of evidence:

- **Document review:** This process covered 112 documents including management reports and evaluations (Annex 2). Results documentation included 21 independent evaluations and corporate reviews from the current strategic period. These evaluations were complemented by FAO's own assessment of performance its Programme Implementation Report for the 2016-17 biennium.
- **Online survey:** The survey, conducted between March and April 2018, was designed to gather both perception data and an understanding of practice from a diverse set of well-informed partners of FAO (Annex 3). Responses were received from 206 partners in the 13 countries: Bangladesh, Bolivia, Democratic Republic of the Congo, Ethiopia, Guinea, Jordan, Lebanon, Mexico, Myanmar, Pakistan, Papua New Guinea, Tunisia and Turkey).
- **Interviews and consultations:** The MOPAN assessment team interviewed 50 FAO staff members at the organisation's headquarters in Rome and conducted follow-up calls with a number of regional and country offices.

FAO provided feedback on the draft document review and offered additional documentation to update the review and address gaps before the review fed into the overall analysis.

The team held an information call to discuss findings with the Institutional Lead representatives from France and Italy during the final stages of drafting.

### Limitations

The assessment encountered no significant limitations in conducting the review. The assessment team was able to select interviewees freely and was given broad access to FAO documentation. FAO worked hard to facilitate the assessment. While some aspects of FAO's operations are relatively new, key initiatives are reasonably well established and underway. Hence, the assessment team did not encounter any significant difficulties in assessing progress.

The assessment has involved the application of a methodology that is designed primarily for multilateral organisations engaged in country programming to an organisation whose primary role is the development of norms and standards and whose secondary role is the delivery of development and emergency interventions. Where relevant, the MOPAN assessment team used evidence of FAO's normative work in lieu of a country-facing intervention.

FAO operates through a large number of offices. While the assessors interviewed a number of staff working outside headquarters, the inability of the team to conduct interviews at all FAO regional and field offices limited the assessment.

The assessment analysed both quantitative and qualitative data from the FAO partner survey. These were used for triangulation purposes to corroborate or challenge other sources of evidence. The online survey yielded a 20% response rate, and the resulting quantitative and qualitative data were analysed and used where they expanded, supported or substantially challenged other sources of evidence. However, the qualitative comments, in particular, were found to be quite heterogenous and not amenable to broader extrapolation.





## **2. DETAILED ASSESSMENT OF FAO PERFORMANCE**

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## Chapter 2. Detailed assessment of FAO performance

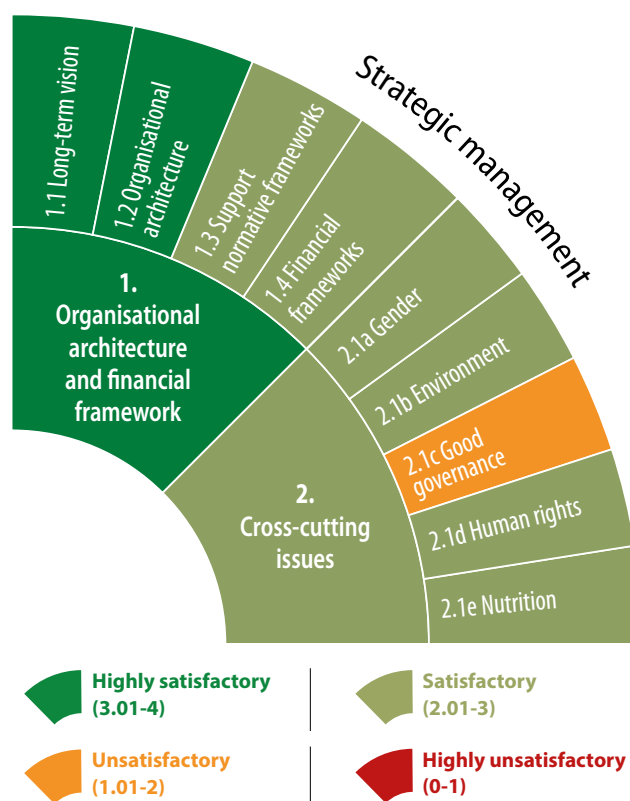
The performance is assessed on four dimensions of organisational effectiveness – strategic, operational, relationship and performance management – and on the results achieved by the organisation. These findings are constructed against the organisation’s own strategic plan and performance indicators.

### 2.1. ORGANISATIONAL EFFECTIVENESS

#### PERFORMANCE AREA: STRATEGIC MANAGEMENT

*Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities*

FAO has established a long-term vision and a Strategic Framework 2010-19 that it implements through a mix of strategic and operational plans. Its organisational and financial frameworks have been aligned with the Strategic Framework, although zero growth in core funding poses some challenges for the organisation. Implementation of the Strategic Framework represents a major change for the whole organisation and requires significant alterations to the way FAO works. While this transition is progressing, it still has some way to go. FAO has taken an adaptive approach to organisational change management. This has proven to be a strength, but also entails risks. FAO incorporates cross-cutting issues of global importance into its strategy. However, the extent to which the agency’s commitment is captured formally in organisational policies or strategies varies by issue. Gender, environmental sustainability and human rights are embedded in intervention planning processes, but requirements around governance and climate change are less formalised. Some indicators and targets for all cross-cutting issues similarly are included in FAO’s strategic results framework, but coverage and depth of assessment vary by issue.



#### KPI 1: The organisational architecture and the financial framework enable mandate implementation and achievement of expected results.

This KPI focuses on the extent to which FAO has articulated a coherent and strategic vision of how and for what purpose it has organised its human activity and capital assets to deliver both long- and short-term results.

**FAO set out a ten-year vision for the organisation in its Strategic Framework 2010-19 and has continually refined and refocused the Strategic Framework throughout this period.** In 2013, FAO revised the Framework to focus on five interdisciplinary, thematic strategic objectives and a sixth objective linked to key cross-cutting priorities. In addition, the organisation identified seven core functions representing critical business processes through which it creates value for and with its partners. FAO reviewed the Strategic Framework again in 2017 in the light of global developments, with a particular focus on the 2030 Agenda. These reviews enable FAO to carry out extensive analyses of the evolving global environment for development co-operation and assess its own comparative advantage based on organisational attributes and mandates.



**FAO implements its Strategic Framework through a combination of strategic and operational plans that are reviewed on a regular basis.** The organisation's priorities are elaborated through a quadrennial medium term plan and a biennial programme of work and budget. FAO develops these plans through an iterative process of bottom-up, country and region-led planning and top-down steering and direction, drawing on the Strategic Framework and the views of its Governing Bodies. FAO reviews and adjusts both plans at their respective mid-points.

**The revised Strategic Framework has had major implications for FAO's structure and approach to work.** Organisationally, FAO has moved from six departments to three directorates covering programmatic, corporate and technical departments and divisions. The most recent addition, the Directorate for Programmes, was established in 2016 to strengthen the strategic shift from sectoral approaches to multidisciplinary, problem-driven work. The organisation operates a network of regional and sub-regional offices in addition to country offices to support decentralisation – a key element of its long-term vision. New units have been created and existing ones revamped to better reflect current development challenges.

**FAO's operating model is undergoing a difficult transition to accommodate new ways of working.** FAO has promoted a matrix management model to support the shift to more multidisciplinary working. This change management project represents a significant transformation for FAO. Over the four years preceding this assessment, the organisation has introduced new structures, roles, and mechanisms and processes to advance the model in a manner that can be described as learning by doing. However, the effectiveness and application of these innovations remain variable, as staff are still coming to grips with the requirements.

**FAO's adaptive approach to organisational change management is a strength, but also entails risks that have not always been well managed.** In the absence of an overall change strategy, there is a danger that innovations may be introduced ad hoc with important elements addressed only once they become problematic. For example, FAO's internal audit recently concluded that implementation of the Strategic Framework in decentralised offices is still at a relatively immature stage, with insufficient attention paid to co-ordination challenges and differences in capacity across offices. Problems were also encountered with human resources (HR) reforms. The current medium term plan outlines the changes to structures and systems being introduced to further strengthen implementation, but other important elements of organisational change, such as leadership, organisational culture, management practices, and motivation and incentives, are not explicitly discussed.

**Normative frameworks are central to the Strategic Framework, though the role of normative work in advancing FAO's strategic objectives is not elaborated in detail.** FAO's recent review of the Strategic Framework established a clear line of sight between the organisation's work and the 2030 Agenda, hardwiring relevant Sustainable Development Goals into the corporate results framework for its strategic objectives alongside the Rome Declaration on Nutrition and the Paris Agreement on climate change. The Quadrennial Comprehensive Policy Review and the Grand Bargain are less visible at this level, although FAO reports on both in line with requirements. FAO itself has important normative functions that are viewed as a core function in the Strategic Framework. However, their role in advancing FAO's strategic objectives is not detailed and the corporate results framework provides limited visibility of the effectiveness of FAO's work in this regard.

**FAO's financial resources have been increasing in aggregate terms but challenges remain.** Voluntary (extra-budgetary) contributions have driven growth in FAO's aggregate expenditure. This is a reflection of the value placed on FAO by its development partners. However, the regular budget (from core contributions) has flat-lined in nominal terms since 2012. Operations that are more dependent on core contributions such as permanent staffing, country office management and administration, back-office support functions, and normative work, are consequently under significant pressure. In response, FAO has implemented an ongoing programme of efficiency savings and changes in organisational policy (e.g. on cost recovery). The organisation also is actively seeking to strengthen and realign

its financing instruments to attract more flexible, less-earmarked pooled funding from both donors and partner governments. However, in spite of these initiatives, the financial framework poses risks for FAO's delivery capabilities.

In broader terms, FAO has not defined the appropriate balance between core and voluntary contributions for its business model. The organisation's implicit aim appears to be to increase the size and share of voluntary contributions, but this is not elaborated upon in the long-term Strategic Framework. Capacity and implementation risks are associated with an ever-greater reliance on voluntary contributions. However, if the trend for declining core contributions (in real terms) continues, the bigger debate may revolve around how to sustainably fund activities that have traditionally been core-funded in ways that are acceptable to member nations.

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## **KPI 2: Structures and mechanisms support the implementation of global frameworks for cross-cutting issues at all levels.**

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This KPI looks at the articulation and positioning within FAO structures and mechanisms of the cross-cutting priorities to which the organisation is committed, in pursuit of its strategic objectives.

**The assessment examined FAO's approach to implementing five cross-cutting issues from four main perspectives.** The issues selected were gender equality and empowerment of women, environmental sustainability and climate change, governance, nutrition, and human rights. FAO's Strategic Framework explicitly identifies the first four of these as cross-cutting issues. In each case, the assessment considered the extent to which FAO (i) has a clear policy on the issue, (ii) requires its programmes to address the issue and provides the tools to assist, (iii) has put in place the means to monitor and report progress on the issue, and (iv) ensures adequate capacity exists within the organisation to take the issue forward.

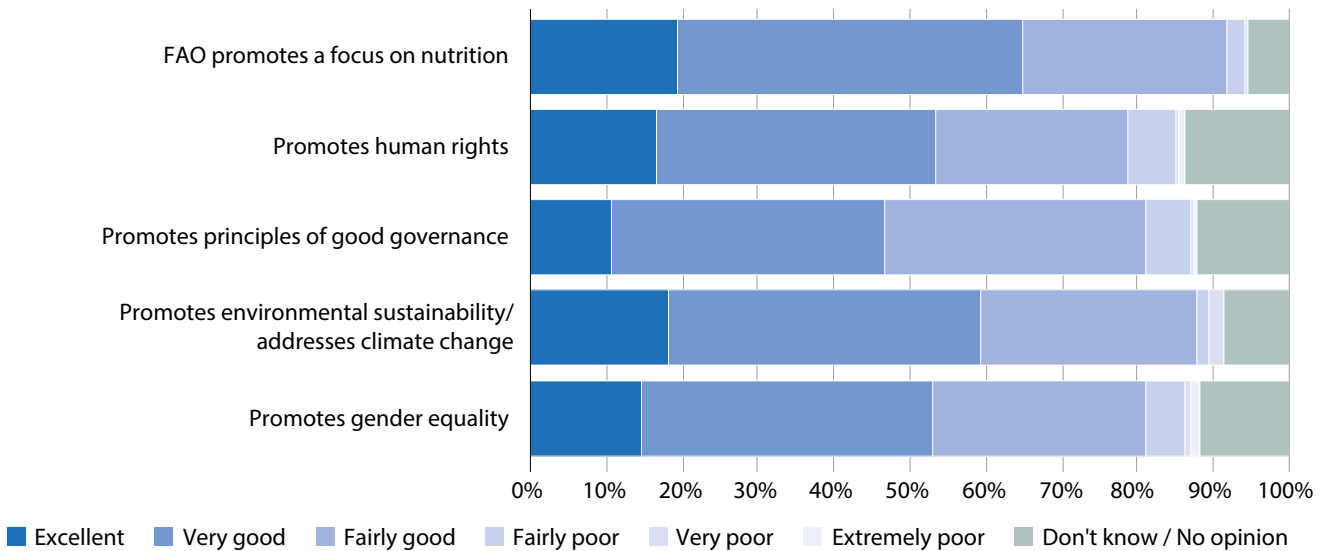
**FAO is committed to all the issues examined, though the extent to which this commitment is formally captured in organisational policies or strategies varies.** Gender equality, nutrition, and environmental sustainability and climate change are strongly represented in key policies, strategies and/or other key corporate documents. FAO has established governance as a key cross-cutting issue, with particular emphasis on improving the quality and effectiveness of stakeholder engagement and intervention design. However, FAO does not have a formal policy in this regard. The organisation also lacks a specific policy on human rights beyond issues of land tenure or the right to food, and others captured in its Policy on Gender Equality. The evidence suggests that FAO can make further progress in mainstreaming these issues, for example by promoting the treatment of gender equality issues in its normative work, ensuring consistency in the inclusion of environmental and sustainability issues in FAO publications, and heightening the visibility of nutrition across all FAO programmes.

**Gender equality, environmental sustainability and human rights are embedded in intervention planning processes, but requirements around governance and climate change are less formalised.** There is no requirement at FAO to conduct governance analyses systematically as part of intervention designs. However, the organisation is developing support tools and mechanisms to meet growing internal demand for political economy analyses to accompany interventions. FAO has developed a toolkit on nutrition-sensitive agriculture and food systems to support project designs, although consideration of nutrition aspects is not an obligation for all new interventions. This is deserving of attention, especially given FAO's role in the current United Nations (UN) Decade of Action on Nutrition. That said, 65% of respondents in the MOPAN partner survey rated FAO's performance in promoting nutrition within its work "excellent" or "very good" (see Figure 1 below).

In the case of climate change, environmental and social safeguards ensure that interventions will not increase greenhouse gas emissions or undermine adaptation capacity in food and agricultural systems. However, efforts to mainstream climate change in all interventions are still in development as part of revisions to FAO's approach to

project cycle management. Leading efforts on human rights are undertaken by the group responsible for economic and social safeguards, although some aspects of human rights are embodied in normative instruments, which in turn are expected to underpin all relevant investments. Gender, environmental sustainability and human rights all form part of the peer review checklist for appraisal of new interventions.

**Figure 1: Survey response – CROSS-CUTTING ISSUES**



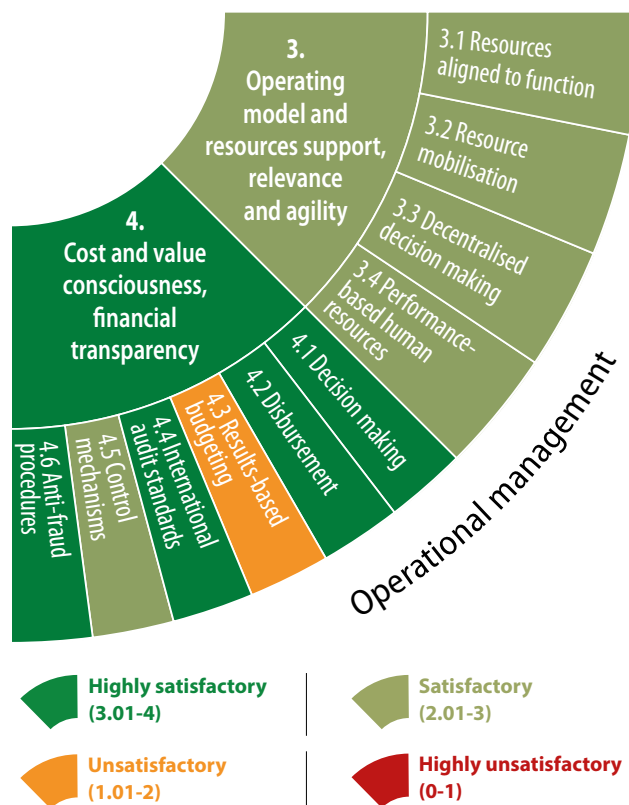
**Some indicators and targets for cross-cutting issues are included in FAO’s strategic results framework, but the extent and treatment of the issues are patchy.** FAO’s corporate results framework is extensive and complicated, and there are limits to how comprehensively cross-cutting issues can be represented. Nevertheless, the quality of their representation in this framework varies. Indicators of action or progress on gender equality, nutrition, climate change/environmental sustainability, and governance issues are included under the sixth strategic objective (which deals specifically with cross-cutting issues) and other relevant strategic objectives, although these fall short of being mainstreamed. Human rights as a specific issue is not explicitly included, although certain aspects are included implicitly in other human-centred indicators. The variable quality of cross-cutting indicators under the sixth strategic objective likely reflects the maturity of the issue within FAO, with the treatment of governance issues being particularly limited.

The resources and capacity within FAO to advance the examined cross-cutting issues is limited beyond gender equality, climate change and environmental sustainability.

### PERFORMANCE AREA: OPERATIONAL MANAGEMENT

*Assets and capacities organised behind strategic direction and intended results, to ensure relevance, agility and accountability*

Implementation of the Strategic Framework and FAO's decentralisation agenda remains a work in progress. FAO has made active use of its HR strategy and policies to enhance relevance and agility in support of the Strategic Framework, but has not managed the associated risks well. At the same time, the organisation has put considerable effort into strengthening its staff performance assessment system, the Performance Evaluation and Management System (PEMS). However, implementation and coverage challenges with the PEMS are evident. From a financial perspective, FAO is successfully revamping its approach to resource mobilisation to promote a more strategic approach and to better meet the needs of partners and donors. The organisation has established a clear process for allocating resources to priorities and manages the risks associated with earmarked funding. FAO manages budget execution to a high standard, although its use of results-based budgeting is limited. It has also undertaken significant work to strengthen its approach to risk management to good effect. However, this remains short of a full enterprise risk management system and the organisation's approach to managing strategic risks appears underdeveloped.



### KPI 3: The operating model and human and financial resources support relevance and agility.

This KPI focuses on how key operational functions (e.g. human resources, resource generation and programming) are continuously geared to support strategic direction and deliver results.

**Implementation of the Strategic Framework and FAO's decentralisation agenda, both of which are designed to maintain and enhance the organisation's relevance and agility, remains a work in progress.** FAO's Strategic Framework sets a clear direction for the organisation, reframing priorities in terms of complex problems requiring multidisciplinary, collective action. Since 2015, FAO has introduced a range of structural innovations designed to facilitate its response to this agenda. The organisation also has instituted full-time Strategic Programme Leaders with dedicated teams responsible for developing and guiding the organisation's work programme; Regional Programme Leaders to help to operationalise the strategic objectives in decentralised offices; and new planning and budgeting arrangements (including service-level agreements) to promote a cross-cutting approach to work.

Through its decentralisation agenda, FAO has also sought to re-orientate the organisation from a centre-out approach to one determined by demands at country and regional level. This move is underpinned by the country programming framework process and greater delegation of authority to decentralised offices. While operationalising this agenda is an ongoing challenge, the shift to a more country-driven perspective within FAO is a notable development.

**FAO has also made active use of its human resources strategy and policies with the intention of enhancing relevance and agility in support of its Strategic Framework, but it has not managed the associated risks well.**

Examples of FAO’s approach include keeping a proportion of established posts unfilled, making significant use of staff on short-term consultancy contracts, and implementing HR policies on staff mobility, recruitment and retirement. In each case, the underlying rationale is to enhance organisational relevance and agility; however, these changes carry risks which need managing.

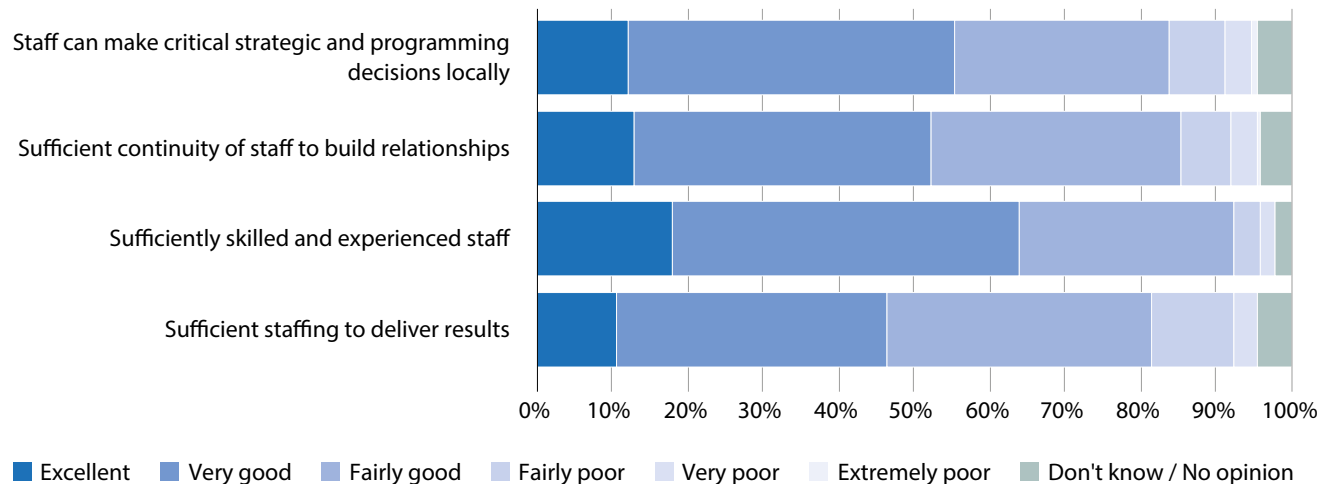
Heavy reliance on short-term consultants, while in principle increasing flexibility and access to skills, can adversely affect organisational knowledge, capacity and culture, particularly when they are placed in key corporate functions. New recruitment rules designed to promote the representativeness of FAO staff (in relation to members) over time, risk disrupting field activities in the short term, if not carefully introduced. More generally, a number of changes have been instituted in ways perceived as arbitrary or lacking transparency. Regardless of the merits of the changes themselves, FAO faces increased operational risks as a result in terms of staff morale, as well as reputational risks, at least among some member nations.

**FAO has put considerable effort into strengthening the PEMS, its staff performance assessment system, however implementation and coverage challenges remain.**

The organisation has undertaken significant work to improve the PEMS over the past few years. Revisions to the system in February 2017, followed a review that identified key shortcomings with the previous system. FAO is implementing changes with a view to streamlining the process and fostering more timely and higher-quality feedback to staff. The staff competency framework outlines expected behaviours required to deliver quality results within the Strategic Framework.

The quality of PEMS implementation is variable, however, according to interviews. Respondents to an in-house survey also suggested that staff need further training on giving and receiving informal feedback, completing the process in the system, and applying the rating scale. In addition, the PEMS only applies to staff holding fixed-term and continuing appointments, up to and including the Assistant Director-General level. A simpler system is operated for consultants that is not accompanied by the same level of guidance, does not include any element of professional development or learning, and is not clearly linked to FAO’s strategic objectives. Given FAO’s heavy reliance on consultants, this represents a significant gap.

**Figure 2: Survey response – STAFF PERFORMANCE**



**FAO is revamping its approach to resource mobilisation to become more strategic and to better meet the needs of partners and donors.** The organisation is developing a more sophisticated, strategic approach to resource mobilisation. Although multi-stranded, this approach entails a mix of improved communication and engagement with partners to better understand their needs and explain FAO's potential contribution, and the development of new instruments and roles to facilitate resource mobilisation from more diverse sources. Effectiveness to date is evident in part from the organisation's success in attracting increased voluntary contributions. Nevertheless, the process is still in the relatively early stages of development and challenges remain.

FAO is reliant on a relatively small base of key resource partners, with more than half of voluntary contributions coming from just five donors. FAO's strategic objectives represent a departure from previous practice, and donors and country partners are still learning about the organisation's new ways of working. As a result, FAO faces challenges in attracting funding for strategic objectives that are less familiar to partners or are perceived as a departure from FAO's traditional work (e.g. food systems and rural poverty). The organisation's resource mobilisation strategy was refocused in 2015 to align with changes in the Strategic Framework, but FAO is expected to submit a revised strategy in 2018 to reflect recent developments and organisational proposals to further strengthen this function.

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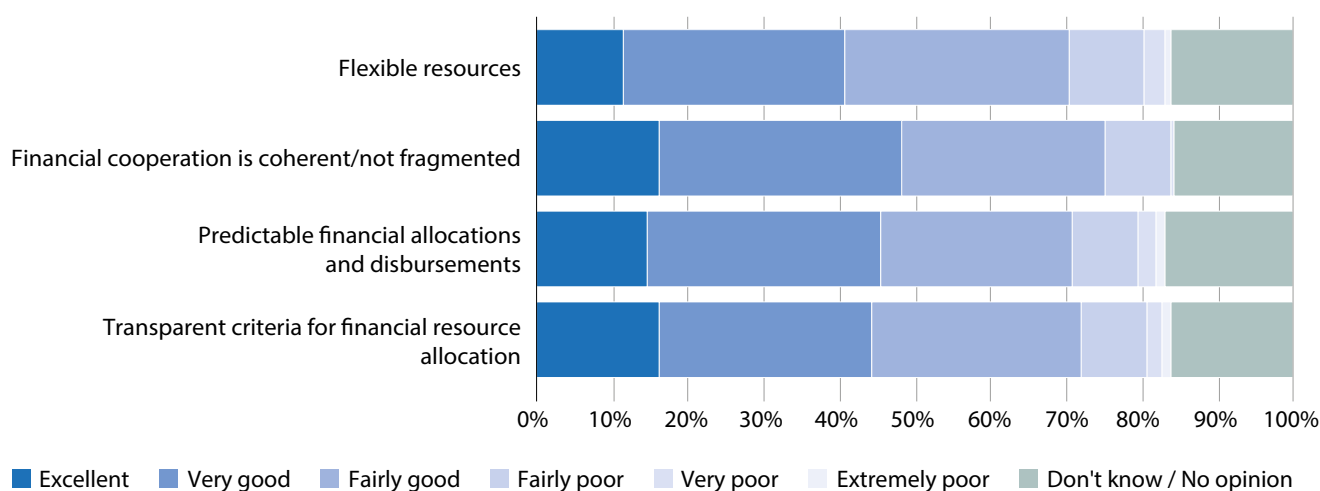
#### **KPI 4: Organisational systems are cost- and value-conscious and enable financial transparency and accountability.**

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This KPI examines how FAO uses its external and internal control mechanisms to meet the standards it sets on financial management and transparency.

**FAO has a clear process for allocating resources to priorities and manages the risks associated with earmarked funding.** The majority of FAO's budget comes from voluntary contributions for specific programmes. Ensuring that earmarked funding is aligned with FAO's strategic objectives therefore is a challenge. The breadth of FAO's strategic objectives means that earmarked funds are unlikely to fall outside the Strategic Framework per se. Rather, the challenge is to ensure that the collection of earmarked programmes that are funded under a particular strategic objective collectively offer a coherent response to FAO's strategic aims. Closer working arrangements recently introduced between Strategic Programme Teams and country offices go some way towards helping to manage this risk, as does the earlier shift to recruit FAO Representatives with strong technical backgrounds. Recently, FAO revamped its strategic dialogue process to engage donors more effectively in discussion about its Strategic Framework.

**FAO manages budget execution to a high standard, although it uses results-based budgeting to a limited extent.** FAO complies with International Public Sector Accounting Standards, as acknowledged by its external auditor. For the 2016-17 biennium, actual disbursement was 99.6% for the regular budget (predominantly assessed contributions) and 96% for extrabudgetary contributions. Variance for extrabudgetary contributions is much greater at the level of strategic objectives, reflecting inherent levels of uncertainty around these funds. Nevertheless, the Programme Implementation Report provides little discussion about significant variance for extrabudgetary contributions and their possible implications for FAO's work. More generally, FAO's use of results-based budgeting (RBB) is relatively limited: while it maps planned expenditure to intended result areas, this is not based on detailed costing of what is needed to achieve intended outcomes. During the period of the review, FAO made incremental improvements to the systems and processes used to align planning, budgeting and reporting against the strategic framework. But the organisation does not have a longer-term development strategy for its RBB approach.

**Figure 3: Survey response – FINANCIAL RESOURCE MANAGEMENT**

**FAO has undertaken significant work to strengthen its approach to risk management.** Such work includes the establishment of a Corporate Risk Log at the highest level of FAO and the implementation of a comprehensive Internal Controls Questionnaire. The latter should enable the Director-General to submit a Statement of Internal Control with the organisation's accounts in 2018.

FAO recently conducted its first organisation-wide fraud risk assessment and is currently developing an Anti-fraud Strategy and Action Plan to address identified control weaknesses. This work has been accompanied by systematic efforts to increase staff awareness around FAO's Policy on Fraud and Other Corrupt Practices and in particular, its zero tolerance policy. Work to develop a more structured, standardised approach for cash-based interventions, a high-risk area of work, will shortly be codified in a new section of the FAO Manual. FAO also is currently revising its procurement manual to strengthen the use of public tendering and to introduce specific procurement risk assessments. The Office of Inspector General indicated that these efforts aim to address its previously stated concern that FAO's approach to fraud risk was fragmentary.

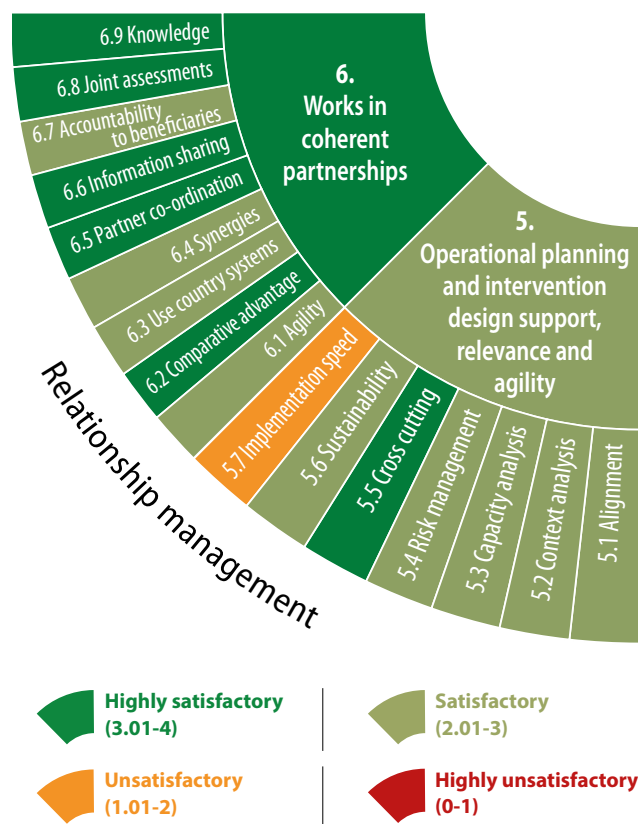
**However, further work is needed to develop a full enterprise risk management system, and strategic risks require more attention.** FAO recognises that initiatives to strengthen internal risk management have been driven largely from the top down. The next phase is to embed formal practices into all levels of FAO, strengthen the co-ordination and coherence of risk management efforts across the organisation, and continue efforts to improve the timeliness of management response where action is necessary.

While FAO management has recently reduced the backlog of outstanding audit recommendations, further effort is required to ensure that the organisation can meet its own performance targets in this regard. The Corporate Risk Log, while a positive development, has significant limitations as an overarching risk management tool at a Leadership Team level. The Log is rather technocratic and is essentially focused around programme delivery risks. It does not appear to consider strategic threats and opportunities facing the organisation, such as those arising externally from the wider UN reform agenda or from the significant internal changes being pursued under the Strategic Framework. Other corporate reform initiatives, e.g. around HR practices and organisational efficiency, may themselves adversely affect FAO's risk management capabilities in unintended ways – for example, in reduced resourcing in key roles, insufficient co-ordination when transitioning to new ways of working and/or insufficient consultation about the practicability of changes. It is not clear that FAO has managed to combine these issues to present a coherent view on strategic enterprise risks.

## PERFORMANCE AREA: RELATIONSHIP MANAGEMENT

*Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results*

Partners view FAO's alignment with national and regional priorities as a real strength of the organisation. The organisation takes the challenge of sustainability seriously and is committed to national ownership and capacity development. Nevertheless, the depth of contextual analysis underpinning its engagements is variable. FAO has made progress in increasing its capacity to respond to changes in country context, but more can be done to further streamline organisational procedures. FAO has a clear sense of its comparative advantage, which it employs in support of partnerships, and it demonstrates several characteristics of effective development partnerships in its approach to work. The organisation co-operates with other development or humanitarian partners to avoid fragmentation, in particular with the other Rome-based UN agencies (World Food Programme and International Fund for Agricultural Development), and has elaborated a clear statement on its accountability to affected populations (AAP).



## KPI 5: Operational planning and intervention design tools support relevance and agility within partnerships.

This KPI focuses on the scope and robustness of FAO's processes and practice to support timely, flexible and responsive planning and intervention design for partnerships.

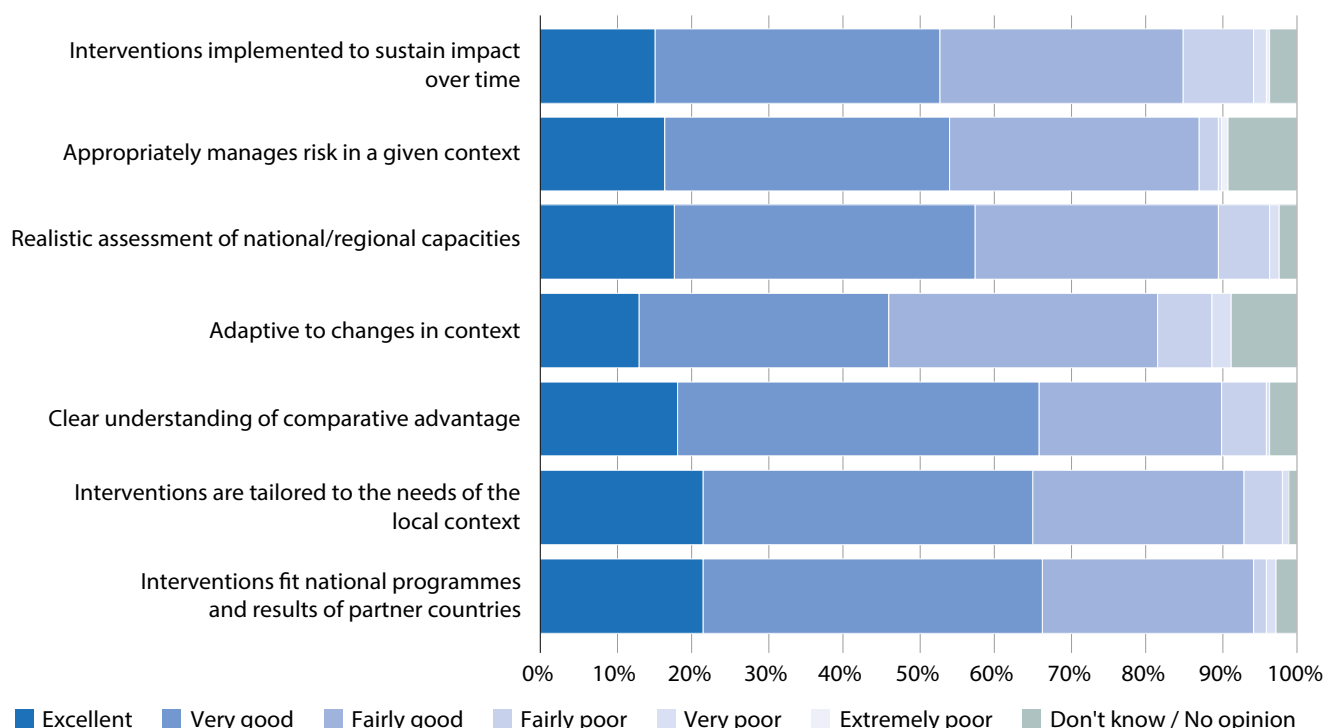
**Partners view FAO's alignment with national and regional priorities as a real strength of the organisation, although evidence suggests there is scope for improvement.** The organisation's own programming requirements emphasise the need for alignment and, overall, FAO performs well in this respect. Nevertheless, evidence points to areas where continued attention is required. A recent synthesis of the application of country programming frameworks (CPFs) found risks that the approach was too rigid, limiting the scope for tailoring to country context. Similarly, a review of CPFs found that they generally lacked theories of change setting out how FAO's work is expected to contribute specifically to national priorities. Better oversight of CPFs during implementation would also help to verify that FAO's interventions are contributing as planned.

**FAO requires consideration of most cross-cutting issues during intervention design, although attention to contextual analysis is more variable.** The organisation's interventions generally account for cross-cutting issues and staff have access to tools and guidelines for support. While nutrition and governance are not explicitly included in design templates, evidence suggests that these are addressed on an as-relevant basis. FAO's greater emphasis on political economy analysis in recent years is likely to further strengthen consideration of governance issues. However, in practice, the depth and breadth of analysis are determined to a significant degree by the requirements of the funding body (and the resources available). In the case of relatively small projects, the scope for detailed contextual analysis is limited.



**FAO takes the challenge of sustainability seriously and is committed to national ownership and capacity development.** Engagement with partner governments and other key country stakeholders is central to FAO's processes for developing country programming frameworks and interventions. New interventions must demonstrate how they will address sustainability, taking into account capacity (from a policy, organisational and individual perspective); gender equality; socio-cultural environmental and dimensions; technology; human rights; financial and economic perspectives; and knowledge transfer. Nevertheless, there is scope for FAO to strengthen its approach in this regard. A recent synthesis of experiences of implementing the new CPF found evidence of limited analysis of context, while FAO's Programme Evaluation Report cited cases of inadequate engagement of stakeholders in the development of initiatives. Furthermore, results frameworks for programmes do not require the monitoring of critical assumptions at the impact level, where sustainability risks are likely to be most prominent.

**Figure 4: Survey response – OPERATIONAL PLANNING AND INTERVENTION DESIGN**



**FAO has taken significant steps to strengthen its approach to operational risk management, although its own organisational procedures remain a source of risk.** As noted above, the organisation has strengthened its corporate approach to risk management. However, this is most evident for operational risk rather than for strategic or political risk, and remains a work in progress. Several audit reports in recent years have highlighted weaknesses in risk identification and mitigation across the organisation. While CPFs and project documents must identify risks and mitigating measures, this is at quite a broad level.

FAO is not yet devoting sufficient attention to ensuring that the risk management matrix project is sufficiently contextualised and actively used as a management tool during implementation. There is strong evidence that some of FAO's operational procedures may reduce the speed of implementation relating to recruitment, procurement and partnership establishment. This is a result, in part, of organisational requirements as well as capacity constraints within FAO, which themselves may reflect efficiency measures implemented elsewhere within the organisation. Although FAO uses measures to monitor the efficiency of some of its processes, the measures do not track the experience with its business processes from a partner perspective. These could be valuable in both supporting operational performance and managing risks arising from other changes introduced.

**KPI 6: Partnership working is coherent and directed at leveraging and/or ensuring relevance and the catalytic use of resources.**

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This KPI looks at how FAO engages in partnerships to maximise the effect of its investment resources and its wider engagement.

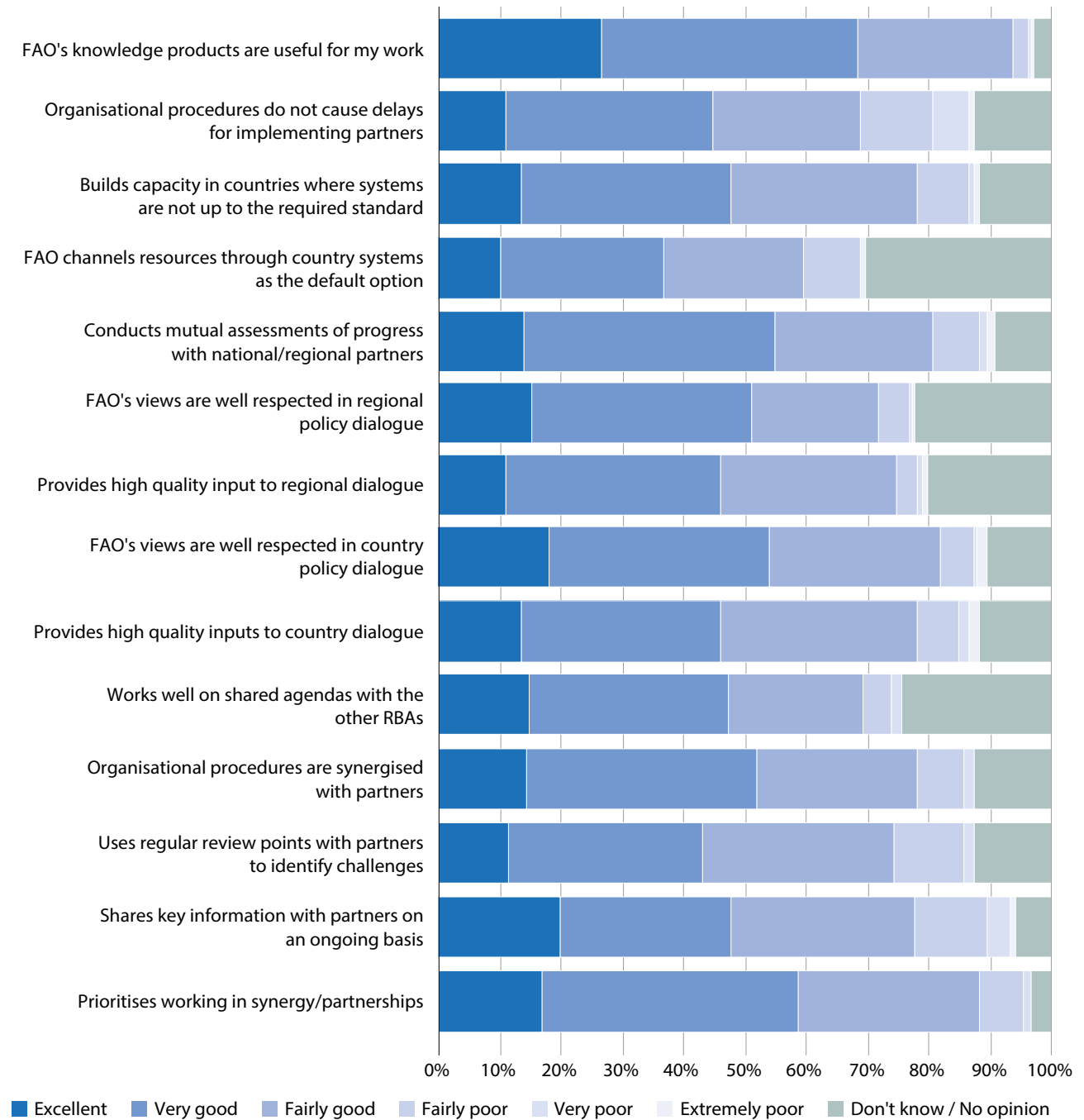
**FAO has a clear sense of its comparative advantage, which it employs in support of partnerships.** This understanding is articulated in the 2017 revision of the Strategic Framework, for example. Partners understand and value FAO's comparative advantage, including its technical knowledge, its network of country offices, and normative and standard-setting role. Some 66% of respondents to the MOPAN partner survey rated FAO "excellent" or "very good" in terms of basing interventions clearly on its comparative advantage (see Figure 4). Feedback from partners suggests that FAO prioritises partnership working as part of business practice. Partners consider FAO's knowledge products to be of high quality, although the ways and the extent to which they have contributed to improved policies or programmes in partner countries are unclear to the organisation. Within this overall positive picture, there is scope for FAO to increase further the value it leverages from its global knowledge and expertise. This can be achieved through effective tailoring to country conditions and by strengthening promotion of and access to its knowledge products and services.

**FAO co-operates with other development or humanitarian partners to avoid fragmentation, in particular with the other Rome-based UN agencies (World Food Programme and International Fund for Agricultural Development).** There is strong evidence of collaboration among the Rome-based agencies, particularly in terms of joint programming and monitoring and evaluation efforts, following concerns expressed previously by member nations. Joint working is underpinned by a strategy that identifies the scope for global co-operation at multiple levels, in the field, on thematic knowledge products and the delivery of joint corporate services. However, opportunities exist to strengthen further co-operation efforts by harmonising internal processes and procedures to establish new projects and by establishing a common framework (administration, procurement, recruitment) to reduce the transaction costs associated with collaboration.

**FAO demonstrates several characteristics of effective development partnerships in its approach to work.** As a specialist agency providing primarily technical assistance, FAO's use of country systems is relatively limited. That said, its Project Appraisal Checklist requires each proposed project to use national systems, organisations and procedures where appropriate. Moreover, FAO partners are positive in their assessment of the organisation's actions to build capacity in country systems where these remain weak. FAO performs strongly in terms of its participation in mutual assessments of progress with national and other partners. Feedback among partners was generally positive about the organisation's openness to sharing key information with partners (including financial data); however, a sizeable minority of partners (20%) expressed dissatisfaction, suggesting scope for improvement. FAO became a signatory to the International Aid Transparency Initiative (IATI) in April 2016, and began publishing IATI data one year later.

**FAO has made progress in increasing its capacity to respond to changes in country context, but more can be done.** Decentralised offices now have greater authority to manage their resources, guidelines exist to revise country programming frameworks during implementation and the organisation has initiated fast-track procedures for emergency situations. However, feedback from FAO's partners suggests that the organisation's responsiveness could be strengthened further. Fewer than half of survey respondents rated FAO "excellent" or "very good" for its approach to routinely identifying and interpreting changes in context with partners (see Figure 4) and for its flexibility with financial resources (see Figure 3). Only a little over half rated FAO "excellent" or "very good" for its speed of response and adaptation. As FAO cannot unilaterally adjust programmes that are funded via voluntary contributions, and must instead discuss and agree any necessary changes with funding bodies, engaging funders effectively in ongoing assessments of context is a key requirement.

**Figure 5: Survey response – PARTNERSHIPS**



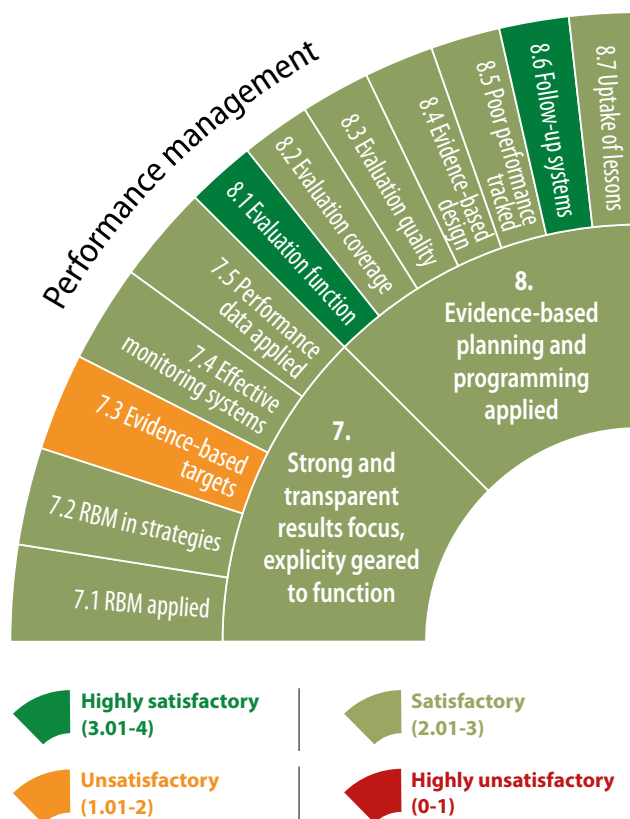
**FAO has a clear statement on its accountability to affected populations.** The AAP statement is supported by a publicly available guidance note that sets out the steps the organisation will take to ensure it meets its accountabilities. AAP is applicable to all of FAO's humanitarian and development programmes. While FAO has made considerable progress in rolling out AAP training for staff, including for focal points at its headquarters, there is scope to conduct training more broadly across the organisation.

## PERFORMANCE AREA: PERFORMANCE MANAGEMENT

Systems geared to managing and accounting for development and humanitarian results and to using performance information, including evaluation and lesson-learning

FAO has demonstrated a strong commitment to promoting a results-oriented approach across the organisation. Efforts to distil its goals to five strategic objectives have produced a greater focus on results. However, the design and implementation of a corporate results framework remains a challenge given the breadth of the organisation's work. The changes introduced have strengthened results-oriented planning, but significant gaps remain in terms of results-based management. FAO uses performance data to inform its decisions, but the utility of its corporate results framework for management and accountability purposes appears to be mixed. The organisation also does not systematically assess the performance of its portfolio of field programmes. FAO's corporate evaluation function is operationally independent from the units that it evaluates. The evaluation function provides reasonable coverage of

FAO's operations, but evaluations are not decentralised in FAO. FAO's approach to ensuring quality of evaluations is strongly dependent on a formal process of internal peer review, and although this is largely effective, there appears scope for further strengthening. Corporate evaluation findings are being used at a strategic level and lessons inform the design of new interventions. Outside the formal evaluation framework, lesson learning is more ad hoc.



### KPI 7: The focus on results is strong, transparent and explicitly geared towards function.

This KPI looks at how FAO transparently interprets and delivers an organisation-wide focus on results.

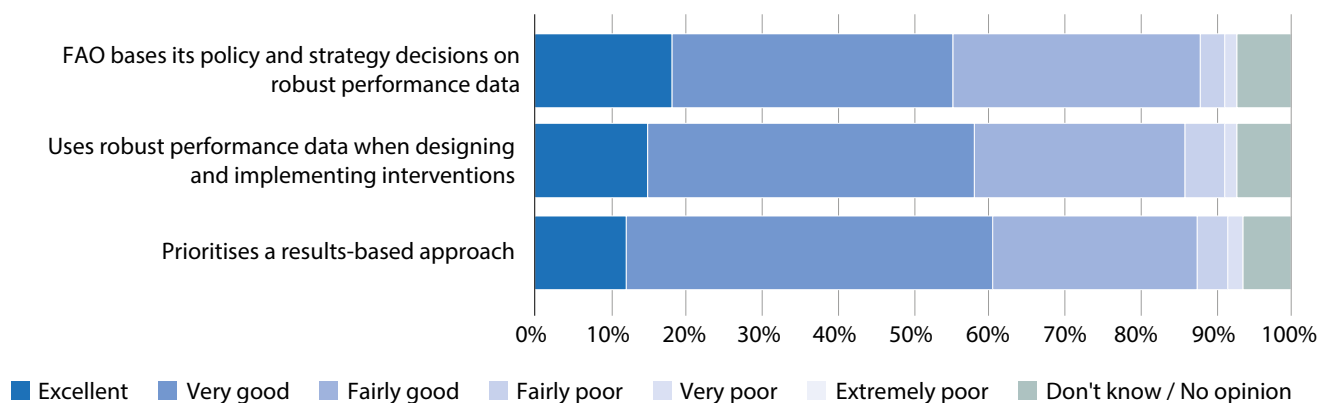
**FAO has demonstrated a strong commitment to promoting a results-orientated approach across the organisation.** FAO is a large organisation with a broad mandate; thus, the development of a results-based management (RBM) system represents a significant undertaking. Over the assessment period, FAO strengthened both its planning and reporting processes. The organisation now employs results frameworks at project and programme level, country programme level, and corporate level. In addition, significant guidance is also available regarding the requirements and expectations of staff.

FAO has also improved corporate management information systems to facilitate data collection and reporting, increase system transparency for managers, and improve the overall quality of performance data. All staff included in the review demonstrated a good awareness of FAO's general RBM approach, although in-depth understanding of RBM principles, methods and terminology was much less common. The assessment finds no definitive evidence that insufficient resources are allocated to the RBM system. However, recent reviews have found implementation to be variable, suggesting a need for ongoing organisational support. The assessment also received consistent reports of difficulties encountered by country offices with small field programmes in accessing the skills and capacity needed to engage effectively with the RBM system.

**FAO’s five strategic objectives have promoted a focus on results, but the design and implementation of a corporate results framework remain a challenge given the breadth of the organisation’s work.** The assessment identified a number of design limitations. At the outcome level, indicators are complicated and difficult to interpret, while at the output level, indicators are heavily focused on activity/process rather than effects/results. The process of connecting varied field programmes to the corporate results framework is relatively simplistic, with associated loss in data integrity. Furthermore, FAO’s method of aggregating results at each level separately makes it largely impossible to discern connections/causality between levels of results. The evidence also points to implementation challenges, given the variation in quality of target setting, indicators and baselines. Lastly, FAO appears to make only limited use of theory of change (or theory of action) approaches to elaborate the relationship between its work and intended results.

**The current results-based management system has some important gaps in terms of coverage.** No corporate results framework can (or should) measure everything, but important aspects of FAO’s performance (e.g. normative work and other aspects of corporate capability such as the organisation’s efficiency programme) are poorly represented. A more systemic issue, however, is that FAO does not assess the effectiveness of its field projects or programmes in their own right as part of corporate performance, as distinct from their contribution to the corporate results framework. This means that FAO does not report, for example, the proportion of completed programmes that were successful. Specific information about the performance of the organisation’s portfolio by country or type of engagement also is systematically lacking. This represents a significant gap in both accountability and learning within the organisation.

**Figure 6: Survey response – RESULTS-BASED MANAGEMENT**



**FAO uses performance data to inform its decisions, but the utility of its corporate results framework for management and accountability purposes appears to be mixed.** For individual projects and programmes, results frameworks are a key part of governance arrangements with funders. Results frameworks within country programming frameworks also are valuable tools for communicating FAO’s work and engaging partners in-country, according to comments received by the MOPAN assessment team. However, the corporate results framework appears to have limited management value for country-level managers. In corporate terms, the results framework enables FAO to demonstrate how it has planned and directed its efforts towards the strategic objectives. But the outcomes included in the framework appear to have little management value. Outputs are assessed more frequently and are more useful to Strategic Programme Leaders. Targets at the output level, despite improvements, are still viewed as indicative of FAO’s intended engagement rather than as an indication of what is needed to move the needle at the outcome level.

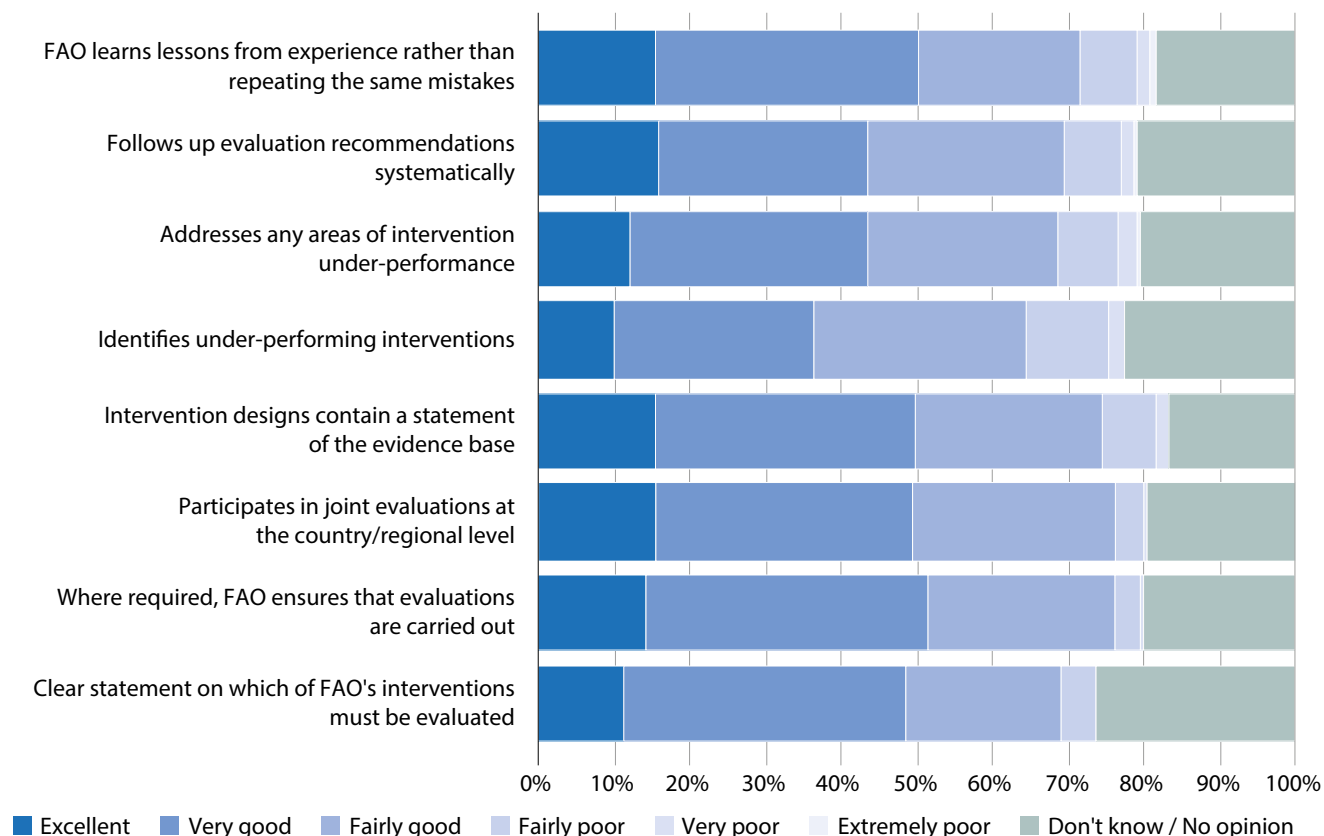
All organisational performance frameworks inevitably have limitations. FAO recognises this and has continued to refine the system during the assessment period. However, there may be merit in FAO taking stock, more fundamentally, to determine whether the current approach delivers the expected (or sufficient) value to the organisation and its stakeholders.

**KPI 8: The organisation applies evidence-based planning and programming.**

This KPI focuses on the evaluation function, its positioning within FAO structures, attention to quality, accountability and putting learning into practice.

**FAO has a corporate evaluation function that is operationally independent from the units it evaluates.** The Office of Evaluation (OED) reports to the Governing Bodies through the Programme Committee and to FAO’s Director-General, who is ultimately responsible for FAO’s work. FAO treats the independence of OED seriously, and has recently introduced institutional changes to strengthen the OED and reduce the risk of a conflict of interest. OED has full discretion to determine an evaluation programme through a three-year, rolling work plan. The work plan is subject to review by the Programme Committee acting on behalf of the Governing Bodies, which are ultimately responsible for approving the work plan. While OED’s Charter sets out independence and impartiality as primary evaluation principles, the OED Evaluation Manual does not provide guidance on how to safeguard these values. This is a potential gap, given that OED evaluation managers work closely with commissioned evaluation teams and the units being evaluated over the course of each evaluation.

**Figure 7: Survey response – IMPLEMENTATION AND USE OF EVALUATIONS**



**Coverage of FAO’s operations by evaluation assessments is reasonable.** A three-year rolling work plan is in place and is reviewed every two years by the Programme Committee. This work plan proposes several types of evaluations, including strategic, thematic and country evaluations. During the 2015-16 biennium, the OED conducted 11 country-level evaluations (two of which focused on humanitarian responses to crises), 39 project evaluations in 61 countries, and four thematic evaluations. The current evaluation plan has a clear focus on the corporate strategic objectives. The evaluation function remains highly centralised, which may result in timeliness issues and missed opportunities

for country-level learning through decentralised evaluations. However, FAO maintains a view that capacity in country offices is not sufficient to support decentralised evaluations. The possibility of decentralising the evaluation function has not been discounted in the future.

**FAO's approach to ensuring evaluation quality is strongly dependent on peer review.** FAO has a quality assurance framework in place to support the quality of evaluations and it encourages the involvement of staff with expertise in relevant subject matter. This approach is deemed appropriate, given the complex and diverse topics being evaluated. However, the system does not apply specific criteria or checklists, which from a quality improvement perspective makes it difficult to examine systematically where strengths and weaknesses lie. There could be merit in addressing this issue. The 2016 Independent Evaluation of FAO's Evaluation Function rated the overall quality of FAO's evaluation methodology as only medium to high, lower than other assessment criteria. The study also found that the evaluation methodology had been presented in a complete and detailed manner in only 6 out of 21 cases.

**Evaluation findings are being used at a strategic level.** The Climate Change Evaluation findings and adoption of recommendations are good examples of this. It was following a recommendation of the Climate Change Evaluation that FAO developed a climate change strategy. More generally, FAO has a system to list all evaluation recommendations and track follow-up and which is used for other strategic-level evaluations. Clear guidelines are in place to ensure management responses and follow-up to evaluations, and the evidence suggests that FAO takes the process seriously. The organisation publishes reports that track follow-up commitments made for strategic evaluations. The extent to which FAO follows up project-level evaluations is less clear.

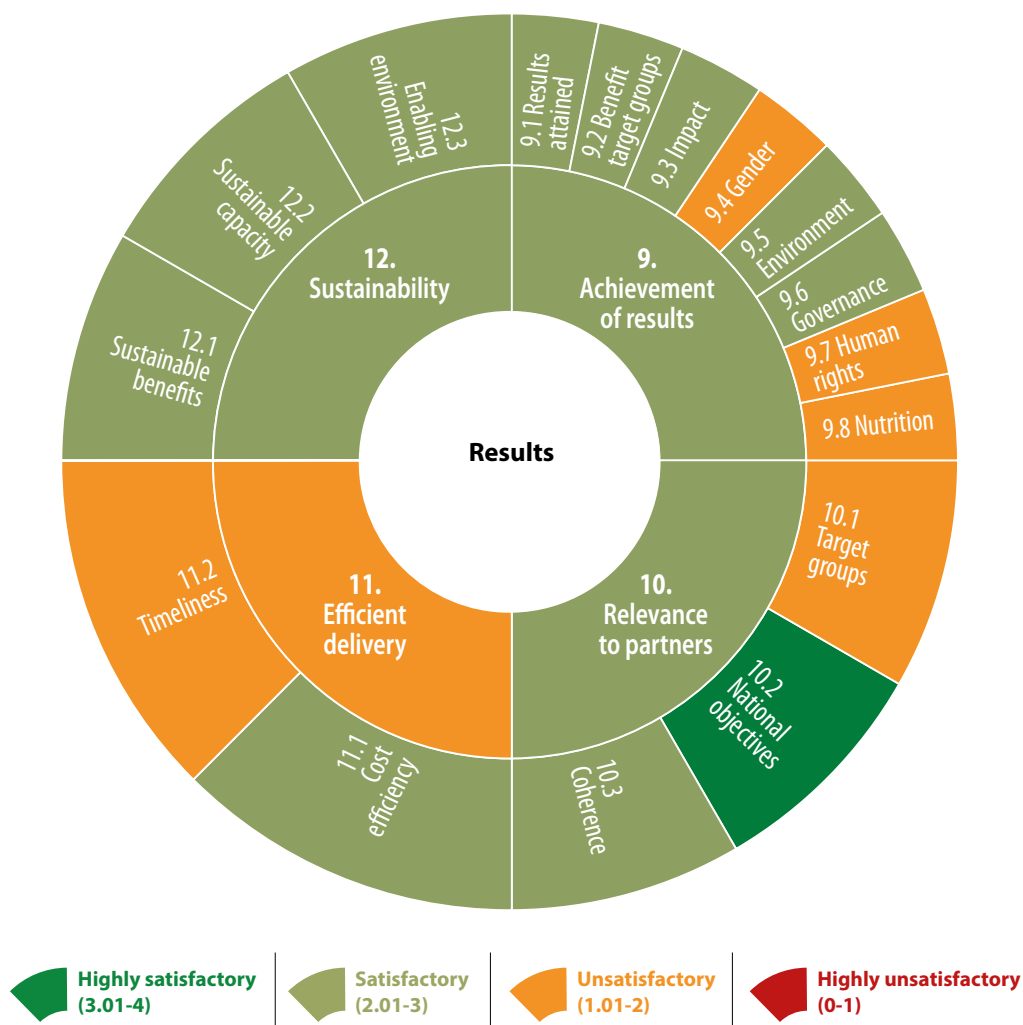
**Lessons are captured and applied to inform new interventions.** The OED website and the Governing Body website for the Programme Committee serve as repositories for FAO evaluation reports, which include lessons and recommendations. Syntheses of findings and lessons learned by thematic areas also are published in the biennial Programme Evaluation Report. FAO is also planning to build a platform to support knowledge management and share innovations from across country offices. However, no formal mechanisms currently exist to facilitate this process other than person-to-person links. Standard templates for new interventions (concept note and project design documents) include the requirement to demonstrate how relevant lessons are reflected in the design. The checklist used by FAO to appraise project proposals specifically includes a requirement that "reference is made to evaluation recommendations and lessons learned from other projects implemented in the same sector or in similar environments, and such lessons are reflected and incorporated in the project".

**Outside the formal evaluation framework, lesson learning is more ad hoc.** The 2016 Independent Evaluation of FAO's Evaluation Function highlighted gaps in the use of non-OED, decentralised evaluations. More generally, lessons arising from all field projects and programmes are captured in terminal reports. However, there is no systematic analysis or review of these reports. The extent to which relevant findings are fed back to and promoted within FAO depends more widely on the opportunity, motivation and resources of the individual(s) involved.

## 2.2. DEVELOPMENT EFFECTIVENESS

### PERFORMANCE AREA: RESULTS

*Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way*



FAO is able to demonstrate effective performance in achieving results. However, the evaluation reports examined point to mixed results in terms of development objectives targeted by FAO and joint interventions. While evidence exists of results achieved at the beneficiary level, FAO often works further upstream. More evaluation reports point to engagement on national development policies and programmes, although the results here have been variable. FAO programmes are generally strong in terms of relevance to national development goals and regional priorities. However, the evaluations indicate weaker performance in terms of alignment with the priorities and needs of target groups. Despite investment in integrating gender across programmes, the evidence suggests that interventions either still lack gender equality objectives or do not achieve their stated gender equality goals. Efficiency savings remain a high priority for FAO, although how well these initiatives translate into efficient programme delivery is less clear. Care is required to ensure that initiatives do not simply shift costs, with adverse effects on delivery capabilities.

Evidence of the sustainability of benefits is mixed within the evaluated programmes. On balance, the evaluations suggest that FAO contributes to improvements in the enabling environment but that building capacity at multiple levels (individual, institutional and enabling environment) is challenging in practice. Nevertheless, capacity development is recognised as key for sustainability and, as such, is a core modality of FAO's assistance.



### **KPI 9: Development and humanitarian objectives are achieved, and results contribute to normative and cross-cutting goals.**

This KPI examines the nature and scale of the results FAO is achieving against the targets it sets and its expectations on making a difference.

**Results are mixed for FAO and joint interventions achieving development objectives.** FAO's Programme Evaluation Report 2017, which summarised the main findings from evaluations conducted in 2015-16, notes that just over half (51%) of the assessed programmes had achieved the stated objectives while about one-third more (36%) had partially achieved them. Out of five country-level evaluations reviewed for this assessment, two reported generally positive results and three reported mixed results. Of the seven thematic evaluations reviewed, six documented evidence of mixed performance and one provided evidence of largely negative performance. Limitations in performance identified in the evaluation reports were attributed to a range of factors including small and fragmentary approaches, insufficient contextual analysis and weak theories of change, unrealistic time frames, and slow and/or burdensome procurement processes.

**While the assessment found some evidence of results achieved at beneficiary level, FAO often works further upstream.** Only 8 of the 19 evaluation reports reviewed provided evidence of benefits for target groups. Of these, three provided evidence of overall positive performance and five reported mixed performance. FAO's Programme Evaluation Report 2017 found that just over half (54%) of the evaluation reports were rated "satisfactory" or "highly satisfactory" in terms of delivering substantial positive benefits for target group members; 13% were rated as having mixed results; and 21% were rated either "unsatisfactory" or "highly unsatisfactory".

**More evaluation reports point to engagement on national development policies and programmes, although the results have been mixed.** More evidence presented across the evaluation reports highlights FAO's contributions to change at the policy level. Out of 16 evaluations that reported on this finding, 5 provided evidence of largely positive performance, 3 provided evidence of less positive performance and 8 reports provided evidence of mixed performance. According to the Programme Evaluation Report 2017, just over half (54%) of programmes were rated "satisfactory" or "highly satisfactory" in terms of their substantial contribution to development goals and/or significant change in the design and implementation of policies or programmes. Some 10% were rated "unsatisfactory" or "highly unsatisfactory", 15% demonstrated mixed performance, and 21% did not address these objectives.

Positive examples of policy change can be found for all five of the strategic objectives at national level, including the use of FAO normative instruments to support policy change. However, a few evaluations identified missed opportunities to engage more effectively with ministries. Evaluation of the fifth strategic objective showed that FAO had only recently stepped up much-needed policy work in the area of disaster risk reduction (DRR) and disaster risk management.

**Despite investment in integrating gender across programmes, interventions either still lack gender equality objectives or do not achieve their stated gender equality objectives.** A significant number of evaluation reports reviewed (15) provided evidence of poor or mixed performance in terms of gender equality objectives. This observation is reaffirmed by FAO's Programme Evaluation Report 2017, which noted that while the focus on gender equality was either very strategic or a significant component of the programme in 11 evaluations, gender equality was not a programme priority in 14 evaluations.

**FAO has invested in work on climate change in recent years, although the evaluations highlight mixed performance.** The FAO Programme Implementation Report 2016-17 presented a number of positive examples of normative and operational results in the area of climate change. FAO's Programme Evaluation Report (2017) highlights

good engagement in global fora on climate change, but only marginal progress on data and guidance at country level. Longer-term climate change adaptation measures have been mainstreamed into FAO's emergency response and climate-related DRR interventions only to a partial degree. A key challenge was a lack of conceptual clarity and guidance on the difference between emergency DRR and long-term adaptation interventions. While a number of positive examples were found at country level in terms of support and engagement with government-led processes, the report highlighted other examples of country offices with limited capacity, where FAO was unable to provide support or engage in resilience and DRR platforms and technical co-ordination.

**The evaluations on the whole poorly reflected environmental sustainability, but provide evidence of positive performance where it was documented.** This finding was endorsed by the Programme Implementation Report 2016-17, which also highlights positive performance in FAO's operational and normative work.

**The evidence suggests that FAO's work relating to governance has positive results.** Planned results for the biennium (2016-17) were fully achieved and the corporate targets for the two key performance indicators that track governance results were reported as met. The reviewed evaluations provided positive examples of change in several different thematic areas including groundwater governance, fisheries governance, governance of value chains, political economy issues in agricultural policy reforms and governance relating to integrating disaster risk management into agriculture. The evidence suggests that factors contributing to these results include FAO's positive relationship with government and civil society and pre-existing political commitments to reform.

FAO's Programme Implementation Report 2016-17 presented a generally positive picture of results in the governance sphere and highlighted the number of policy processes with more inclusive governance arrangements. The three evaluation reports that provide evidence of mixed performance drew attention to factors such as the need for FAO to better use its institutional knowledge on governance and policy issues, a need for improved contextual knowledge, and the adverse impact on FAO's ability to develop long-term partnerships as a result of limited capacity.

**FAO evaluations have not focused explicitly on human rights.** Some country-level evaluations examined FAO's treatment of equity, gender and human rights during the design phase, although the focus was predominantly on gender. Positive results relating to human rights were found in three evaluation reports. For example, the mid-term evaluation of the Forest and Farm Facility provided evidence that its design had adequately addressed the rights of indigenous groups in implementation, monitoring and proposals submitted for small grants. The evaluation of Strategic Programme 3 highlighted the gender and land rights database, which is available in more than 80 countries. Notable work was also performed on land tenure and fisheries rights, as well as the right to food. But overall evaluations were limited on this topic and none of the evaluation reports mentioned the PANTHER framework.<sup>5</sup>

**FAO has strengthened its position as an important player in relevant global, regional and national fora on nutrition, but nutrition is not commonly evaluated as a cross-cutting issue.** FAO has contributed to the quality, availability, and access of food security and nutrition data, and the organisation has played a leadership role in technical co-ordination processes on nutrition at national level. FAO also has responded to partners' needs by developing means to integrate nutrition into agriculture and food security interventions. The evaluation of the Global Governance for Hunger Reduction Programme noted the exemplary manner in which FAO mainstreamed nutrition and integrated it into major international fora. The REACH evaluation found that multi-sector and/or stakeholder approaches resulted in increased awareness of nutrition issues and improved priority setting in the countries assessed. However, it found limited evidence of stakeholders' commitment to scaling up nutrition support or that REACH was able to effectively influence the agendas of national and international stakeholders. Furthermore, capacity constraints at sub-national

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5. The PANTHER framework is a set of human rights principles covering Participation, Accountability, Non-discrimination, Transparency, Human dignity, Empowerment and the Rule of law. FAO offers practical information and guidance on ways to integrate the right to food through this approach.

levels remain a challenge for multi-sector governance and policy implementation. The Programme Evaluation Report 2017 noted that only 28% of evaluations in the biennium 2016-17 examined aspects of nutrition.

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**KPI 10: Interventions are relevant to the needs and priorities of partner countries and beneficiaries, and the organisation works towards results in areas within its mandate.**

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This KPI centres on the relevance of FAO's engagement given the needs and priorities of its partner countries and its results focus.

**FAO's Programme Evaluation Report 2017 found the majority of reviewed FAO programmes were rated "satisfactory" or "highly satisfactory" in terms of relevance and strategic alignment to national development goals and regional priorities.** Just over half of the reviewed evaluation reports found FAO programmes to be highly relevant to countries' needs. They also concluded that FAO has responded well to changing global contexts. The evidence from other evaluation reports included in the review supports this positive picture. In cases where problems were encountered, factors included inadequate support for country-led processes, insufficient analysis of context and capacity constraints in FAO country offices.

**Performance in terms of alignment with the priorities and needs of target groups appears to be more mixed.**

Several evaluations provided positive evidence of FAO's responsiveness to the needs of target groups. For example, the Forest and Farm Facility Programme was found to be highly relevant to the needs and priorities of target forest and farm smallholders. Community-level projects on climate change adaptation and mitigation and disaster risk reduction were also generally found to be relevant to local needs. In cases where results were less positive, inadequate targeting and needs assessments were identified as factors. The Programme Evaluation Report 2017 also highlighted the need to improve context-specific approaches and participatory processes to allow the programme to better respond to target group characteristics. The same report noted the sometimes-limited involvement of users and partners in the design stage and observed that beneficiaries found FAO's technical material to be insufficiently contextualised to meet local needs and somewhat inaccessible in terms of language and online access.

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**KPI 11: Results are delivered efficiently.**

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This KPI looks at the extent to which FAO is meeting its own aims and standards on delivering results efficiently.

**The pursuit of efficiency savings remains a high priority for FAO.** Since 2012-13, FAO has operated within a flat nominal regular budget of USD 1 billion per biennium and has delivered sustained savings over the period, estimated by FAO to be worth more than USD 140 million. Staff costs, as FAO's largest cost driver, are the major source of these savings. This has been achieved through a freeze on remuneration and changes to staff benefits; substantial use of consultants (who incur lower staff costs overall); the review and downgrading of a number of posts; reductions in administrative posts; and the maintenance of a reasonably high vacancy rate. Other sources of savings include the development of the Shared Services Centre to handle routine administrative transactions and savings on infrastructure investment projects. FAO has reallocated cash savings realised from these initiatives to support and/or enhance the implementation of its work programme.

**How this translates into efficient programme delivery varies.** Evidence from the evaluations reviewed provides a mixed picture. Good examples of efficient delivery were found, for instance, in the Forest and Farm Facility Programme evaluation, where a tripartite partnership of FAO the International Institute for Environment and Development, and the International Union for Conservation of Nature was instrumental in establishing an efficient implementation model and deepening lessons learned. However, the inter-UN agency partnership on climate change adaptation was found to have added costs without commensurate value. Efficient delivery of individual initiatives on occasion

resulted in limited overall value, as was found to be the case with FAO's work on climate change, where a dispersed portfolio limited the organisation's ability to bring about change at a national level.

**There is a risk that initiatives simply shift costs, with adverse impacts on delivery.** Some evaluations identified insufficient resources for front-end activities (e.g. context analysis) and back-end activities (e.g. dissemination and outreach) as factors contributing to a reduction in the value of programmes. Timeliness of delivery was also a problem, with additional cost or no-cost extensions found to be common. Explanatory factors included unrealistic design, delays in recruitment and lengthy procurement processes, and limited capacity in country offices with lack of access to project management support. All these factors may potentially reflect the effects of savings made elsewhere in the organisation. Managing this risk requires explicit attention to the effects on FAO's value generation from efficiency initiatives, not just to the costs saved.

#### **KPI 12: Results are sustainable.**

This KPI looks at the degree to which FAO successfully delivers results that are sustainable in the longer term.

**Evidence of benefits continuing after programme completion is mixed.** The majority of reviewed evaluations found that prospects for sustainability varied for different elements of programmes. The few evaluations that identified mostly negative prospects attributed these to instability/fragility in the operating context. Factors limiting sustainability included insufficient involvement on the part of governments; generation of dependency through grant funding; short project duration, use of consultants and lack of engagement with national personnel; lack of longer-term strategic planning; and poor exit strategies. Given FAO's reliance on voluntary contributions at country level, it is noteworthy that unpredictability of funding also was a factor in limiting sustainability. On the other hand, factors that contributed to sustainability included a high level of ownership at all levels of government, strong collaboration with central government, and joined-up interventions and capacity-building/empowerment approaches.

**Capacity development is a core modality of FAO's assistance and is recognised as key for sustainability.** The projects and programmes included in the reviewed evaluations devoted significant effort to capacity development. On balance, the evaluation findings are more positive than negative on this issue. Available examples include the strengthened capacity of national personnel, partner organisations and governments at technical and policy levels.

**FAO recognises that capacity is determined at the individual, institutional and enabling environment levels, although taking a holistic approach involves challenges.** The evaluations found that several FAO programmes focused more on training individuals than on addressing capacity constraints at the organisational level or in the enabling environment. In a related finding, the evaluation reports also cited a lack of a clear, strategic approach to capacity building as an important factor in explaining poor performance. The evaluation of the Improved Global Governance for Hunger Reduction Programme, for example, found that capacity building produced some emerging good practice but lacked a coherent, integrated strategy.

**Evidence also suggests that, on balance, FAO has contributed to improvements in the enabling environment.** FAO's normative role on standard setting, including codes of conduct and voluntary guidelines, and its role as a provider of global knowledge products, have enabled it to positively shape global processes. Examples include the COP22 and COP23 Conference of the Parties climate change conferences, the Committee on Fisheries, the UN System Standing Committee on Nutrition, the UN Scaling Up Nutrition movement, the UN Zero Hunger Challenge, and the Global Alliance for Climate-Smart Agriculture. The organisation is also well-placed to help to advise partner countries on related policy development at national levels. However, where evaluations found limited impact on the enabling environment, these identified lack of sustained, strategic engagement on policy issues at the country level as a factor.



# 3. OVERALL PERFORMANCE OF FAO

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## Chapter 3. Overall performance of FAO

The performance conclusions first consider four key attributes of an effective organisation: (i) whether it understands future needs and demands; (ii) whether it is organised and makes use of its assets and comparative advantages; (iii) whether it has mandate-oriented systems, planning and operations; and (iv) whether it makes consistent developments according to its resource level and operational context.

Then, the journey of the organisation is mapped against MOPAN's previous assessment of FAO.

Lastly, the assessment report presents the key findings: the observed strengths and areas for improvement.

### 3.1. CURRENT STANDING AGAINST THE REQUIREMENTS OF AN EFFECTIVE ORGANISATION

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#### Is FAO future facing?

The 2013 revisions to FAO's Strategic Framework 2010-19 signalled the start of a significant change in the organisation's response to the evolving global development agenda. This transformation was characterised by a shift from 11 objectives based largely on technical disciplines to 5 strategic objectives framed in terms of complex development challenges requiring multi-disciplinary solutions. The selection of these five objectives followed a detailed review of critical needs facing FAO's partners over the decade with respect to food and agriculture. This review was then matched to an assessment of the organisation's own capacities and capabilities. This shift has had profound implications for the way FAO operates, organises and staffs itself and how it mobilises and deploys its resources. These changes are still underway.

Since then, FAO has continued to adapt and refine how it engages with the needs and expectations of partners. The most recent refinement of the Strategic Framework, in 2017, introduced changes that respond explicitly to the 2030 Agenda and the advent of the Sustainable Development Goals (SDGs). FAO has strengthened or added to its approach as critical issues have moved up the development agenda, with gender equality, climate change, governance and nutrition adopted as cross-cutting issues in the organisation. FAO has maintained its decentralisation programme throughout the review period, continuing to reorient the organisation from a centre-out approach towards one that gives much greater voice to specific demands and needs at country and regional level.

More recently, FAO has been looking to further strengthen its engagement with partners through a more strategic approach to resource mobilisation. This includes more effective platforms for communicating and engaging with partners to better understand their needs and explain FAO's potential contribution. It also involves the development of new instruments, new sources and new roles for FAO in resource mobilisation, reflecting the understanding that the SDGs will not be achieved by aid funds alone.

Partnerships have long been a characteristic of FAO's work as a specialist agency, and the organisation has continued to develop its capabilities in this regard. FAO continues to evolve new forms of partnership, in particular through South-South co-operation and in collaboration with the private sector. The organisation's work in this regard seems deeply rooted in the view that good development requires collective action.

The combination of reforms pursued since 2013 has not been without its challenges, and many processes are still incomplete. FAO is a large organisation and change is not a simple process. However, the assessment finds that an agenda of change has been instrumental in enhancing FAO's current and future relevance in the eyes of partners and staff. Even when the assessment team encountered criticism, this invariably concerned the way in which change has been introduced. Respondents did not question the fundamental direction of those changes or the ambitions behind them.

Nevertheless, maintaining relevance requires a continuous process of adaptation. The current Strategic Framework is due to expire in 2019. The assessment has not encountered any evidence to argue for a significant departure from FAO's current direction. However, against the backdrop of wider reforms of the United Nations (UN) Development System, this moment provides an opportunity to sharpen and further align important aspects of the organisation's strategy.

One of those aspects relates to corporate performance reporting. In particular, demand for more effective demonstration of results and impacts is expected to increase. Over the assessment period, FAO has invested significant effort in promoting results-based management within the organisation. However, its corporate performance reporting systems remain driven by the organisation's actions rather than its achievements. Given the effort applied and concerns around utility and value, FAO may find merit in taking stock of its corporate approach to performance assessment.

Throughout the review period, FAO has operated under the constraint of a flat nominal core budget. A great deal of its normative functions and role as provider of global public knowledge goods rely on this budget. To some extent, FAO's success in attracting voluntary contributions has masked this challenge. However, in terms of future strategy, FAO may need to engage member nations in identifying options for new, more sustainable forms of funding for activities that have traditionally relied on core funding.

Finally, maintaining organisational relevance in the future will also require the ability to identify and manage risk. FAO has invested significant effort over the assessment period in strengthening its approach to risk to good effect. However, the emphasis has been on operational risk and control. Looking ahead, FAO will need to develop tools and processes to strengthen strategic risk management, especially in the context of significant change to the wider UN system. In keeping with current good corporate practice, this approach would entail the adoption of a more distributed model designed to effectively engage managers and staff at all levels on questions of strategic risk and risk appetite, and not just upper management.

### **Is FAO making best use of what it has?**

The refocusing of FAO's strategic direction – encapsulated in the revision to its Strategic Framework and the shift to problem-orientated strategic objectives – has been accompanied by significant changes in the way the organisation deploys its assets. Notably, staff are increasingly required to work outside their traditional technical silos and collaborate under Strategic Programmes. This approach has not been without its challenges and remains a work in progress. Nevertheless, FAO's efforts to foster a multidisciplinary approach to working has the potential to leverage the organisation's technical expertise in new and more holistic responses to complex development problems.

FAO's global network of country offices is also a key asset, providing the organisation with a presence on the ground and the scope to develop relationships over time. FAO is exploiting its strengths in this regard in partnership with other agencies, including other UN partners such as the Rome-based agencies, and the World Bank.

FAO has delivered this major change programme against the backdrop of a flat nominal core budget maintained since 2012. The organisation has taken steps to realise significant efficiency savings without appreciable adverse impact on delivery capability. This is a notable achievement. However, the organisation at times still experiences difficulties in delivering policy and programme support at country level in a timely and sustained manner. It is important, therefore, to monitor carefully the risk of adverse impacts from continuing efficiency savings on FAO's ability to maintain or indeed improve current delivery performance.

FAO's normative functions and its role as a provider of global public knowledge goods are also important aspects of its comparative advantage. The organisation recognises this finding, but could strengthen its position in the future by elaborating how these and other core capabilities contribute to each of the strategic objectives in more detail.

### **Is FAO a well-oiled machine?**

The latest findings of the corporate results framework (CRF) for the period 2016-17 present FAO as a highly effective organisation. Some 83% of operational key performance indicators (KPIs) covering information technology, governance and oversight, administrative efficiency, capital expenditure, and so on were achieved. Similarly, 84% of the 64 programme-focused outputs included in FAO's corporate Results framework were reported as achieved for the same period.

Many of the outputs in the CRF relate to the level of FAO activity and/or process rather than the effects of the organisation's work. The MOPAN interviews also raised broader questions regarding the fitness for purpose of the CRF. This assessment notes in this regard that FAO lacks systems to report on the results of its portfolio of field programmes – a notable gap in the organisation's corporate performance and accountability systems. This deficiency prevents FAO from determining, for example, the proportion of completed programmes that were successful. Specific information about the performance of the organisation's portfolio by country or type of engagement is systematically lacking.

FAO has made a range of changes to its structures, systems and processes in order to support the implementation of its strategy. Operations and (strategic) programmes have been established as their own directorates. Full-time Strategic Programme Leaders with dedicated teams are in place to develop and guide the organisation's work programme, operationalised through service-level agreement mechanisms. The country programming framework approach has been rolled out to country offices along with revised guidelines for project cycle management. Planning processes have been improved incrementally with each cycle, resulting in greater engagement of front-line managers.

In terms of underpinning systems, FAO has taken steps to improve the accessibility, transparency and functionality of its different management information systems, although combining these to provide a more complete and coherent platform for managers and staff remains a challenge. FAO is also supported by sound financial management systems, although it has not prioritised the development of results-based budgeting.

FAO has strengthened significantly its operational risk management systems including its system of internal control and fiduciary risk management. To date, this reform has been a top-down process. However, by its own admission, FAO recognises the need to embed more formal practices at all levels and to strengthen the co-ordination and coherence of risk management efforts across the organisation. As part of this approach, FAO will need to maintain efforts to improve the timeliness of management response where action is necessary.

FAO has pursued an active human resources (HR) strategy that has included keeping a proportion of established posts unfilled, making significant use of staff on short-term consultancy contracts, and revising policies on staff mobility, recruitment and retirement. FAO's rationale for these steps is to enhance the organisation's relevance and agility. The manner of their implementation, however, has been perceived as lacking transparency/consultation and has been a source of notable dissatisfaction. Regardless of their merits, these changes pose operational as well as reputational risks for FAO, and to date they have not been managed effectively.

An ongoing challenge for FAO is timeliness of delivery on the ground. FAO has experienced implementation delays, with cost- and no-cost extensions to programmes a common feature. Delays are attributed to a range of factors including lengthy procurement, recruitment and partnership agreement processes and unrealistic designs from the outset. Determining whether these reflect, at root, procedural, resource and/or capacity limitations will help FAO address this area of performance.

### **Is FAO making a difference?**

Evaluations of FAO's work paint a mixed but broadly positive picture of an organisation that is contributing to sustainable development results. The evidence suggests that FAO's programmes may be making less of a difference



to gender equality and empowerment of women compared with their success, for example, in building capacity and supporting national development policies more generally. Weighing the impact of FAO's work on advancing human rights and nutrition issues is hindered by limited evidence, although this itself is indicative of the level of attention these issues receive.

The results presented in FAO's biennial Programme Implementation Report support this conclusion. Just over two-thirds of the outcomes in FAO's corporate results framework are reported as achieved or exceeded their targets for the period 2016-17. However, limitations in both targets and indicators for outcomes, and the degree of uncertainty around FAO's role in reported changes, make interpreting these results difficult.

FAO has a reasonably developed approach to corporate lesson learning that draws on the reports produced by its independent Office of Evaluation. All new interventions (concept note and project design documents) are required to demonstrate how relevant lessons from evaluations have been addressed in their design. However, lesson learning is more ad hoc outside this formal evaluation framework.

### 3.2. PERFORMANCE JOURNEY

#### Comparison with previous assessments

MOPAN conducted its previous assessment of FAO in 2014. That report presented a picture of an organisation where a significant reform agenda was already underway. This reform began in 2009 with the launch of the Immediate Plan of Action and was given further impetus by the "transformative changes" introduced in 2012 by the new Director-General. Many aspects of this agenda are evident today. They include, among others, increased decentralisation and empowerment of regional, sub-regional and country offices; reinforced institutional capacities in support of a new organisational structure; strengthened partnerships with civil society, the private sector, and research and development organisations; increased co-ordination with other UN agencies and support for South-South co-operation; and a heightened focus on results, particularly at country level.

The 2014 MOPAN assessment also coincided with the start of certain initiatives that have proved instrumental in shaping the organisation encountered in 2018. Key among these are the revised and streamlined Strategic Framework and the associated results Framework, which were agreed in 2013 and introduced in 2014. These have led to significant changes to management systems and the introduction of processes to support their implementation. FAO also had just begun implementing a significantly revised performance management policy framework for staff in response to shortcomings identified in its management of human resources. At the time, FAO was still transitioning from project to country programming and was shifting from national medium-term priority frameworks to country programming frameworks (CPFs), a results-based strategic planning approach at country level for which FAO and the country government are mutually accountable.

The 2014 MOPAN assessment identified a number of strengths in FAO (Box 3) that fell into three main areas:

- degree of alignment of FAO's mandate, strategy and programmes with development priorities expressed at national, regional and global level
- progress in promoting country leadership through decentralisation, resulting in improved planning, engagement and responsiveness in both development and emergency contexts
- commitment to partnership working and collective action through co-ordination and harmonisation at the operational level, and use of convening and knowledge-brokering capacities at global and regional level.

**Box 3: Main strengths and areas for improvement from the MOPAN 2014 assessment****Strengths in 2014**

- FAO has a clear mandate. The reviewed Strategic Framework 2014-17 is aligned with the organisation's mandate and with the Quadrennial Comprehensive Policy Review cycle.
- FAO's country-level strategic objectives are closely aligned with national development priorities – taking into account local conditions and capacities – and with the UN Development Assistance Framework.
- FAO is pursuing results relevant to its mandate and aligned with global development trends and priorities to improve food security and agricultural systems, adapted to changing country circumstances and responding to the needs of beneficiaries.
- Increased delegation of authority to country representatives has led to improvements in some areas such as strategic planning, resource mobilisation, work in emergencies, procurement, hiring of human resources and the approval of Technical Co-operation Programme projects.
- FAO has decentralised emergency operations and strengthened its practices and systems for emergency preparedness and response. This has led to strengthened country leadership for FAO's work in emergencies.
- FAO has made concerted efforts to co-ordinate with partners, harmonise its operations with other UN agencies and work within its comparative advantage.
- FAO is acknowledged for its role as a global convener and knowledge broker on food and agriculture, in particular at global and regional levels.

**Areas for improvement in 2014**

- Room for improvement exists in results-based management across the organisation relating to capacities and knowledge, quality of indicators and country-level frameworks, and reporting. This is particularly important in the context of the reviewed Strategic Framework 2014-17.
- FAO's corporate budgets and reports presented to the Governing Bodies do not yet provide a complete picture of how the organisation uses resources to achieve organisational outputs and outcomes.
- As a co-lead of the Food Security Cluster, FAO was rated adequate overall for its role in cluster management in humanitarian settings. However, continued efforts are needed in some cluster management practices such as contingency planning, preparedness in food security co-ordination and handing over of co-ordination responsibilities to the government.
- While FAO has achieved progress in managing human resources, further efforts are needed in this area to address the remaining weaknesses.
- Administrative and operational efficiencies at the country level are still a source of concern among stakeholders.

Source: [www.mopanonline.org/assessments/fao2014/FAO-2014-Main%20Findings-eng.pdf](http://www.mopanonline.org/assessments/fao2014/FAO-2014-Main%20Findings-eng.pdf).

Note : The 2014-17 Strategic Framework is the document referred to elsewhere as the 2014 revision of the Strategic Framework 2010-19.

For the 2018 MOPAN assessment, the review finds no significant backsliding in previously identified areas of strength. FAO continues to have a clear mandate and its work remains generally well-aligned with national and regional priorities and with the UN Development Assistance Framework. The introduction of the new Strategic Framework and, in particular, the refocusing of strategic objectives, have not resulted in a loss of focus regarding mandate or alignment. Decentralisation is an ongoing process that continues to shift the organisation's centre of gravity outwards. In terms of progress made since 2014, the assessment does find evidence of capacity constraints becoming more binding

at the country level, particularly in country offices with small field programmes. This may pose a risk for continued progress in the future.

FAO's commitment to partnerships continues to be a strength; indeed, this assessment rates FAO "highly satisfactory" in this area. FAO's approach is built strongly on its comparative advantage, in particular its knowledge base. This is deployed effectively at global and regional level, although the evidence suggests there is further scope to improve deployment at country level. Similarly, there appears to be scope to improve FAO's procedural requirements around partnership establishment, in order to streamline the process.

In addition to previously identified strengths, the review finds FAO to be "highly satisfactory" in a number of other performance areas. This was notable in terms of the fit between FAO's organisational architecture and financial framework and its mandate and intended results (KPI 1). The strategic clarity provided by the reviewed Strategic Framework and the organisational changes designed to facilitate more integrated, multidisciplinary working represent clear responses to the demands and needs of FAO's partners. FAO's efforts to adopt this agenda are commendable, especially considering the profound changes involved for the organisation.

However, there remains scope for further improvement. Efforts to realise the ambition of more multidisciplinary working are still a work in progress and require attention to attitudes, skills and behaviours as much as structures and systems. While FAO has explicitly incorporated relevant SDGs into its performance framework, it can still tighten up considerably its approach to monitoring and reporting on normative-related work more generally.

This assessment rates FAO's operational systems for financial management and control "highly satisfactory" overall. In corporate terms, FAO demonstrates strong budget planning, management and execution, even though with two distinct funding streams, the organisation lacks a single, integrated budget system. In addition, FAO invested significant effort during the period under review in strengthening its framework of internal control and risk management more generally, including its approach to preventing fraud and corruption. Work is still needed to embed practices and strengthen the coherence of systems, but the assessment recognises the progress made.

None of the KPIs relating to FAO's operational performance are judged "unsatisfactory", although some aspects are stronger than others and within KPIs, certain elements in some cases fell short. To a large extent, these mirror the weaknesses highlighted in 2014, which is somewhat surprising given the effort that FAO has directed at these issues in the intervening time. Closer examination, however, confirms that despite the progress made, the nature of the challenges remains significant.

The main weakness in FAO's budget system is still its results-based budgeting capability. The 2014 review identified the fact that corporate budgets and reports to FAO's Governing Bodies did not provide a complete picture of how the organisation used resources to achieve outputs and outcomes as a key weakness. Work has been done since to better link programmatic aims and objectives to resources, but the current system falls some way short of costing results. This area remains a challenge for FAO.

Similarly, the 2014 assessment noted there was room for improvement in FAO's approach to results-based management across the organisation, in particular relating to capacities and knowledge, quality of indicators and country-level frameworks, and reporting. The 2018 review finds significant progress has been made in embedding a results-based culture in the organisation, while a comprehensive, corporate results framework has been developed to support FAO's Strategic Framework. However, evidence continues to point to shortcomings in results frameworks at all levels of the organisation, important gaps in FAO's oversight of performance and limitations in the management utility of the approaches developed.

“Managing human resources” was the lowest-rated element in the 2014 assessment. Since then, FAO has devoted significant effort to this area of its operations, but it still scores relatively poorly in a number of elements of the MOPAN assessment framework relating to human resources management. This partly reflects an issue of coverage. Many of the steps taken to strengthen HR management affect staff on fixed-term and continuing contracts. However, FAO relies on significant numbers of consultants. As a result, these steps were only partially applicable.

This assessment also finds evidence of a gap between the design and its implementation, suggesting a need for more attention to the quality of implementation of the Performance Evaluation and Management System (PEMS). The rationale behind many of the introduced HR reforms was to enhance FAO’s relevance and agility in meeting partners’ current and future development challenges. However, the risks associated with significant changes in the HR sphere have not always been anticipated and managed. The assessment team found notable, although not universal, levels of dissatisfaction among staff with the manner in which a number of reforms were introduced.

Finally, the 2014 assessment also flagged administrative and operational efficiencies at the country level as a concern among stakeholders. More recent evidence from an internal audit suggests that ongoing project implementation challenges resulting in slow delivery and regular no-cost extensions reflect an underlying lack of operational capacity and project management skills in country offices. The evidence also indicates a lack of corporate guidelines on project implementation and under-resourcing of the project cycle management unit at FAO’s headquarters. FAO is implementing a number of initiatives to address these issues, but it more generally makes limited use of standards that track the speed and consistency of key business implementation processes end-to-end from a partner or client perspective.

Where efficiency is discussed in corporate performance reports, the focus tends to be on head count and unit cost reductions, with little information about process efficiencies. These continuing concerns appear to be corroborated by responses to the 2018 partner survey. Around 60% of respondents who expressed an opinion rated FAO’s alignment of organisational procedures with partners “excellent” or “very good”, but only around half of these respondents rated FAO “excellent” or “very good” when asked whether organisational procedures avoided delays in implementation. Certainly across the whole survey, this question prompted the highest proportion of “very poor” and “extremely poor” responses. Indeed, in examining FAO’s performance in terms of results, the assessment finds sufficient evidence to support a “satisfactory” rating for the KPIs relating to achievements and sustainability. The only KPI that the assessment finds marginally unsatisfactory is that relating to the efficiency with which results are delivered, and primarily because of timeliness issues.

It is important to note, however, that the above commentary on timeliness relates to FAO development programmes, not emergencies. In emergency contexts, FAO has demonstrated its capability to respond in a timely manner, with fast-track procedures enabling payments for emergency response projects to be made quickly and easily.

**Box 4: Main strengths identified in the MOPAN 2017-18 assessment**

- FAO has established a clear, compelling strategic vision and focus. These are aligned strongly with the needs of partners, but also are crucially driving significant change in the way FAO works. While working in a more integrated, multidisciplinary manner poses challenges for FAO and remains a work in progress, there is support for this ambition.
- FAO demonstrates a strong commitment to partnership working. This strength builds on its comparative advantage and in particular, its knowledge base. It includes the development of new partnership modalities and the engagement of new types of partners.
- FAO has established high-quality financial management systems and improved its system of internal control. These are augmented significantly by effective oversight and integrity units in the form of the Office of the Inspector General and the Office of Evaluation.
- FAO has realised significant efficiency savings, without appreciable decline in its delivery capability. Major programmatic and operational reforms associated with FAO's Strategic Framework have been delivered against the backdrop of a flat, nominal regular (core) budget. This is a notable achievement. Looking ahead, it will be important to monitor carefully the risk of adverse impact of continuing efficiency savings on FAO's ability to maintain or indeed improve current delivery performance.

**Box 5: Areas for improvement identified in the MOPAN 2017-18 assessment**

- Evidence points to shortcomings in the design and use of results frameworks at all levels. There are also important gaps in FAO's oversight of performance and limitations in the management utility of the approaches developed.
- Results-based budgeting remains a challenge for FAO. Despite progress in improving links between programmatic objectives and budgetary resources, the current system falls some way short of costing results.
- FAO invested significant effort during the assessment period in strengthening its approach to risk to good effect. However, the emphasis has been on operational risk and control. Looking ahead, FAO will need to develop the tools and processes to strengthen its approach to strategic risk management, especially in the context of significant change to the wider UN system.
- While HR reforms may have a clear rationale, the current approach to implementation exposes FAO to both operational and reputational risk. Greater consultation and transparency within HR management systems would help address this concern.
- Efficiency (timeliness) of administrative and operational processes remains an area requiring ongoing attention. Careful diagnosis of root causes to determine whether they are procedural or capacity-related will be key to addressing this weakness going forward.



# ANNEXES



## Annex 1. Evidence table

### Methodology for scoring and rating

The approach to scoring and rating under MOPAN 3.0 draws from the OECD *Handbook on Constructing Composite Indicators: Methodology and User Guide* (OECD/EU/JRC, 2008). Each of the MOPAN 3.0 key performance indicators (KPIs) contains a number of micro-indicators (MIs) which vary in number. The MIs, in turn, contain elements representing international best practice; their numbers also vary.

The approach is as follows:

#### a) Micro-indicator level

Scores ranging from 0 to 4 are assigned per **element**, according to the extent to which an organisation implements the element.

For **KPIs 1-8**, the following criteria frame the scores:

- 4 = Element is fully implemented/implemented in all cases
- 3 = Element is substantially implemented/implemented in the majority of cases
- 2 = Element is partially implemented/implemented in some cases
- 1 = Element is present, but not implemented/implemented in zero cases
- 0 = Element is not present

Taking the average of the constituent elements' scores, a rating is then calculated per MI. The rating scale applied is as follows:

3.01-4	Highly satisfactory
2.01-3	Satisfactory
1.01-2	Unsatisfactory
0.00-1	Highly unsatisfactory

The ratings scale for **KPIs 9-12** applies the same thresholds as for KPIs 1-8, for consistency, but pitches scores to the middle of the threshold value (to guard against skewing in favour of higher ratings).

3.01-4	Highly satisfactory
2.01-3	Satisfactory
1.01-2	Unsatisfactory
0.00-1	Highly unsatisfactory

A score of zero (0) for an element means the assessment team had expected to find evidence but did not find any. A score of zero counts towards the MI score.



A score of “N/E” means “no evidence” indicates that the assessment team could not find any evidence but was not confident of whether or not there was evidence to be found. The team assumes that “no evidence” does not necessarily equal a zero score. Elements rated N/E are excluded from any calculation of the average. A significant number of N/E scores in a report indicates an assessment limitation (see the Limitations section at the beginning of the report).

A note indicating “N/A” means that an element is considered to be “not applicable”. This usually owes to the organisation’s specific nature.

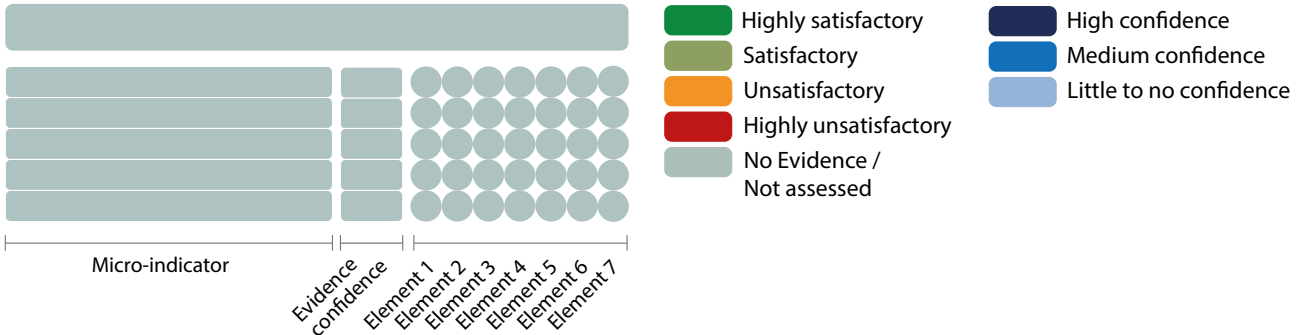
*b) Aggregation to the KPI level*

The same logic is pursued at aggregation to the KPI level to ensure a consistent approach. Taking the average of the constituent scores per MI, a rating is then calculated per KPI.

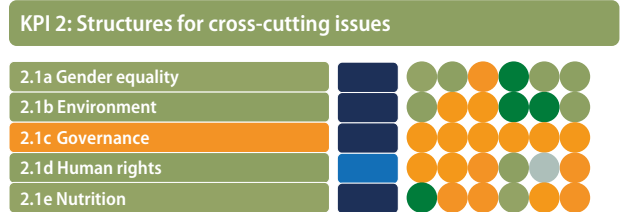
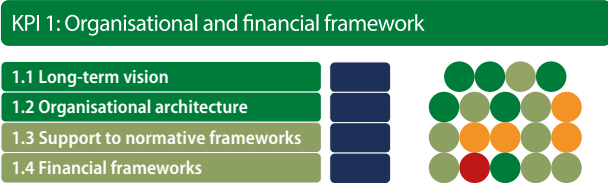
The calculation for KPIs is the same as for the MIs above, namely:

3.01-4	Highly satisfactory
2.01-3	Satisfactory
1.01-2	Unsatisfactory
0.00-1	Highly unsatisfactory

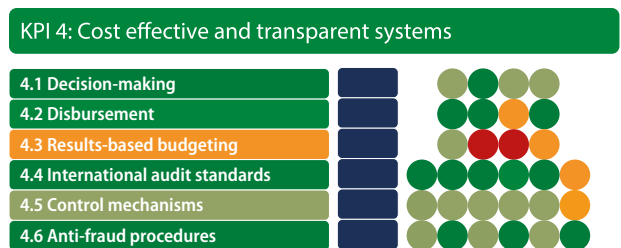
## Key



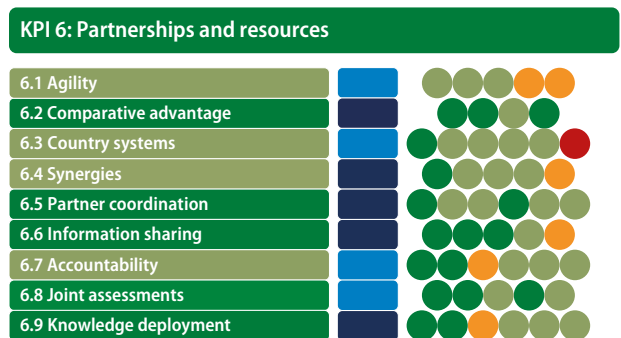
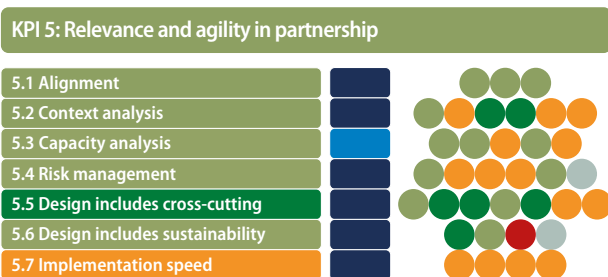
## Strategic management



## Operational management



## Relationship management



## Performance management

### KPI 7: Results focus

7.1 BRM applied		
7.2 RBM in strategies		
7.3 Evidence-based targets		
7.4 Effective monitoring systems		
7.5 Performance data applied		

### KPI 8: Evidence-based planning

8.1 Evaluation function		
8.2 Evaluation coverage		
8.3 Evaluation quality		
8.4 Evidence-based design		
8.5 Poor performance tracked		
8.6 Follow-up systems		
8.7 Uptake of lessons		

## Results

### KPI 9: Achievement of results

9.1 Results deemed attained	
9.2 Benefits for target groups	
9.3 Policy/capacity impact	
9.4 Gender equity results	
9.5 Environment results	
9.6 Governance results	
9.7 Human rights results	
9.8 Nutrition results	

### KPI 10: Relevance to partners

10.1 Target groups	
10.2 National objectives	
10.3 Coherence	

### KPI 11: Results delivered efficiently

11.1 Cost efficiency	
11.2 Timeliness	

### KPI 12: Sustainability of results

12.1 Sustainable benefits	
12.2 Sustainable capacity	
12.3 Enabling environment	

## STRATEGIC MANAGEMENT

*Clear strategic direction geared to key functions, intended results and integration of relevant cross-cutting priorities*

<b>KPI 1: Organisational architecture and financial framework enable mandate implementation and achievement of expected results</b>	<b>KPI score</b>
<b>Highly satisfactory</b>	<b>3.04</b>
<p>This KPI relating to FAO's strategic management considers the clarity and relevance of FAO's strategic plan, the alignment of its organisational and financial frameworks to support that plan, and the extent to which FAO's strategic ambitions incorporate wider normative frameworks and associated results. FAO's current Strategic Framework runs to 2019, though it has continued to refine and focus it during the period under review. The Framework is operationalised through a series of plans. FAO has also changed organisational structures to better implement the Framework, and in particular promoted more multidisciplinary ways of working and greater decentralisation.</p> <p>The majority of FAO's budget is funded through voluntary contributions by development partners. FAO has taken steps to address the risk to strategic coherence associated with reliance on voluntary contributions. The development and implementation of FAO's Strategic Framework has been informed by wider normative frameworks, with a number of SDGs hard-wired into FAO's Corporate Results Framework at the outcome level under FAO's Strategic Objectives. FAO's own normative role is viewed as one of its core capabilities in the Strategic Framework for pursuing its Strategic Objectives.</p>	
<b>MI 1.1: Strategic plan and intended results based on a clear long-term vision and analysis of comparative advantage</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.75</b>
Element 1: A publicly available Strategic Plan (or equivalent) contains a long-term vision	4
Element 2: The vision is based on a clear analysis and articulation of comparative advantage	4
Element 3: A strategic plan operationalises the vision, including defining intended results	3
Element 4: The Strategic Plan is reviewed regularly to ensure continued relevance	4
<b>MI 1.1 Analysis</b>	<b>Source document</b>
<p>FAO's work is guided by its Strategic Framework, the current version of which relates to the period 2010-19. The Framework is readily accessible on FAO's website.</p> <p>The Strategic Framework, reviewed in 2017, and other key strategic documentation set out FAO's goals and long-term vision: "a world free from hunger and malnutrition where food and agriculture contribute to improving the living standards of all, especially the poorest, in an economically, socially and environmentally sustainable manner".</p> <p>The Reviewed Strategic Framework (2017) clearly identifies the attributes and characteristics of FAO that make it unique as an organisation. There is extensive analysis and articulation of FAO's core competencies and comparative advantage in the Reviewed Strategic Framework and associated web annex (2017), and explicit consideration of FAO's role, value-added and leverage as a normative body.</p>	3, 7, 8, 9, 10, 17, 18, 20, 48, 75, 85, 90

<p>FAO's Strategic Framework is operationalised through a series of four-year Medium-Term Plans (MTPs), which set out the Strategic Objectives and Outcomes to be achieved by members and the international community with FAO support during the period. The shift from 11 to 5 programmatic Strategic Objectives, underpinned by Strategic Programmes, has been a key element in operationalising the vision.</p> <p>In turn, each MTP is operationalised by biennial Programmes of Work and Budget (PWBs), which outline the programme priorities and the supporting results framework (including objectives, outcomes, outputs, indicators and targets) to progress the Strategic Framework and the MTP. The PWB also presents the costs and funding requirements from assessed and voluntary contributions for the two-year period.</p> <p>The above arrangements establish a coherent line of sight from FAO's long-term vision to its operational plans in programmatic terms. In practice, operationalising FAO's vision also involves transforming the ways in which FAO works. A significant change management project is ongoing. The current MTP outlines the most recent changes to structures and systems designed to strengthen further implementation capacity. However, other important aspects of organisational change (for example, leadership, management practices, organisational culture, motivation) are not explicitly considered.</p> <p>The Strategic Framework is reviewed every four years and is updated based on an analysis of the challenges facing food, agriculture and rural development. It includes a review of FAO's vision and Global Goals to ensure continued relevance. Each four-year Medium-Term Plan is itself subject to review every two years.</p> <p>The two-year Programme of Work and Budget set outs the planned adjustments and areas of de-emphasis/realignment in line with FAO's ambitions for the period, in the light of implementation experience. New priority areas where FAO requires additional voluntary contributions to meet the demand for its technical services are also identified.</p>	<p>3, 7, 8, 9, 10, 17, 18, 20, 48, 75, 85, 90</p>
<b>MI 1.1 Evidence confidence</b>	<b>High confidence</b>
<b>MI 1.2: Organisational architecture congruent with a clear long-term vision and associated operating model</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.2</b>
Element 1: The organisational architecture is congruent with the strategic plan	4
Element 2: The operating model supports implementation of the strategic plan	3
Element 3: The operating model is reviewed regularly to ensure continued relevance	4
Element 4: The operating model allows for strong co-operation across the organisation and with other agencies	3
Element 5: The operating model clearly delineates responsibilities for results	2

MI 1.2 Analysis	Source document
<p>Since 2012, FAO has been undertaking significant corporate restructures to align with the Strategic Framework in general and with the five interdisciplinary Strategic Objectives in particular.</p> <p>Although not evident from FAO's organigram, a key element has been the implementation of a matrix management approach at the country, regional and global levels. The change is designed to break down technical silos within the organisation and facilitate deployment of expertise in more blended forms to support the Strategic Objectives, which are multi-disciplinary by their nature. This effort was given additional impetus in October 2015 with the establishment of dedicated Programme teams under the five Strategic Objectives. Previously, each Objective was led on a part-time basis by a member of staff from a technical division.</p> <p>FAO's decentralisation agenda has also been supported by a structure of headquarters, regional offices, sub-regional offices and country offices, underpinned by a rationalised division of roles and responsibilities.</p> <p>Organisational restructuring has also been designed to strengthen capacity in key areas such as the creation of a new Climate, Biodiversity, Land and Water Department (December 2016), and the restructuring of the Nutrition Division to accommodate a broader mandate on food systems issues.</p> <p>FAO's broad mandate and governance arrangements increase the likelihood that there will be variety of perspectives internally and externally regarding what its priorities should be. Overall, the review found that FAO's strategic direction is clear and the changes in the ways of working introduced by the Strategic Framework are viewed positively from within FAO. The architecture is congruent with the Strategic Plan but establishing an operating model that can fully realise FAO's ambitions is still work in progress.</p> <p>High-level co-ordination mechanisms, such as the Corporate Policy and Programmes Board and Programme Implementation and Monitoring Board, have been established to oversee these processes. Thematic networks also operate to facilitate engagement across technical areas. Operationally, division of responsibilities between technical divisions and the strategic programmes for planning and approval processes has been clarified and the mobilisation of inputs from technical divisions is in principle operationalised through service level agreements.</p> <p>The review heard of on-going variations in the application of the matrix approach by different teams and uncertainty regarding roles and authorities between different parts of the organisation.</p> <p>Key strategic and planning documents indicate that FAO's operating model is regularly reviewed and adjusted to ensure ongoing relevance and to support the delivery of the Strategic Objectives. FAO's approach to evolving its operating model can be described as "learning by doing", with arrangements introduced in response to issues encountered, such as the challenges of ensuring FAO's work is driven by its Strategic Objectives and adequate country-level engagement in planning and prioritisation processes. While this adaptive approach is a positive strength, there are risks ensuring that the different requirements of implementation are sufficiently co-ordinated. An internal audit report (2017) found that implementation of the Strategic Framework in decentralised offices was still at a relatively immature stage, with insufficient attention to the co-ordination challenges and differences in capacity across offices.</p>	<p>1, 6, 7, 10, 38, 48, 87, 90</p>

<p>FAO's Strategic Framework, and in particular its Strategic Objectives, are predicated on co-operation across the organisation and, largely, with other agencies. Respondents were largely in agreement that the matrix management model has led to improved collaboration across FAO. As discussed above, a number of co-ordination and operational mechanisms have been created or strengthened to facilitate co-operation such as technical networks, service level agreements between Strategic Programmes and technical divisions, introduction of Regional Programme Leaders. As discussed above, this is still work in-progress. In particular, communications between different parts of the organisation have had shortcomings. Problems identified between Regional and Country Offices, in terms of communicating priorities and requirements, prompted revised planning processes in 2018, which by all accounts seem to have been welcome. Similarly, poor communications between regional and headquarters staff, attributed to time pressures, were also identified as an issue, at times resulting in parallel working.</p> <p>There is also a risk that in working to break down traditional, technical silos within FAO, new ones are created around the five Strategic Programmes. This risk is recognised, and indeed, the assessment found examples of Strategic Programmes working together in areas of natural overlap in their areas of focus. Nevertheless, staff acknowledged this needs on-going attention.</p> <p>Roles and responsibilities for development, implementation and oversight of programmes of work are generally clear at all levels, though the matrix management approach has required refinements/clarifications in these over time. Responsibilities for delivering "Outputs" and their constituent contributions are assigned through the service agreements and matrix arrangements; however, given that many Output measures are activity-focused, it is questionable whether this constitutes responsibilities for "results" <i>per se</i>.</p>	<p>1, 6, 7, 10, 38, 48, 87, 90</p>
<b>MI 1.2 Evidence confidence</b>	<b>High confidence</b>
<b>MI 1.3: The strategic plan supports the implementation of wider normative frameworks and associated results, including Agenda 2030 and others where applicable (e.g. the quadrennial comprehensive policy review (QCPR), Grand Bargain, replenishment commitments, or other resource and results reviews)</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.4</b>
Element 1: The strategic plan is aligned to wider normative frameworks and associated results, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable)	3
Element 2: The strategic plan includes clear results for normative frameworks, including Agenda 2030, and others, such as the QCPR and the Grand Bargain (where applicable)	2
Element 3: A system to track normative results is in place for Agenda 2030, and any other relevant frameworks, such as the QCPR and the Grand Bargain (where applicable)	2
Element 4: The organisation's accountability for achieving normative results, including those of Agenda 2030, and any other relevant frameworks, such as the SDGs and their targets and indicators, the QCPR and the Grand Bargain (where applicable), is clearly established	3
Element 5: Progress on implementation on an aggregated level is published at least annually	2

MI 1.3 Analysis	Source document
<p>The development and implementation of the FAO's Strategic Framework has been informed by wider normative frameworks. For example, the review of the Strategic Framework and preparation of the MTP 2018-21 identified four key global developments that provide the broad context in which FAO will operate and frame FAO's future work: 1) the Sustainable Development Goals (SDGs) and the Addis Ababa Action Agenda; 2) the Paris Agreement on climate change; 3) the ICN2 and the Rome Declaration on Nutrition and the Framework for Action on Nutrition; and 4) the World Humanitarian Summit (May 2016).</p> <p>The SDGs have been hard-wired into FAO's results framework for the period 2018-21, with relevant SDG targets and indicators used at the outcome level under FAO's Strategic Objectives. A number of outcomes were redrafted during the latest review of the results framework to ensure more direct linkages to the SDGs, and FAO is responsible globally for monitoring a number of SDG indicators. There is, however, little direct reference to QCPR commitments or the Grand Bargain.</p> <p>FAO's own normative role includes the delivery of normative and standard-setting instruments such as international agreements, codes of conduct, and voluntary guidelines, quality assured international statistics and information on food and agriculture, and policy dialogue at global, regional and national levels. This normative role is viewed as a core function in the Reviewed Strategic Framework and other key strategic and planning documentation. Core Functions are the capabilities by which FAO will pursue its Strategic Objectives. However, the role that FAO's normative capability plays in advancing each of its Strategic Objectives is not systematically detailed.</p> <p>In relation to the extent to which the Strategic Plan includes results for normative frameworks (Element 3), a number of relevant SDG targets are included in FAO's results framework at the outcome level. The ICN2 Rome Declaration on Nutrition is also included (number of countries supported by FAO that report progress). Intended results for other UN-related normative commitments (QCPR, Grand Bargain) are not explicitly identified.</p> <p>For FAO's own normative work, revisions to the current Results Framework include some strengthening of expected results from FAO's normative work. For example, Outcome 2.3 now focuses on improved implementation of policies and international instruments (where previously the focus was on endorsement/adoption). However, the Results Framework has two main limitations. There is limited visibility for this aspect of FAO's work: only the code of Conduct for Responsible Fisheries, Codex Alimentarius and the International Plant Protection Convention are directly referenced (with the latter two combined in a single composite indicator); a general measure of the quality of FAO's technical and normative work is also included (6.1). The second limitation relates to what is actually measured; typically process rather than results. At least half the indicators for Outcome 2.3 relate to issuance of plans or reports rather than levels of implementation per se. Similarly, the number of comments received from poorer countries during the process is the measure for the formulation of standards to strengthen international markets for all.</p> <p>The extent to which FAO tracks global normative frameworks is mixed. For Agenda 2030, FAO is custodian agency for a number of indicators, leading the development of measurement specifications in areas where member states have not yet developed jointly agreed methodologies and/or data. At the time of the review, there are still many gaps in measurement arrangements but work to address these is underway. FAO reports periodically to its Conference on progress implementing QCPR priorities relevant to the organisation. However, the report is a narrative and describes activities undertaken. It also does not include targets or compare actual with expected performance.</p>	<p>7, 9, 10, 13, 16, 17, 18, 19, 20, 48, 75, 81, 85, 86, 90, 92</p>



<p>FAO reports annually on its progress towards delivering its humanitarian commitments, including the World Humanitarian Summit and the Grand Bargain. FAO reports periodically to its Conference on progress implementing QCPR priorities relevant to the organisation. The report is a narrative and describes activities undertaken. It does not include targets or compare actual with expected performance.</p> <p>The independent assessment of FAO's technical capacity (2017) concluded that FAO had improved the delivery of key products and services that drive its normative work over the period 2012 to 2016. This includes doubling its delivery of standard-setting instruments like international agreements and codes of conduct. With respect to FAO's own normative role, limitations identified above also affect this assessment.</p> <p>FAO's Corporate Results Framework incorporates SDGs where relevant for tracking aspects of overall progress against its Strategic Objectives. Strategic Programmes are responsible for FAO's contributions but SDGs themselves are considered the responsibility of all development partners and achievement a collective endeavour. For QCPR, FAO has focal points in its headquarters who, working with its liaison office in New York, are responsible for implementation. FAO's response to the humanitarian Grand Bargain is managed by its Strategic Programme Five (increase the resilience of livelihoods to threats and crises).</p> <p>For FAO's own normative work and its relation to programme delivery, technical managers are responsible for overseeing normative and standard setting work. Specific responsibilities vary according to the instrument, though typically FAO's role is centred on support to process quality rather than results per se. Progress on normative work at the outcome level, as captured in the Corporate Results Framework, is only published on a biennial basis through the Programme Implementation Report. A Mid-Term Review Synthesis Report reports progress at the mid-point of the biennium towards indicators and targets at the output level, rather than outcome level where normative functions are less evident.</p>	<p>7, 9, 10, 13, 16, 17, 18, 19, 20, 48, 75, 81, 85, 86, 90, 92</p>
<b>MI 1.3 Evidence confidence</b>	<b>High confidence</b>
<b>MI 1.4: Financial Framework (e.g. division between core and non-core resources) supports mandate implementation</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.8</b>
Element 1: Financial and budgetary planning ensures that all priority areas have adequate funding in the short term or are at least given clear priority in cases where funding is very limited	3
Element 2: A single integrated budgetary framework ensures transparency	1
Element 3: The financial framework is reviewed regularly by the governing bodies	4
Element 4: Funding windows or other incentives in place to encourage donors to provide more flexible/un-earmarked funding at global and country levels	3
Element 5: Policies/measures are in place to ensure that earmarked funds are targeted at priority areas	3

MI 1.4 Analysis	Source document
<p>The planning process ensures that funding is directed to priority areas. FAO's total budget has been increasing over time. However, this reflects growth in voluntary contributions for programmatic work. FAO's regular budget (based on assessed contributions) has been flat-lining for a number of years, requiring shortfalls to be addressed through efficiency savings. In principle, FAO operates a full cost recovery policy for all programmes funded through voluntary contributions, though evidence suggests this is not always realised, which in turn has increased pressure on back office/support functions. Response from donors/partners to FAO's new cost recovery policy has been mixed, although it should be noted that to date only two to three projects have been implemented using this model. Internal guidance on how to apply the policy is available, but staff expressed a need for guidance on how to communicate the new policy externally.</p> <p>The resources needed to fulfil FAO's commitments under its normative role (also funded under assessed contributions) are similarly under pressure.</p> <p>Looking forward, FAO has not defined what it considers the appropriate balance between assessed and voluntary contributions for its business model. The organisation's implicit position appears to be to grow further the size and share of voluntary contributions, but this has not been elaborated in the long-term Strategic Framework. There are some capacity and implementation risks associated with an ever-larger share based on voluntary contributions and declining assessed contributions, though these are most likely manageable. The bigger debate ahead, however, may be about alternative models of sustainable funding that are acceptable to member nations for activities traditionally reliant on assessed contributions.</p> <p>FAO does not have an integrated budget system; there are different environments where assessed and voluntary contributions are brought together but they operate on separate systems and on different timeframes. This poses some challenges for planning/budgeting (given that the majority of funds are received on a voluntary basis and therefore less predictable) and also for reporting, given the demand-driven nature of voluntary contributions determines their distribution across member nations. However, there do not appear to be any significant adverse implications for transparency.</p> <p>The financial framework is reviewed regularly. FAO's Finance Committee, comprising representatives of 12 member nations and a Chairperson elected by the Council, meets at least twice a year, typically four-five times.</p> <p>FAO has actively sought to strengthen and realign instruments to attract more flexible, less-earmarked, pooled funding. The Multipartner Programme Support Mechanism (FMM) was established in 2010 but effectiveness has been constrained by limited resources/number of donors and unpredictable flow of funds. In response, FAO has redesigned the FMM as the Multi-Partner Facility (MPF) for Accelerated SDGs with new management arrangements, and greater results-orientation aligned with current international priorities.</p> <p>Similarly, the Africa Solidarity Trust Fund (ASTF) was established in 2012 and officially launched in 2013 with USD 40 million contributed by three African countries and a group of civil society organisations in the Republic of Congo. Despite some success, the Fund has remained relatively small. As a result, FAO has proposed for its next phase of development to establish the African Multi-Partner Mechanism (AMPM), with a view to recapitalising and expanding the ability of the mechanism to support African countries meet their SDG commitments.</p>	<p>4, 5, 6, 7, 10, 41, 60, 69, 70, 84, 88, 89, 90</p>

<p>FAO's Special Fund for Emergency and Rehabilitation Activities (SFERA) was established in 2004 to enhance FAO's capacity to respond rapidly to emergency situations. Since SFERA's inception, the Fund has received a total of USD 220.4 million. During the 12 months that ended on 31 December 2017, deposits to SFERA amounted to USD 12.8 million.</p> <p>Earmarked funds are predominantly mobilised at a country level. The Country Programme Framework (CPF) establishes the priorities for each Country Office and provides the framework to mobilise/direct voluntary contributions for identified priorities. The CPF also provides the mechanism to link country-level work to FAO's Strategic Objectives.</p> <p>FAO acknowledges that aligning earmarked funding (at both global and country level) with its Strategic Objectives remains a challenge, given the specific interests of particular funders. Given the breadth and multidisciplinary nature of the Strategic Objectives, the challenge appears not to be in "fitting" earmarked funding into the framework, but rather ensuring that the range of programmes implemented under a Strategic Objective provide a coherent "whole" that is aligned to the wider strategic ambition addressed in the objective.</p> <p>The underfunding of the After Service Medical Coverage (ASMC) liability continues to be a cause of major structural deficit on the General Fund. The report of the External Auditor (2017), which accompanied the Financial Statements for 2016, noted that FAO Management has still to establish a plan to source the full funding of the ASMC liability, though this represents a longer-term issue for the Organisation.</p> <p>FAO is to some extent vulnerable to liquidity shortfalls in the event of delays in the timing of the payments of its major contributors, given low level of reserves. However, a review of FAO's Financial Position to the end of December 2017 concluded that liquidity is sufficient to cover operational needs at least through to the end of 2018. In addition, FAO is one of the few UN Agencies who have the authority to borrow funds, which can mitigate liquidity risks.</p>	<p>4, 5, 6, 7, 10, 41, 60, 69, 70, 84, 88, 89, 90</p>
<b>MI 1.4 Evidence confidence</b>	<b>High confidence</b>
<b>KPI 2: Structures and mechanisms in place and applied to support the implementation of global frameworks for cross-cutting issues at all levels</b>	<b>KPI score</b>
<b>Satisfactory</b>	<b>2.54</b>
<p>This aspect of FAO's strategic management considers the adequacy and operation of structures, mechanisms and resources to promote cross-cutting issues in FAO's work. The assessment examined FAO's approach to implementing five cross-cutting issue: gender equality and empowerment of women, environmental sustainability and climate change, governance, nutrition, and human rights. The first four of these are explicitly identified as cross-cutting issues in FAO's Strategic Framework. For each, the assessment considers the extent to which FAO has a clear policy on the issue, requires interventions to address the issue and provides the tools to assist, has put in place the means to monitor and report progress on the issue and ensures adequate capacity exists with the organisation to take the issue forward. All the issues examined are important to FAO, though the extent to which FAO's commitment is formally captured in organisational strategies or structures and resourced varies.</p>	
<b>MI 2.1a: Gender equality and the empowerment of women</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3</b>
Element 1: Dedicated policy statement on gender equality available and showing evidence of use	3
Element 2: Gender equality indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	3

Element 3: Accountability systems (including corporate reporting and evaluation) reflect gender equality indicators and targets	2
Element 4: Gender screening checklists or similar tools used for all new Interventions	4
Element 5: Human and financial resources (exceeding benchmarks) are available to address gender issues	3
Element 6: Capacity development of staff on gender is underway or has been conducted	3
<b>MI 2.1a Analysis</b>	<b>Source document</b>
<p>FAO has several strategies that describe its approach to gender equality and provide guidance on the mainstreaming of gender equality considerations into FAO programmes and other work. Most notably this includes the FAO Policy on Gender Equality (2012), with a set of 15 “minimum standards” to ensure that gender equality considerations are mainstreamed across the organisation, including for both its normative and programme work including two standards for women-specific targeted interventions. It is however noted that the policy is six years old and that the policy was developed under previous Strategic Plan.</p> <p>There is evidence of a lot of good work that has been done on integrating gender into FAO’s operational work (for example the value chain work) and that most of the “minimum standards” have been both reported on and met. In 2017, FAO met or exceeded 93% of all UN-SWAP performance indicators. It is noted in the 2018 Synthesis of lessons learnt in the application of the CPF however that the integration of gender dimensions to the CPFs through Country Gender Assessments was uneven both in timing and quality.</p> <p>The evidence is mixed in the global standard setting work, which less consistently considers gender. For example, the code of Conduct for Responsible Fisheries notes the importance of recognition being given to interests of indigenous people and local fishing communities, but does not distinguish between men, women, boys and girls. The “Understanding CODEX” paper on codex alimentarius does not mention gender either (<a href="http://www.fao.org/3/a-i5667e.pdf">http://www.fao.org/3/a-i5667e.pdf</a>).</p> <p>Results from the MOPAN partners suggest a reasonable level of familiarity with FAO’s policy on gender equality, but scope to strengthen this. While nearly 20% of respondents indicated they know it “very well”, nearly half indicated they had just little or no knowledge of it.</p> <p>Gender equality indicators and targets are largely integrated into FAO’s strategic plan and corporate objectives. FAO’s performance on gender equality is monitored specifically under SO 6 and FAO is tracking 13 gender-sensitive indicators at the outcome level and 20 gender sensitive indicators at the Output level of the Strategic Programmes. However, it is noted that they are not mainstreamed across all (relevant) indicators in the Results Framework and nor is gender equality explicitly referred to at the Strategic Objective level. At the outcome and output levels, there are a number of indicators that could integrate gender considerations which currently do not.</p> <p>Gender equality is expected to feature within FAO’s country programming frameworks, a tool to support this is available in the FAO Workspace, and it is included as part of the quality checklist in the CPF template. However, it is noted that the Annual Report by the Inspector General (2016) identified some CPFs that lacked gender performance indicators.</p>	1, 6, 7, 10, 13, 16, 18, 22, 29, 30, 31, 32, 42, 47, 68, 90, 97, 112

As noted above, gender equality indicators and targets are integrated into FAO's strategic plan and corporate objectives to some extent and gender equality is monitored specifically under SO6. Furthermore, 6 out of 8 FAO major databases made available to the public are relevant for sex-disaggregated data and over the 2016-17 biennium, 57 new knowledge materials made specific reference to sex-disaggregated indicators, data collection methodologies and/or analysis were produced. Gender is reported on PCM and as part of the Annual Report. More than 90% of evaluation reports completed in 2016 and 2017 contained a dedicated gender section. Furthermore, evaluations are now required to include a specific annex based on gender (and in examples where gender was not well reflected in for example the evaluation of SO5 this was addressed by the addition of a gender specific annex).

It was noted, however in the Evaluation of FAO's Contribution to Inclusive and Efficient Agricultural and Food Systems (SO4) that gender markers were missing from many projects. One interviewee noted that where they were being used, gender markers were not used effectively and there was a view that no one would "check" whether you had integrated gender or not. Furthermore, a lack of gender-disaggregated baseline data makes monitoring of gender differentiated activities and outcomes difficult. Gender is also not comprehensively considered across the Corporate Results Framework.

Gender parity figures are reported by HR to Finance Committee and in 2017 noted that women held 43% of all international posts. That said, HR has not submitted a report to the Finance Committee, which highlights the impact of HR policies on attracting men and women across the different levels within FAO.

The requirement to include gender equality analysis within the development of revised country programming frameworks (CPFs) is included in the CPF template as part of the "Quality Review Checklist" (Appendix 2). Aspects of gender equality are also included in FAO's "Project Environmental and Social (E&S) screening checklist" within the Environmental and Social Management Guidelines (2015), with all projects approved and supported by FAO required to meet these standards. To support project formulators and implementers in addressing gender issues, the Guide to mainstreaming gender in FAO's Project Cycle was developed. Specific technical guidelines were also developed to integrate gender issues in thematic areas of work of the Organisation such as water resources management, livestock and climate-smart agriculture, among others. Similarly, a checklist is available in FAO's guidelines on gender mainstreaming and a human-rights based approach (2017).

Furthermore, through its Policy on Gender Equality (2012), FAO clearly states that gender equality issues should be incorporated into all aspects of its work, including both its normative work and its programmes and projects and as part of PCM/Project approval - every project has to be cleared from a gender perspective by the appropriate Strategic Plan team and or the Gender Focal Point

Of respondents to the MOPAN partner survey who expressed an opinion, nearly 60% rated FAO as excellent or very good at promoting gender equality in all areas of its work.

Gender is relatively well resourced in FAO and the level of funding for FAO's work on gender equality and women's empowerment across the Strategic Objectives and Objective 6 has been maintained at USD 21.8 million for the biennium 2018-19. The gender team under Project E&S is distributed across the SPs. There is also a Technical Network on Gender, comprised of approximately 200 gender focal points and gender experts, located at both headquarters and in decentralised offices. The Technical Network plays an important role in the implementation of technical work on gender equality issues across FAO and in the countries in which it works.

1, 6, 7, 10, 13, 16, 18,  
22, 29, 30, 31, 32, 42,  
47, 68, 90, 97, 112

<p>In the last biennium an increasing number of staff learning opportunities were offered to the gender focal points in regional and country offices, and tailor-made trainings were organised for selected divisions. Specific Terms of reference are available for the Gender Focal Points (GFPs) both in decentralised offices and at Headquarters, and they are expected to dedicate 20% of their time to gender-related work. Nevertheless, more could be achieved, with additional human and financial resources.</p> <p>Of the 15 'minimum standards' FAO has adopted for gender mainstreaming, standard 14 states that 30% of FAO's operational work and budget at the country and regional levels should be allocated to women-specific targeted interventions. However, as of May 2018, the share of projects where gender equality is the main objective of the activity was just 7.9% of the total number of approved projects. This is an increase from 6.8% since 2015. 57.6% of FAO projects were marked as addressing gender equality in a systematic way but not one of its main objectives.</p> <p>There is evidence that considerable support is available for FAO staff to strengthen their capacity and skills in gender mainstreaming. For example, FAO's Programme Implementation Report 2014-15 notes that tools and e-learning courses had been developed and sector-specific training workshops organised and run, while Gender Focal Points and selected technical officers received training in how to promote gender equality and women's empowerment in field programmes. Guidance materials are also available to support staff members on gender mainstreaming in the project cycle and the CPF as well as in a number of FAO's mandated areas (most recently climate-smart agriculture, disaster risk reduction, gender-based violence, policies for food security and nutrition, rural advisory services, and value chain development). Other available courses include "Gender equality UN coherence and you"; "An introduction to gender equality in food security and nutrition security" as part of the FAO orientation toolkit; and "A Guide on Integrating Gender Equality into FAO's work". It is noted in the PIR 2016-17 that none of the training courses on gender are mandatory. The exception to this is "Gender equality, UN coherence and you" which was made mandatory at the end of 2017.</p> <p>It also is noted that the technical capacity and resources for gender mainstreaming remains an issue in several countries and it was remarked in an interview that CO and HQ are not moving at the same speed for gender and nutrition. From the country level evaluations that were reviewed, there was evidence of poor performance in the area of gender equality and the empowerment of women. This related to weak analysis of gender inequalities and lack of resources that had been made to gender programming. The Evaluation of SO4 noted that although there had been good progress with regard to gender mainstreaming across FAO's work, some staff continued to face difficulties in discussing gender issues. Furthermore, Standard nine on staff capacity development remains at partially achieved. Although a number of gender-related staff development courses are available, none of them are currently mandatory.</p>	<p>1, 6, 7, 10, 13, 16, 18, 22, 29, 30, 31, 32, 42, 47, 68, 90, 97, 112</p>
<b>MI 2.1a Evidence confidence</b>	<b>High confidence</b>
<b>MI 2.1b: Environmental Sustainability and Climate Change</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3</b>
Element 1: Dedicated policy statement on environmental sustainability and climate change available and showing evidence of use	3
Element 2: Environmental sustainability/ climate change indicators and targets are fully integrated into the organisation's strategic plan and corporate objectives	2

Element 3: Accountability systems (including corporate reporting and evaluation) reflect environmental sustainability and climate change indicators and targets	2
Element 4: Environmental screening checklists/impact assessments used for all new Interventions	4
Element 5: Human and financial resources (exceeding benchmarks) are available to address environmental sustainability and climate change issues	4
Element 6: Capacity development of staff on environmental sustainability and climate change is underway or has taken place	3
<b>MI 2.1b Analysis</b>	<b>Source document</b>
<p>Climate Change: FAO has developed a comprehensive strategy to guide its work on climate change and it is used to guide the work of FAO. The Climate and Environment Division co-ordinates the new strategy. In November 2017, the Climate and Environment Division shifted primary emphasis towards providing direct support to countries in climate change adaptation and mitigation whilst continuing to remain strongly engaged in the global climate policy dialogue. A relatively high proportion of MOPAN partner survey respondents stated that they know a fair amount or a lot about FAO's strategy for work on climate change (nearly 60%).</p> <p>Environmental Sustainability: The vision of FAO for sustainable food and agriculture is outlined in the Strategic Work for Sustainable food and agriculture and SP2 where natural resources are managed in a way that maintain ecosystem functions to support current and future human needs. The role of Strategic objective 2 (SO2) is the consideration and integration of five aspects of sustainability, including productivity in agriculture, forestry and fisheries It should be noted however that the independent assessment of FAO's technical capacity identified some concerns over the extent to which environmental and sustainability concepts are addressed within FAO publications, despite their overall high quality.</p> <p>Climate Change: Climate change was adopted as a cross-cutting issue by FAO in 2015. Results are monitored and reported under Strategic Objective 6 and include FAO's technical leadership to enhance national capacity to address climate change and agriculture, and to improve the integration of food security, agriculture, forestry and fisheries considerations into international governance on climate change. Climate change indicators and targets are also mainstreamed across the other 5 Strategic Objectives to some extent. All reports are required to devote work to climate change, such as reviewing SOFI for climate change, and SOO for climate change.</p> <p>Environmental Sustainability: In principle, this work is mainstreamed through all the work of the organisation, and reported on through the PIR of the PWB as it comes under the remit of Strategic Programme (SP2). The Environmental and Social Standards have to be met prior to project approval and the Terminal Report requires a rating for environmental sustainability, although it is not clear where this information is summarised.</p> <p>Climate Change: Climate change outcomes and outputs are reported through the biennial programme implementation report and the mid-term review synthesis report. In addition, PCM reports on climate change. Climate change was reported on in half of the evaluations reviewed.</p>	6, 8, 10, 11, 13, 16, 17, 18, 19, 21, 33, 47, 48, 75, 90, 105

**Environmental Sustainability:** Environmental sustainability is also reported on through the corporate reporting against SP2 Outputs. Furthermore, through its work FAO contributes to several targets of the SDGs: SDG2 sustainable agriculture; SDG14 sustainable management of ocean resources and SDG15 sustainable land management, including forests. The Environmental and Social Standards have to be met prior to project approval and the Terminal Report requires a rating for environmental sustainability, although it is not clear where this information is summarised. Environmental Sustainability is not systematically reported in evaluations, and was reviewed in 5 of the 20 the evaluation reports reviewed.

**Climate Change:** The Environmental and Social Safeguards ensure that interventions will not increase greenhouse gas emissions or undermine the adaptation capacity in food and agricultural systems. Each SP includes a climate change technical member of staff. Furthermore, changes were introduced in 2016 to the CPF to ensure mainstreaming of climate change. Mainstreaming climate change impacts or benefits into all interventions is under development as part of the process to revise and update the project cycle in FAO.

**Environmental Sustainability:** FAO's environmental and social management guidelines and standards for screening were launched in February 2015. These note that all new projects approved by FAO must meet these standards. The guidelines also note that the project Quality Assurance System will be used to evaluate FAO's performance against the Environmental and Social Standards.

**Climate Change:** Addressing climate change was one of the main programme priorities addressed in the Director General's Programme of Work and Budget proposed for the 2018-19 biennium with USD 3.7 million reallocated to bolster technical capacity across the Strategic Programmes. The current biennium has increased the number of climate change technical posts by 11 in total (3 in the DO and 8 at HQ) (PWB 2018-19), and each SP houses at least one climate change professional or focal point.

**Environmental Sustainability:** There is evidence that FAO has strengthened its capacity to provide internal technical support environmental sustainability. For example, the Environmental and Social Technical Network was established with a view to improving the environmental and social performance of FAO's projects and programmes.

Nearly two-thirds of respondents to the MOPAN partner survey who expressed an opinion rated FAO as excellent or very good in promoting environmental sustainability and addressing climate change in its work, a high proportion absolutely but also compared with other cross-cutting issues.

**Climate Change:** Work has been done on reinforcing the capacity of decentralised offices (in particular to facilitate the inter-institutional and inter-sectoral co-ordination of CCAM). The Technical Network on Climate Change conducted a stock-taking exercise on climate change and capacity needs and the TNCC activities were geared towards the capacity needs identified.

The Climate Change Strategy does not mention capacity development for staff, and in the PIR for 2016-17, countries highlighted the need for increased knowledge sharing and exchange. That said, it is noted that FAO will develop a knowledge platform for sharing information and expertise and furthermore there is an E-learning module on climate change, its causes, and effects, particularly on food and nutrition security. This is not mandatory.

**Environmental Sustainability:** In FAO's Environmental and Social Management Guidelines (2015) it is noted that an e-learning course on Environmental and Social Risk Management has been developed, while the Environmental and Social Technical Network was also established with a view to building staff capacity to address environmental sustainability and climate change issues. Furthermore, Project Cycle Training includes a module on Environmental and Social Safeguards.

6, 8, 10, 11, 13, 16, 17,  
18, 19, 21, 33, 47, 48,  
75, 90, 105



From the review of evaluation reports, while a number of positive examples were found at country level in terms of support and engagement with government-led processes, there were also other examples of Country Offices with limited capacity, where FAO was not able to provide support or engage in resilience and disaster risk reduction platforms and technical co-ordination.	
<b>MI 2.1b Evidence confidence</b>	<b>High confidence</b>
<b>MI 2.1c: Good governance</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>2</b>
Element 1: Dedicated policy statement on the principles of good governance and effective institutions available and showing evidence of use	2
Element 2: Indicators and targets related to the principles of good governance and effective institutions are integrated into the organisation's strategic plan and corporate objectives	2
Element 3: Accountability systems (including corporate reporting and evaluation) reflect the principles of good governance and effective institutions	2
Element 4: New interventions are assessed for relevant governance/institutional effectiveness issues	2
Element 5: Human and financial resources are available to address the principles of good governance and issues related to effective institutions	2
Element 6: Capacity development of staff on the principles of good governance and effective institutions is underway or has taken place	2
<b>MI 2.1c Analysis</b>	<b>Source document</b>
<p>The working definition for governance is from FAO's Medium Term Plan 2014-17 and Programme of Work and Budget 2014-15 (<a href="http://www.fao.org/docrep/meeting/027/mf490e.pdf">http://www.fao.org/docrep/meeting/027/mf490e.pdf</a>) paragraph 414, p. 107. This refers to the "the formal and informal rules, organisations, and processes through which public and private actors articulate their interests and make and implement decisions... Strengthening governance is essentially concerned with enabling effective and efficient problem-solving in ways that are regarded as legitimate by the stakeholders who are involved, enabled, or otherwise directly affected by the decisions and actions undertaken within or by any governance structure or regime".</p> <p>There is no Governance policy per se, but the reviewed Strategic Framework (2017) and other key strategic documents such as the PWB and MTP outline FAO's approach to and context for its interventions with respect to governance. Furthermore, governance is one of four cross-cutting issues.</p> <p>The current working definition is relatively broad and focused on stakeholder analysis and participation in decision-making. In the MOPAN partner survey, just over half of the respondents indicated a high level of awareness of FAO's approach to promoting governance, reform suggesting scope for greater communication.</p> <p>Governance indicators and targets are integrated into FAO's strategic plan though the meaningfulness of those indicators is mixed. FAO's performance on governance is monitored specifically under Strategic Objective six, with the aim of ensuring coherence of strategy and approaches, and quality of services related to global governance and co-ordination of policy and governance across the Strategic Objectives. Governance indicators and targets are also mainstreamed across the other five Strategic Objectives to some extent.</p>	6, 7, 10, 13, 16, 18, 90, 108

Through both the biennial programme implementation report and the mid-term review synthesis report, FAO reports on progress for the delivery of governance outcomes and outputs according to its results framework. All Strategic Programmes include an organisational output which is governance related. Just under half of evaluations reviewed provided some assessment of governance outputs and outcomes. Accountability for performance against governance issues is not widely developed.

There is no systematic requirement that governance analyses be conducted as part of all intervention designs. The CPF design tool includes a question to encourage teams to think about issues (e.g. context analysis and political economy) but consideration of governance issues is not included in the Quality Review checklist for new CPFs. According to the 2018 Synthesis of lessons learnt in the application of the CPF, 32 out of 55 reviewed CPFs had some relevant context analysis, but 16 did not seem to include relevant context analysis.

Just over half of respondents to the MOPAN partner survey who expressed an opinion rated FAO as excellent or very good in promoting governance principles in its work. While overall responses were positive (only 8% of respondents rated FAO as poor in this regard) this is a weaker area compared to other cross-cutting initiatives, and suggest scope to strengthen performance in the future. The Programme Evaluation Report (2017) found cases where programmes had not engaged partners and other stakeholders in the decision-making processes effectively (an important aspect of governance for FAO).

A Governance Support Technical Network offers peer-to-peer technical support and input to FAO's staff dealing with governance issues relevant to the five Strategic Objectives and meets five or six times a year. The Network promotes sharing of knowledge and experiences and provides support to identified governance challenges. The Governance team provides a variety of services including document reviews, field missions, presentations, coaching of policy officers in the field and short governance briefs in support of country and regional programmes.

The Governance and Policy Support Unit reports to ES support colleagues, but it is not well resourced with a budget of USD 7 million.

FAO's Programme Implementation Report for 2014-15 notes that FAO staff capacity to identify and address key policy challenges and governance bottlenecks have been enhanced through the development of innovative materials, and capacity development activities. This seems to refer largely to seminars and technical discussions. FAO Capacity Building Toolkit Learning Module 4 focuses on Organisational Analysis and Development.

More recently a Political Economy Coaching Facility was established in May 2017 to provide a space for policy officers in the field to discuss critical governance and political economy issues related to their work. The facility comprised of 32 policy officers in 28 countries.

However, according to the 2016-17 PIR strengthening FAO capacities for integrated policy support is a top priority in the context of UN development system reform. Although there is currently no standard training on governance, there are guidelines and e-learning modules on political economy analysis.

6, 7, 10, 13, 16, 18, 90,  
108

#### MI 2.1c Evidence confidence

High confidence

<b>MI 2.1d: Human Rights</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.2</b>
Element 1: Dedicated policy statement on human rights issues available and showing evidence of use	2
Element 2: Human rights indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	2
Element 3: Accountability systems (including corporate reporting and evaluation) reflect human rights indicators and targets	2
Element 4: Human rights screening checklists or similar tools used for all new interventions	3
Element 5: Human and financial resources (exceeding benchmarks) are available to address human rights issues	N/A
Element 6: Capacity development of staff on human rights is underway or has been conducted	2
<b>MI 2.1d Analysis</b>	<b>Source document</b>
<p>FAO does not have a policy relating to human rights as a cross cutting issue per se, however, the 'Right to Food' Guidelines describe how the fulfilment of the right to food as an objective is increasingly a priority on the international agenda of FAO. This is demonstrated in for example, the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security, or as a goal reiterated by the United Nations Secretary-General in light of the Zero Hunger Challenge.</p> <p>The Framework for Action for Food Security and Nutrition in Protracted Crises (developed by Committee on Food Security on which FAO sits) recognises that given the severity of undernutrition during protracted crises, nutritional needs require a special focus, especially for at risk populations, the vulnerable and marginalised.</p> <p>FAO applies the 'PANTHER' framework on human rights to its right to food-related work, which is based on the seven principles of Participation; Accountability; Non-Discrimination; Transparency; Human dignity; Empowerment; and Rule of law (The Human Right to Adequate Food).</p> <p>A large proportion of respondents in the MOPAN partner survey had a high level of awareness of FAO's approach to the right to adequate food in the context of national food security – with three quarters indicating that they knew a lot or a fair amount about it.</p> <p>Human Rights indicators are not well represented in the strategic plan but can be found under SP1 Output 1.1.2, and as a qualifier under a number of other indicators.</p> <p>The Gender Based Mainstreaming and Human Rights Based Approach – guidelines for technical offices (2017) document provides a checklist which aims to ensure human rights-based approach (HBRA) requirements are observed in monitoring and evaluation. However, there is little evidence of reporting on rights based approaches in the PCCM. The Independent Evaluation of FAO's Evaluation Function (2016) assessed the quality of a random sample of 21 OED evaluation reports and noted that a limited description of data sources, stakeholders' consultation process and limited inclusion of gender equality and an almost complete neglect of human rights. The assessment of evaluations for this review found only five out of a potential 20 evaluation reports included an assessment of human rights, and these were a small part of the evaluation. None of the evaluation reports mentioned the "PANTHER" framework.</p>	16, 18, 31, 49, 71, 72, 73, 74, 109

<p>The human rights screening checklist is used before new interventions as evidenced by the Gender Based Mainstreaming and Human Rights Based Approach – guidelines for technical offices (2017). This document states that gender mainstreaming and the human rights-based approach (HRBA) underpin all of FAO's interventions, and as such the document exists to "offer practical ways of incorporating the two cross-cutting themes within FAO project". This document states "gender mainstreaming and HRBA are essential in all project levels and stages, including formulation, implementation, monitoring and evaluation. A concern for gender equality and human rights should be an intrinsic element of a project's objectives, activities, deliverables and outcomes, because these two dimensions are crucial for ensuring that everyone benefits equally from the gains of the development process". These guidelines also provide suggestions on ways of incorporating HRBA into each stage of the project cycle. The Guide to Project Cycle includes a checklist that requires concept notes to be assessed on the extent to which a human rights based approach has been adopted. This includes the extent to which the project contributes to achieving human rights; whether the stakeholder analysis has taken into account the most vulnerable people; and whether employment effects have been assessed.</p> <p>Some 60% of respondents in the MOPAN partner survey who expressed an opinion rated FAO as either excellent or very good at promoting human rights in relevant areas of its work.</p> <p>The assessment did not gather sufficient evidence on resourcing to provide an assessment for element 5. A number of tools are available to support staff capacity on the right to food including guidelines, a methodological toolbox, a handbook and e-learning on the Right to Food. The Gender Mainstreaming and Human Rights-Based Approach Guidelines provides guidance for staff at different stages of the project cycle. However, there is no organisation-wide capacity development initiative on human rights.</p>	<p>16, 18, 31, 49, 71, 72, 73, 74, 109</p>
<b>MI 2.1d Evidence confidence</b>	<b>Medium confidence</b>
<b>MI 2.1e: Nutrition</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.5</b>
Element 1: Dedicated policy statement on nutrition, cross-cutting issues available and showing evidence of use	4
Element 2: Nutrition indicators and targets fully integrated into the organisation's strategic plan and corporate objectives	2
Element 3: Accountability systems (including corporate reporting and evaluation) reflect nutrition] indicators and targets	2
Element 4: Nutrition screening checklists or similar tools used for all new interventions	3
Element 5: Human and financial resources (exceeding benchmarks) are available to address nutrition issues	2
Element 6: Capacity development of staff on nutrition is underway or has been conducted	2

MI 2.1e Analysis	Source document
<p>FAO has designated nutrition as a cross-cutting issue under Strategic Objective 6, following the outcome of the Second International Conference on Nutrition (ICN2) in 2014. This is in addition to FAO's core programmatic activities for improving nutrition, particularly Strategic Objective 1 which is to "contribute to the eradication of hunger, food insecurity and malnutrition".</p> <p>Nutrition is considered a cross-cutting issue as evidenced by its incorporation in SO1, SO6 FAO's co-leading role on the United Nations Decade of Action of Nutrition and its integration across a number of programmes.</p> <p>It is noted that the Global Governance for Hunger Reduction Programme was exemplary in the extent to which nutrition was mainstreamed and internalised within FAO and extended to major international nutrition fora (Final Evaluation of the Improved Global Governance for Hunger Reduction Programme).</p> <p>A relatively large share of respondents to the MOPAN partner survey (nearly two thirds) said they knew a lot or a fair amount about FAO's approach to nutrition.</p> <p>FAO's performance on nutrition as a cross-cutting issue is monitored under Strategic Objective six. It captures technical leadership for FAO's work on nutrition, policy and operational co-ordination in the UN system, and technical support to resource mobilisation and nutrition communication. However, the PIR 2016-17 does not include assessment against the KPIs because of data collection problems. The design of the KPIs under SO 6 has been revised for 2018-21 to better track FAO's contribution to global nutrition mechanisms including reporting on ICN2 follow-up as well as the extent of mainstreaming nutrition in relevant FAO's corporate processes. Nutrition-related indicators are also included under Strategic Objective one.</p> <p>Through both the biennial programme implementation report and the mid-term review synthesis FAO reports on progress for the delivery of nutrition outcomes and outputs according to its results framework. As noted above, however for the period 2016-17 the KPIs were not reported against due to data collection challenges.</p> <p>As noted in the 2017 Programme Evaluation Report, only 28% of the evaluations conducted in the 2015/16 biennium examined nutrition aspects.</p> <p>A baseline audit of status of mainstreaming nutrition has recently been conducted, and found good effort on this in FAO, but still work in progress.</p> <p>For new interventions (element 5), a toolkit on nutrition-sensitive agriculture and food systems has been developed to assist design of programmes in a nutrition-sensitive way. This toolkit currently includes five separate documents: (1) Key recommendations for improving nutrition through agriculture and food systems, (2) Designing nutrition-sensitive agriculture investments. Checklist and guidance for programme formulation, (3) Compendium of indicators for nutrition-sensitive agriculture, (4) Nutrition-sensitive agriculture and food systems in practice. Options for intervention and (5) Agreeing on causes of malnutrition for joint action. However, consideration of nutrition aspects is not an obligation for all new interventions. Further thematic guidance is given through multiple discussion papers to support nutrition-sensitive policy and programmes.</p> <p>Nearly 70% of respondents to the MOPAN partner survey who answered the question rated FAO as excellent or very good in promoting nutrition through its work.</p>	<p>6, 7, 10, 11, 16, 17, 18, 90</p>

<p>The approach to mainstreaming nutrition takes includes supporting SPs to understand how they can integrate it, trying to inject nutrition into entry points in the PCM approach, helping inform/tweak SP's monitoring frameworks and e-learning modules for staff. There is also a Guide for FAO-Rs on how to look at nutrition – get them to act as advocates.</p> <p>The Nutrition unit's resources are relatively small which makes it a challenge to respond to all of the requests. It was also noted that at country level there are not enough resources to ensure consistent application of the approach being promoted by the Strategic Programme.</p> <p>As noted above there are some capacity development tools available including as an e-learning resource on nutrition. These are not compulsory and the understanding of the assessment team was that application was at this stage partial. FAO has plans to develop shorter e-training courses to encourage access.</p>	6, 7, 10, 11, 16, 17, 18, 90
<b>MI 2.1e Evidence confidence</b>	<b>High confidence</b>

## OPERATIONAL MANAGEMENT

*Assets and capacities organised behind strategic direction and intended results, to ensure relevance agility and accountability*

<b>KPI 3: Operating model and human/financial resources support relevance and agility</b>	<b>KPI score</b>
<b>Satisfactory</b>	<b>2.85</b>
<p>This aspect of FAO's operational management considers the extent to which FAO's organisational structures, HR management systems, resource mobilisation and programming processes are fit for purpose. "Fitness" here relates to the implementation of FAO's Strategic Objectives while maintaining the capability to respond and adjust in line with changing contexts and partners' needs. Over the period of review, FAO has organised itself to better deliver its Strategic Framework. The planning process is geared to direct resources to this aim and opportunities exist within the planning cycle to review and adjust plans in the light of changed events and opportunity.</p> <p>FAO has devoted considerable effort in recent years to take a more strategic approach to resource mobilisation, to diversify its funding sources and develop its role as a facilitator of investment funds for development. The decentralisation agenda has shifted the balance from HQ- to country-driven programming, though operationalising the emphasis is a significant task for a global organisation. FAO has also directed much effort to strengthening HR systems over the period of review, with a number of new policies and processes introduced. Nevertheless, the organisation faces on-going challenges in this regard.</p>	
<b>MI 3.1: Organisational structures and staffing ensure that human and financial resources are continuously aligned and adjusted to key functions</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3</b>
Element 1: Staffing is aligned with, or being reorganised to, requirements set out in the current Strategic Plan	2
Element 2: Resource allocations across functions are aligned to current organisational priorities and goals, as set out in the current Strategic Plan	3
Element 3: Internal restructuring exercises have a clear purpose and intent, aligned to the priorities of the current Strategic Plan	4
<b>MI 3.1 Analysis</b>	<b>Source document</b>
<p>Overall, FAO has made significant efforts to align its staffing with the requirements and ambitions of its Strategic Framework but needs to strengthen its approach to anticipating and managing risks associated with the changes being introduced.</p> <p>FAO has introduced a matrix management approach to align staff with its Strategic Objectives. HQ staff are still ostensibly located in technical units, where responsibility for technical excellence and managing the HR "skills mix" resides. However, Strategic Programme teams (one for each Strategic Objectives) play a key role in shaping FAO's workplan, ensuring proposed activities align with the Strategic Framework. In principle, the matrix system is operationalised through service level agreements between technical units and the Programme teams, though the interviews suggest that they are not applied consistently across FAO. More generally, there is general support for the idea of more multi-disciplinary, problem-orientated working, realising this ambition is still a work in progress.</p>	1, 4, 7, 8, 10, 11, 12, 26, 37, 48, 68, 75, 76, 80, 90

FAO's country offices vary in size according to the quantity of resources mobilised. In some cases, where FAO has few if any programmes, offices can comprise little more than the FAO Representative and one or two administrative/logistic staff. Insofar as resources mobilised at the country-level are aligned with the Strategic Framework, staffing will be – on this model, staffing explicitly follows resources. Respondents to the MOPAN survey were all generally very positive about FAO staff. Around two-thirds of partner respondents rated the skills of FAO staff as excellent or very good. However, relatively speaking, partners were less convinced FAO has sufficient staff available to deliver targeted results at a country level, with less than 50% of respondents rating FAO excellent or very good in this regard.

Over the last five years, FAO has also actively used its HR strategy and policies to promote organisational changes in support of its Strategic Framework. Examples of this approach include keeping a proportion of established posts unfilled, making significant use of staff on short-term consultancy contracts, and HR policies on staff mobility, recruitment and retirement. In each case, FAO has a rationale in terms of enhancing organisational relevance and agility. However, in practice, these policies involve risks. For example, reliance on short-term consultants – who may not have access to the same HR services as full-time staff – can adversely affect organisational knowledge and culture, particularly in core corporate functions. Roll out of new recruitment requirements designed to enhance representativeness of FAO staff initially resulted in delays and disruption to programmes at the field level. The assessment heard that the policy on staff mobility, designed to increase country-level understanding and experience of staff, has been implemented in a somewhat unthinking way, resulting in placement of technical experts in less relevant country offices and adversely affecting morale among some staff.

Similarly, recruitment is an important part of the organisational change strategy but the close involvement of the Director General in recruitment decisions has been associated with a perceived lack of transparency and/or arbitrariness in recruitment procedures. Regardless of any merits of the approach, FAO faces increased reputational risks as a result among some member nations.

The evidence suggests that FAO's resources (budget, staff) are adjusted to ensure alignment with priorities. For example, the Programme of Work and Budget 2018-19 notes that USD 19.7 million will be reallocated to increase technical capacity in ten higher-priority areas. Similarly, in preparing the MTP 2018-21, Directors of Technical Divisions were requested to identify areas of programmatic de-emphasis for 2018-19, in the light of requirements to deliver the Strategic Objectives. Available resources within the PWB were then reallocated to the higher priority areas of work.

However, identification of changing priorities and opportunities is largely funding-driven process (given the share of voluntary contributions for programmatic funding) that takes place within the broad parameters of focus and comparative advantage set by the Strategic Framework. As such, resource allocations between Strategic Objectives vary, reflecting interests among FAO donors rather than decisions of FAO senior management per se. As a result, resources are larger for those objectives that “fit” more readily with conventional FAO work (SOs 2 and 4) and where demand is high (SO 5).

1, 4, 7, 8, 10, 11, 12, 26, 37, 48, 68, 75, 76, 80, 90



<p>Iterative organisational changes since 2012 have been implemented with a view to ensuring there is alignment with the objectives of the Strategic Framework. This includes structural changes to the organisation, such as the establishment of a new Deputy Director-General for programmes, the establishment of Strategic Programme Teams with full-time leads for each of FAO's five thematic Strategic Objectives, the creation of a new Climate, Biodiversity, Land and Water Department, restructuring of the Nutrition Division to accommodate a broader mandate on food systems issues and the introduction of Regional Programme Leaders for FAO's Strategic Objectives in Regional Offices. In line with the revamped structural approach to innovation, in August 2017, a Digital Innovation Unit was established under the IT Division (CIO) to lead, coordinate and promote digital innovation across geographical locations in support of FAO's Strategic Framework.</p> <p>The decentralisation agenda has sought to increase expertise located outside HQ and emphasise country and regional priorities, through efforts to strengthen regional and sub-regional representation and the role of the FAO country representative. For example, two new sub-regional offices were approved in 2016 in West Africa and Lebanon.</p> <p>The establishment of the Shared Services Centre has also been important element in FAO's push for efficiency savings, which in turn have been reallocated to support Strategic Framework implementation.</p>	<p>1, 4, 7, 8, 10, 11, 12, 26, 37, 48, 68, 75, 76, 80, 90</p>
<b>MI 3.1 Evidence confidence</b>	<b>High confidence</b>
<b>MI 3.2: Resource mobilisation efforts consistent with the core mandate and strategic priorities</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3</b>
Element 1: Resource mobilisation strategy/case for support explicitly aligned to current strategic plan	3
Element 2: Resource mobilisation strategy/case for support reflects recognition of need to diversify the funding base, particularly in relation to the private sector	3
Element 3: Resource mobilisation strategy/case for support seeks multi-year funding within mandate and strategic priorities	4
Element 4: Resource mobilisation strategy/case for support prioritises the raising of domestic resources from partner countries/institutions, aligned to goals and objectives of the Strategic Plan/ relevant country plan	3
Element 5: Resource mobilisation strategy/case for support contains clear targets, monitoring and reporting mechanisms geared to the Strategic Plan or equivalent	2
<b>MI 3.2 Analysis</b>	<b>Source document</b>
<p>FAO's Resource Mobilisation and Management Strategy (RMMS) states explicitly that it is based on the need to secure resources to support the Strategic Framework and relevant Medium-Term Plan. Furthermore, one of four guiding principles underpinning the RMMS is that "all resources mobilised support FAO's Strategic Framework and are therefore focused on achieving members' goals and objectives and delivering on agreed results". The Resource Mobilisation Strategy was refocused in 2015, to align with changes in the Strategic Framework, but FAO is expected to submit a revised strategy in 2018 to reflect recent developments along with organisational proposals to strengthen this function further.</p>	<p>1, 6, 7, 13, 15, 22, 41, 44, 90, 97</p>

FAO's approach to resource mobilisation is quite strategic and developing but still in the relatively early stages. FAO still faces some challenges in attracting resources to support its multi-disciplinary, problem-driven Strategic Objective, reflecting how country and donor partners continue to view the Organisation. FAO is also overcoming a historical legacy whereby individuals were encouraged to mobilise resources for their "own" projects (rather than organisation-wide priorities). FAO has devoted resources to ensure more coherent messaging and new modes of engagement to help inform and shift understanding.

The Resource Mobilisation and Management Strategy (RMMS) clearly reflects the importance of diversifying its funding base. For example, the first of four main outcomes of the RMMS is "a consolidated, diversified and expanded base of FAO resource partnerships". FAO's unit responsible for resource mobilisation is developing a sophisticated, multi-pronged approach to resource mobilisation, comprising:

- Strengthened donor relations management/ engagement
- Diversification of funding sources, with an emphasis on innovative, non-traditional sources/roles (building on FAO's comparative advantage in normative/standards oversight)
- Promotion of multi-partner funding mechanisms, and
- Business development task force

FAO's approach to diversification has a number of strands: engaging Middle Income Countries (both as current and future resource partners, as well as promoting their engagement to meet growing South-South and Triangular Co-operation (SSTC) demands. Partnership Programmes have been successfully concluded since 2015 with Azerbaijan, Cameroon, Côte d'Ivoire, Equatorial Guinea and Kazakhstan.

South-South Co-operation plays an important role in expanding FAO's resource partner base. Following its accreditation in 2016, FAO is also strengthening capacity and efforts to support members through the Green Climate Fund. In addition, FAO has established standard operating procedures with the World Bank to enable the World Bank to fast-track resources to the FAO to utilise FAO's established networks at a country level (e.g. in Yemen, Somalia). FAO is also aiming to expand partnerships with the private sector and foundations taking a more innovative, less traditional role in helping to catalyse and facilitate private sector (foreign and domestic) investment resources.

Nevertheless, FAO is still reliant on a relatively small base of key resource partners. For example, the Programme Implementation Review for 2016-17 notes that FAO's top 20 donors provided 79% of total voluntary contributions, with the top 5 providing 52%. In addition, staff at the country level still pointed to the need for practical guidance for working with new partners, in particular the private sector.

In relation to Element 3, FAO as a variety of different instruments to mobilise resources all of which can accommodate multi-year funding where appropriate.

In relation to Element 4, FAO's mobilisation strategy does not prioritise domestic resources per se. However, FAO does have mechanisms that do this. For example, the African Multi-Partner Mechanism (AMPM), successor to the African Solidarity Trust Fund, seeks to attract funds from African governments and their partners to help African countries meet their SDG commitments. Similarly, the Unilateral trust fund has more than trebled in size in little over one year, mobilising resources from Middle Income Countries. As noted above, FAO also pays significant attention to south-south co-operation at both a state and non-state level. While mobilising resources, these may be more "in-kind" rather than financial contributions.

1, 6, 7, 13, 15, 22, 41, 44, 90, 97

<p>FAO does not set a corporate target per se for voluntary contributions. It outlines what it intends to generate over a biennium but in aggregate this is typically a conservative figure, given inherent uncertainties in this funding stream. In principle, the Office of Strategy, Planning and Resources Management (OSP) will examine any predictions from offices or units that vary significantly from previous trends and the Strategic Programme teams also review predictions based on their knowledge of opportunities in their field.</p> <p>Country programmes, however, are required to include an estimate of the value of the resources required to implement the Country Programming Framework (CPF), including an assessment of the existing and potential future funding modalities. This information is a critical factor in determining the CPF's financial feasibility. The Mid-Term Review Synthesis Report (2016) noted that 99 countries had a resource mobilisation target set in their CPFs (against a biennial target of 152).</p> <p>Nevertheless, the synthesis of lessons learnt in the application of the Country Programming Framework (2018) found considerable divergence at more granular levels. Among the 55 CPFs analysed, only two countries reached their resource mobilisation targets. Country offices set seemingly unrealistic expectations. On average, it was found that country offices overestimated targets by approximately 4.8 times their actual level of delivery. While at a corporate level, the more approach results in a more realistic aggregate estimate of voluntary resources mobilised, the divergence between country office and corporate levels suggests weaknesses in planning controls. Guidance, methodology or controls for setting realistic resource mobilisation targets at a country office level appear either inadequate or ineffective.</p> <p>FAO appears to be taking some steps to address this. The Resource Mobilisation and Accountability Framework, which is in the process of being updated, is expected to provide a basis for benchmarking units in terms of success against their resource mobilisation objectives. In addition, starting this year, Country Offices are required to prepare a six-month resource mobilisation plan, which will then become part of the regular CPF monitoring cycle.</p> <p>Greater monitoring of the resource pipeline is another aspect that FAO plans to strengthen – to analyse, for example, variations in the success rate for proposals among different funders in order to identify opportunities to improve bidding efforts. As part of this, FAO is working to improve the accuracy of the pipeline database, by for example, cleaning erroneous or “ghost” projects from the records. Once done, there is scope to model the pipeline in ways that could strengthen corporate planning.</p>	<p>1, 6, 7, 13, 15, 22, 41, 44, 90, 97</p>
<b>MI 3.2 Evidence confidence</b>	<b>High confidence</b>
<b>MI 3.3: Aid reallocation/programming decisions responsive to need can be made at a decentralised level</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3</b>
Element 1: An organisation-wide policy or guidelines exist which describe the delegation of decision-making authorities at different levels within the organisation	3
Element 2: (If the first criterion is met) The policy/guidelines or other documents provide evidence of a sufficient level of decision-making autonomy available at the country level (or other decentralised level as appropriate) regarding aid reallocation/programming	3
Element 3: Evaluations or other reports contain evidence that reallocation/programming decisions have been made to positive effect at country or other local level, as appropriate	3
Element 4: The organisation has made efforts to improve or sustain the delegation of decision-making on aid allocation/programming to the country or other relevant levels	3

MI 3.3 Analysis	Source document
<p>FAO has clear guidance on DoA in the areas of procurement and programming, while DoA in recruitment is somewhat less clearly defined. The relevant manual sections and guidance notes for general delegation of authority for procurement to decentralised offices are found in the FAO Handbook. This covers procurement of goods and services and Letters of Agreement. The standard thresholds set out can be adjusted where necessary if accompanied by additional controls.</p> <p>More generally Annex three to the Project Cycle guide sets out general roles and delegated responsibilities for development projects, while the FAO declaration of response protocol for level three emergencies describes the delegation of decision-making authorities at different levels within the organisation within emergency settings.</p> <p>In terms of staff recruitment, policy/guidelines exist but have been subject to a number of changes over the last few years resulting in much less clarity on arrangements. For national staff, the Country Office now has full authority to make decisions on recruitment, but for international staff and/or consultants, it is not as clear. The Country Office will initiate the recruitment process, be part of the interviews and then prepare a proposal with recommendations that goes to the central HR unit. However, there is much less transparency as to the process after that among staff in decentralised offices.</p> <p>Programming, primarily through the Country Programming Framework and the Project Documents that operationalise it, falls primarily under the responsibility and authority of the FAO Representative. Aid reallocation, with the exception of the Technical Co-operation Programme (TCP) and FAO Regular Programme resources, often has to be approved by the donor/resource partner, through submission of budget revisions.</p> <p>Within that system, the general view (although not unanimous) is that levels of delegated authority are adequate, and include provision for increasing thresholds on an “as needed” basis, along with a concomitant strengthening of controls. The exception to this appears to be the area of HR where centrally determined policies appear to risk constraining practices – for example, delays in recruiting local consultants or non-renewal of contracts for local consultants who were already working effectively on programmes. There is some evidence that these have been adapted in response to feedback from field offices – for example, regarding requirements for recruiting local consultants – but only after adverse consequences were experienced, and the fact that concerns were still aired to the assessment team suggests all issues are not yet resolved.</p> <p>FAO key corporate documents report at an aggregate level on areas receiving greater emphasis and areas that are being deemphasised. At a country level, there is a high degree of flexibility in terms of programme design and delivery. For example, over the last 12 months the context in Somalia has shifted from potential drought to flood response. Country Office requests to donors to redirect funds accordingly has been met by a positive response.</p> <p>Evaluations of country programmes assess the relevance of FAO’s support – thus implicitly address programming decisions – and in so far as they have identified positive outcomes, this criterion can be considered largely met. This is largely supported by the results of the MOPAN partners survey, with less than one fifth of respondents rating FAO “poor” in terms of country-level flexibility. Nevertheless, relatively speaking, this is an area where FAO might usefully look for improvement, given that less than half of respondents rated FAO excellent or very good in terms of its flexibility in financial resources and responsiveness to changes in country context. Nonetheless, nearly 70% of respondents rated FAO excellent or very good for the fit of FAO’s work with national programmes.</p>	<p>7, 10, 13, 26, 27, 48, 68, 75, 88</p>

<p>Nevertheless, FAO recognises that there is scope to strengthen this aspect of its systems. A review of the scope and modalities of country coverage in each region is being undertaken in 2018-19 and is expected to propose measures to further increase flexibility in the use of the budgeted resources at the country level, in particular so that resources can be reallocated within a country office on a cost-neutral basis, in accordance with country-specific and emerging needs and priorities.</p> <p>There is strong evidence that FAO has continued its efforts to improve the level of delegation to the regional and country levels. This has been demonstrated in financial authorities. For example, before 2012, all FAO procurement was handled centrally. Now the centre deals with only about 30%. However, it is also evidenced in planning and prioritisation processes and tools – like the Country Programming Framework, the Project Cycle Management guide, etc. Again, this is borne out by the results of MOPAN partner survey, where nearly 60% of respondents rated FAO excellent or very good in terms of staff’s ability to make critical programming decisions locally.</p> <p>This effort, to transfer greater authority in terms of directing FAO’s work to the decentralised offices is generally recognised as one of the most significant changes to have occurred in the organisation. FAO is also strengthening the IT systems available to country level staff to support their work.</p> <p>However, the process is still on-going and not without its challenges. An internal audit report (2017) found that implementation of the Strategic Framework in decentralised offices was still at a relatively immature stage, with insufficient attention to the co-ordination challenges and differences in capacity across offices.</p> <p>Greater delegations entail greater obligations/requirements but have not been accompanied by additional administrative resources to facilitate. And while systems are getting better to support Country Offices, they are also getting more sophisticated. Offices with a small field programme face most of the same reporting requirements as larger Offices and as a consequence processes can be burdensome. Country Offices with a large field programme can recruit additional short-term staff to assist but these, in turn, are short-term consultants undertaking what are essentially core functions. In-house knowledge about systems and processes is not being systematically developed, while newcomers have to learn from scratch (given the absence of long-term in-house expertise). Consequently, systems may be relatively fragile.</p>	<p>7, 10, 13, 26, 27, 48, 68, 75, 88</p>
<b>MI 3.3 Evidence confidence</b>	<b>High confidence</b>
<b>MI 3.4: HR systems and policies performance based and geared to the achievement of results</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.4</b>
Element 1: A system is in place which requires the performance assessment of all staff, including senior staff	2
Element 2: There is evidence that the performance assessment system is systematically and implemented by the organisation across all staff and to the required frequency	2
Element 3: The performance assessment system is clearly linked to organisational improvement, particularly the achievement of corporate objectives, and to demonstrate ability to work with other agencies	2
Element 4: The performance assessment of staff is applied in decision making relating to promotion, incentives, rewards, sanctions, etc.	3
Element 5: A clear process is in place to manage disagreement and complaints relating to staff performance assessments	3

MI 3.4 Analysis	Source document
<p>A performance management system is in place, the “Performance Evaluation and Management System” (PEMS), the latest version of which was launched in February 2017. This is mandatory for all staff holding a fixed-term and continuing appointments up to and including the ADG level. The PEMS is recorded online and has been implemented with a view to streamlining the process for developing work plans and to foster timelier, higher quality feedback to staff. Much work has been done to improve the system over the past few years.</p> <p>A survey conducted by the Office of HR showed that over 60% of respondents either agreed or strongly agreed with the benefits of the PEMS process and that the current PEMS policy clearly defines the process, roles, responsibilities and rating scale. However, 25% of respondents chose to neither disagree nor agree with the various statements on the benefits of the PEMS process and PEMS policy and 15% disagreed or strongly disagreed with the various statements. One of the qualitative comments received was a requirement to improve mechanisms to reward good performance and address underperformance. Evidence from the MOPAN team interviews was mixed. Whilst there was an acknowledgement that PEMS was useful as a structured approach to identify objectives and review these, it was also noted that there was little value in terms of rewarding staff and decision-making. One interviewee pointed out that staff respond to performance questions in a general way and that the scoring of performance is not conducted rigorously.</p> <p>In 2017, FAO’s Finance Committee (CL 158/7 para 23) found that there was a lack of adequate data and information to substantiate the analysis of annual progress and achievements made on human resources management over the reporting period mentioned in the Human Resource Management document (FC 169/9. However, since then, a quality review has been undertaken on selected sample workplans from the 2017 PEMS cycle and on the distribution of ratings for the 2016 and 2017 year-end phases. The results of the review will be incorporated in an analysis which, together with the outcome of the PEMS survey, will be used to further improve the current PEMS process starting with the 2019 PEMS cycle.</p> <p>PEMS does not apply to short term or temporary contracts. A Quality Assessment report of Consultants is completed at the end of a contract and these reports are stored and used by hiring units. The process appears less participatory and more extractive and there is no evidence that this is used to improve capacity, learning or quality of work. To date there has been no global analysis of these. Given the relatively high proportion of consulting staff across the organisation, this area requires strengthening.</p> <p>In 2016: 1,489 technical staff, 1,438 consultants, 303 PSA holders (Personal Service Agreements), 57 UN pensioners and 2,481 National Project Personnel.</p> <p>Completion of PEMS is mandatory for all staff. A PEMS policy, Process Guide and guidance on how to formulate PEMS Plans support the process. An issue that was mentioned in interviews, however, was that the PEMS was not consistently well implemented. Respondents to the OHR PEMS survey also suggested that staff needed further training on giving and receiving informal feedback, completing the process in the system and applying the rating scale.</p> <p>A different system is operated for consultants, which consists of a Quality Assessment report. This is not accompanied by the same level of guidance, and it is a basic form that scores performance of the consultants across a number of criteria. It does not include any element of professional development or learning. It is also noted that in the most recent HR report to the finance committee the performance assessment process for consultants is not mentioned.</p>	<p>6, 13, 34, 35, 37, 38, 68, 80, 82, 112</p>

The PEMS for FAO staff has been designed to enable the manager and staff member to collaborate for mutual benefit, directed towards FAO's mandate and the accompanying competency framework outlines the expected behaviours required to deliver quality results within the Strategic Framework (which includes "building effective relationships" as a core competency).

The Quality Assessment process required for consultants is not clearly linked to FAO's organisational Strategic Objectives.

The implementation of the revised PEMS in February 2017 comes following the identification of key shortcomings with the previous system. This includes several issues that were noted in the Report of the External Auditor (2015), including that the performance management process did not provide for a holistic approach for career management and succession planning for staff members, and instead focused simply on identifying staff training needs. Similarly, the Report noted it was not apparent how the learning needs of staff were tied to organisational needs and priorities. A third finding from the Report was that, based on a random sample of case studies, there was a vastly different approach across the Organisation to the drafting of work plan objectives, activities and performance indicators.

A review of the PEMS took place during April 2018, which included a quality analysis of the implementation of PEMS in 2016 and 2017 and a survey aimed at obtaining feedback from staff. The survey results showed that over 60% of respondents agreed/strongly agreed with the benefits of PEMS process and that the current PEMS policy clearly defines the process, roles, responsibilities and rating scale.

For regular staff, prior to the implementation of the new PEMS in February 2017, the performance assessment process does not seem to have consistently informed decisions around promotion or skills/learning requirements as the process was generally used only as a guide for identifying the training needs of staff. According to the current PEMS Policy however, performance ratings are considered in decisions such as promotion, mobility and transfers. That said, as noted in the FC 166/9 promotion to higher grade levels is undertaken by competing in a process relating to vacancy announcements or global calls.

However, from staff interviews the assessment found mixed evidence on the extent to which the formal performance assessment process is linked to decisions about mobility, promotions or sanction, with many suggesting that the process is not fully transparent or that decisions are taken outside the system.

OIG, OHR and the Ethics Office consider complaints from staff and consultants. OIG's mandate includes allegations of misconduct, fraud, retaliation against FAO personnel who report wrongdoing, and sexual exploitation and abuse. This was expanded in 2015 to include cases of workplace harassment and responsibility for administering the Grievance Handling Mechanism as part of the Organisation's Environmental and Social Management Guidelines.

FAO somewhat unusually combines the role of Ethics officer and staff ombudsman in one role. Both are essentially advisory with no decision-making authority and report to the Deputy Director General for Operations. In a dispute between a member of staff and management, the ombudsman can only advise the staff member on the legitimacy / strength of their case.

According to the FC 166/9 paper, FAO has maintained an open dialogue between the HR Office and staff (who have been fully informed of new procedures through communications and are encouraged to share suggestions and opinion). FAO also has a "Working-Well-Together" initiative that encourages employees to submit suggestions to help the organisation become less bureaucratic and more efficient.

6, 13, 34, 35, 37, 38,  
68, 80, 82, 112

<p>Although not universal, however, the interviews found a noteworthy level of disquiet among staff who do not feel heard and feel decisions pertaining to recruitment, dismissal, mobility and promotion lack transparency. Whilst there are complaint-handling processes in place, these do not appear to be noticing these more general concerns. A recent survey of staff (2018) focused on the HR policy and performance of line managers, and the last comprehensive staff survey was conducted before 2010 which reinforces the sense of limited opportunities for conveying broader/collective staff concerns to senior managers. There may be merit in considering running a comprehensive staff survey on a more frequent basis.</p> <p>Important policies/processes introduced over the last five years (e.g. on mobility, compulsory retirement age, selection of consultants) have not yet been incorporated smoothly into FAO's operations, with dissatisfaction among many staff still unresolved. Staff acknowledge the positive aspects of these policies, so the on-going challenges seem to be in the manner of implementation.</p>	6, 13, 34, 35, 37, 38, 68, 80, 82, 112
<b>MI 3.4 Evidence confidence</b>	<b>High confidence</b>
<b>KPI 4: Organisational systems are cost- and value- conscious and enable financial transparency/accountability</b>	<b>KPI score</b>
<b>Highly satisfactory</b>	<b>3.08</b>
<p>This aspect of FAO's operational management considers the quality of the systems for financial resource delivery and risk management and control. The assessment examined the clarity of alignment of resources with FAO's Strategic Objectives, the extent to which disbursement plans are met and the extent to which resources are linked to results in management informative ways. The assessment also examined the strength of risk management systems and the extent to which audit and other controls are actively used to improve the Organisation.</p>	
<b>MI 4.1: Transparent decision-making for resource allocation, consistent with strategic priorities</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.25</b>
Element 1: An explicit organisational statement or policy exists which clearly defines criteria for allocating resources to partners	3
Element 2: The criteria reflect targeting to the highest priority themes/countries/areas of intervention as set out in the current Strategic Plan	4
Element 3: The organisational policy or statement is regularly reviewed and updated	3
Element 4: The organisational statement or policy is publicly available	3
<b>MI 4.1 Analysis</b>	<b>Source document</b>
<p>There is no organisation-wide policy or statement determining allocations to partners. These evolve over time but are outlined in FAO's key planning documents. FAO's Medium Term Plan (MTP) runs for four years and is implemented via two, biennial Programmes of Work and Budget (PWBs). The MTP is subject to review during the transition between PWBs, while the PWBs themselves are subject to review at their mid-point. Progress in terms of intended results (at the output level) is reported in FAO's Mid-term Review Synthesis, while budgetary performance and proposed variations from plan are presented to the Finance Committee in the Annual Report on Budgetary Performance and Budgetary Transfers. However, as also stated above, budgetary reporting tends to be at the level of strategic theme or region rather than individual partners.</p>	9, 10, 18, 76, 87, 90



FAO produces a biennial Programme of Work and Budget (PWB), aligned to its four-year Medium-Term Plan (MTP). The MTP is aligned with the Strategic Objectives outlined in FAO's Reviewed Strategic Framework. The PWB provides an overview of the priorities and expected results over a two-year period, as well as the expected costs and resources allocated to work under each Objective. Planned allocation of resources are outline on a regional basis (not for each country).

The nature of FAO's funding sources, with voluntary contributions making up the bulk of FAO's "variable" resources for programme activities, means there are no fixed criteria for resource allocation across partners for each biennium. In practice, the planned level of activity in a country or region is the product of a number of considerations – previous and current programmes, country context and needs, partner government priorities and the interests of donors and other UN partners, and so on. FAO also takes account of the views expressed by its governing and statutory bodies.

At the country-level, priorities are expressed in the Country Programme Framework (CPFs). For the planning biennium 2018-19, FAO introduced a more integrated, "bottom-up" process to ensure better engagement of Decentralised Offices in the development of the PWB. This was generally well received by country staff we spoke to and in line with FAO's intention to put country priorities in the driving seat.

The Technical Co-operation Programme is entirely funded through regular funds. Member nations agree the allocation of resources on a regional basis but not at a country level. Currently, country level allocations are decided by regional offices, where tentative, two-year allocations are made based on an algorithm that incorporates multiple measures of need. However, these are flexed both in discussion with country offices (and in line with their Country Programme Frameworks) and during the course of the biennium in the light of implementation experience. The process is relatively informal and the algorithm is not explicit, though this also potentially allows for greater flexibility than might otherwise be the case.

As discussed above, the priorities expressed in the Strategic Framework, the process of planning for each biennial PWB and the Country Programme Framework mechanism, in combination enable FAO to ensure it directs its resources to priority activities. That is notwithstanding that fact that different member nations will differ in their views about the level of priority afforded say normative work over country-level capacity building programmes.

Preparation of a new PWB includes identification of areas of "de-emphasis" by Directors of Technical Divisions. For 2018-19, the areas were identified based on three general criteria:

- Evidence of reduced demand for technical products and services: to identify work that can be reoriented or discontinued;
- Opportunities to streamline work among technical divisions: in cases of overlap or duplication; and
- Use of strategic partnerships: in cases where partners are better placed to carry work that FAO had planned to do itself

The FAO's organisational statement (in the form of the Medium-Term Plan and associated documentation) is available publicly. The allocation of Technical Co-operation Programme funds at a regional level was agreed my member nations and available but the basis for allocations within regions is not.

9, 10, 18, 76, 87, 90

<b>MI 4.2: Allocated resources disbursed as planned</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.5</b>
Element 1: The institution sets clear targets for disbursement	4
Element 2: Financial information indicates that planned disbursements were met within institutionally agreed margins	4
Element 3: Clear explanations are available in relation to any variances	2
Element 4: Variances relate to external factors rather than internal procedural blockages	4
<b>MI 4.2 Analysis</b>	<b>Source document</b>
<p>Disbursement targets and outturn are provided for each Strategic and Functional objective in the Annual Report on Budgetary Performance and Budgetary Transfers for the regular budget. The biennial Programme of Work and Budget details planned expenditure for both regular budget and extrabudgetary sourced by Strategic and Functional Objectives.</p> <p>FAO's planned disbursements for the 2016-17 biennium were in line with expectations, with 99.6% (USD 1 billion) of the net appropriation (regular budget) expended and extrabudgetary expenditure reaching 96% (USD 1.6 billion) of planned levels overall.</p> <p>FAO's regular budget is predominantly sourced from assessed contributions and its budgetary performance in minimising variance from plan is assisted in part by the duration of the budget period (two years rather than one) and the nature of the regular budget, which supports activities that FAO generally has more control over (compared with voluntary contributions). It is also assisted by the fact that the Director General is authorised by Conference to reallocate any unspent balance of the appropriations for one-time use to support programmes of the Organisation.</p> <p>Budget performance for extrabudgetary expenditure is necessarily more variable given the more "harder-to-predict" nature of voluntary contributions. For the 2016-17 biennium, variance from plan (+/-) for extrabudgetary resources at the level Strategic Objectives ranged from 11% to 32% but overall variance was 4%.</p> <p>Clear explanations for variances within the regular budget are provided in the Annual Report on Budgetary Performance and Budgetary Transfers. For extrabudgetary expenditure, outturn against planned for the biennium is presented in the Programme Implementation Report but there is little to no discussion of the reasons for/impact of significant variances from plan.</p> <p>The assessment found no evidence to suggest that variances in actual compared with planned disbursements were attributable to internal procedures. Concerns regarding the adverse impact of HR policies on programme implementation were expressed but do not appear to have materially affected aggregate disbursement.</p>	5, 13, 69, 76, 90
<b>MI 4.2 Evidence confidence</b>	<b>High confidence</b>

<b>MI 4.3: Principles of results-based budgeting applied</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>1.75</b>
Element 1: The most recent organisational budget clearly aligns financial resources with Strategic Objectives/intended results of the current Strategic Plan	3
Element 2: A budget document is available which provides clear costings for the achievement of each management result	1
Element 3: Systems are available and used to track costs from activity through to result (outcome)	1
Element 4: There is evidence of improved costing of management and development results in budget documents reviewed over time (evidence of building a better system)	2
<b>MI 4.3 Analysis</b>	<b>Source document</b>
<p>FAO's Programme of Work and Budget (PWB) sets out the planned resources to be expended in support of the outcomes identified under each of FAO's Strategic and Functional Objectives. The presentation is broken down by source of funds (regular budget or "net appropriations", and "extrabudgetary" or voluntary contributions) and by region.</p> <p>FAO currently has a number of systems that map different elements of expenditure to the Strategic Framework, including: IMIS (dashboards); FPMIS (Project Cycle Management and project repository); GRMS (accounting system); and PIREs (Budgetary system in OSP). All FAO units/offices use PIREs as the single platform to undertake results/resources planning plan and to track the progress of their plan throughout the planning cycle from work-planning to operational monitoring and year end reporting. Nonetheless, the RBB system is still relatively limited and at an early stage of development. Planned expenditure is broadly linked to results at different levels of the Strategic Framework, but the system does not track cost of outcomes precisely. Under arrangements for the 2018-19 biennium, all country offices, regions and technical units plan their results and contribution to corporate outputs, related milestones and expenditures in support of the work plans and the related results. Projects have a detailed budget, complying with resources partners' requirements, as part of the project document. However, in terms of providing clear costings for achievements of results, FAO's reports have limitations:</p> <ul style="list-style-type: none"> <li>• Budgets allocated at the outcome level are more accurately seen as an expression of FAO's intended level of support, rather than a costed estimate of what it will take to achieve the outcome. Outcomes are broadly framed and for PWB 2018-19 no longer include targeted levels of performance.</li> <li>• Budgets for outputs in the Strategic Framework – which are more directly related to FAO's work – are not provided in the PWB, although they do exist internally. From an RBB perspective, specified outputs are quite general, potentially encompassing a range of qualitatively different results, making the task of interpreting the relationship between expenditure and performance difficult.</li> <li>• In practice, the system of allocating planned expenditure to planned results is relatively broad-brush. Programmes are typically allocated to one Strategic Objective and one output or possibly two, based on a simple estimate of percentage split. In the case of the latter, actual expenditure is typically allocated between outputs using the original percentage split rather than actual estimates. The system, therefore, paints a broad picture of the major areas of focus of programme expenditure, rather than the details required for reliable costing of results.</li> </ul>	7, 10, 11, 13, 36, 48, 90

<p>A concerted focus on results-based planning since 2012 has seen improvements to the way FAO “costs” its management and development results, including through its biennial Programme of Work and Budget. For example, the most recent planning round for PWB 2018-19 established, for the first time, an integrated approach to planning, with a single system for both HQ and Country Offices that facilitated a much clearer alignment of corporate and country priorities.</p> <p>The independent assessment of FAO’s technical capacity (2017) recommended that FAO introduce a system to track the time spent by staff and non-staff (and the associated costs) on different programmes and other activities. The assessment noted the benefits that such a system would bring, including an improved capacity to monitor the costs of different activities and the efficiency of implementation, and to track improvements in delivering products and implementing projects over time. FAO, however, does not agree with these conclusions and has no plans to introduce time recording.</p> <p>Since mid-2016, FAO introduced dashboards to improve considerably monitoring of project implementation. Currently the tool focuses on physical and financial implementation but there are plans to include more information on results/achievements. This in turn could help strengthen FAO’s RBB approach.</p> <p>Overall, development of RBB has been incremental; improvements are introduced each biennium to the approaches and systems, but FAO does not have an overarching strategy for RBB.</p>	7, 10, 11, 13, 36, 48, 90
<b>MI 4.3 Evidence confidence</b>	<b>High confidence</b>
<b>MI 4.4: External audit or other external reviews certifies the meeting of international standards at all levels, including with respect to internal audit</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.67</b>
Element 1: External audit conducted which complies with international standards	4
Element 2: Most recent external audit confirms compliance with international standards across functions	4
Element 3: Management response is available to external audit	4
Element 4: Management response provides clear action plan for addressing any gaps or weaknesses identified by external audit	4
Element 5: Internal audit functions meet international standards, including for independence	4
Element 6: Internal audit reports are publicly available	2
<b>MI 4.4 Analysis</b>	<b>Source document</b>
External audits of FAO are conducted in accordance with the International Standards on Auditing.	
FAO adopted the International Public Sector Accounting Standards (IPSAS) as of 1 January 2014. The shift to IPSAS required a significant upgrade in FAO’s financial systems and practices and human resources to meet international best practices set by IPSAS. Recent Reports of the External Auditor found that all transactions tested as part of the audit of the financial statements for 2015 and 2016 were in compliance with the Financial Regulations and legislative authority, and in accordance with IPSAS.	1, 5, 13, 68, 69, 70, 77, 78, 82, 87, 90

<p>FAO's management responses to findings and recommendations from the external auditor are captured within two publicly available documents. In the Report of the External Auditor, FAO's responses and comments are included for each recommendation that is presented. In addition, a detailed management response for all outstanding recommendations (including those from previous years), together with the External Auditor's view on the progress of implementation for all recommendations, is included in an annual "Progress Report on Implementation of the External Auditor's Recommendations".</p> <p>Each management response presented in the Progress Report on Implementation of the External Auditor's recommendations provides a detailed comment and plan of how management will address the particular recommendation made by the External Auditor.</p> <p>Internal audit within FAO is the responsibility of the Office of the Inspector General (OIG). It includes monitoring and evaluating the adequacy and effectiveness of FAO's system of internal controls, risk management, financial management and use of assets.</p> <p>OIG follows the International Standards for the Professional Practice of Internal Auditing, promulgated by the Institute of Internal Auditors (IIA), a global professional body. A qualified external reviewer carries out an independent assessment of OIG's performance every five years, in line with international internal audit standards. FAO's Audit Committee acknowledged in its 2017 Annual Report that OIG had been assigned the highest standards by the independent external assessors in their External Quality Assessment Report.</p> <p>Internal audit reports are not made public. They are available to member states for review but no parts can be copied or reproduced.</p>	<p>1, 5, 13, 68, 69, 70, 77, 78, 82, 87, 90</p>
<b>MI 4.4 Evidence confidence</b>	<b>High confidence</b>
<b>MI 4.5: Issues or concerns raised by internal control mechanisms (operational and financial risk management, internal audit, safeguards etc.) adequately addressed</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.83</b>
Element 1: A clear policy or organisational statement exists on how any issues identified through internal control mechanisms will be addressed	3
Element 2: Management guidelines or rules provide clear guidance on the procedures for addressing any identified issues, including timelines	3
Element 3: Clear guidelines are available for staff on reporting any issues identified	3
Element 4: A tracking system is available which records responses and actions taken to address any identified issues	3
Element 5: Governing Body or management documents indicate that relevant procedures have been followed/action taken in response to identified issues, including recommendations from audits (internal and external)	3
Element 6: Timelines for taking action follow guidelines/ensure the addressing of the issue within twelve months following its reporting	2

MI 4.5 Analysis	Source document
<p>There have been concerted efforts over the last three years to strengthen risk management in FAO. For example, a corporate risk register has been introduced and an Internal Control Framework has been formalised, part of which required for the first time completion of an Internal Control Questionnaire (ICQ) by all sections of the Organisation, (October 2017). Based on the results of the questionnaire, summary representation letters have been prepared for the main functional areas of the FAO and provided to the Director General. From these, a Statement of Internal Control has been prepared for the first time that will accompany FAO's the accounts submitted to the Finance Committee in October 2018. FAO has a Corporate Policy on Risk Management and an FAO Accountability Policy 2014, which alongside the Internal Control Framework, represent key risk management documents and elaborate roles and responsibilities with respect to risk management.</p> <p>The process of strengthening FAO's approach to risk management is still on-going. Further development of the internal framework of control should ensure managers are not just tracking the existence of controls but also their operation/effectiveness. The Audit Committee in its latest Annual Report commended the Organisation's efforts though noted it was still short of implementing a full Enterprise Risk Management System.</p> <p>A key challenge is to ensure existing practices are sufficiently joined up and coherent across the organisation, both vertically and horizontally. FAO's work to strengthen its system of internal control has taken place alongside other initiatives pursued for unrelated objectives, for example to drive efficiency gains or change HR practices. There are risks that different corporate initiatives work against each other in unintended ways:</p> <ul style="list-style-type: none"> <li>• Policies may clearly outline roles and responsibilities of key positions in the organisation – for example in HR or Technical Co-operation – but if those posts are not actually filled, staff will necessarily develop workarounds, which in turn may expose the organisation to greater risk</li> <li>• Reliance on short-term consultants to fill key corporate integrity positions within the organisation may also undermine stated controls unless those staff are adequately trained</li> <li>• Without adequate consultation over new corporate policies, there is a danger that field-level staff may develop inappropriate workarounds if problematic to implement – the assessment heard, for example, that staff resorted to “letters of agreement” when faced with problematic new policy on local recruitment</li> </ul> <p>In principle, this “whole-of-organisation” perspective on risk is maintained at the corporate level. However, the Corporate Risk Log (while a positive development) has significant limitations as a risk management tool this level. The Log is rather technocratic and essentially focused around programme delivery risks. Surprisingly, it includes no apparent consideration of the strategic threats and opportunities facing the Organisation, for example, arising from the significant internal changes being pursued under the Strategic Framework or externally from the wider UN reform agenda.</p> <p>In terms of guidance, FAO's Corporate Policy on Risk Management and the Internal Control Framework set out, at general level, expectations for the process of managing risk within FAO and the roles and responsibilities of staff in this at different levels of the Organisation. Given the breadth of these documents, specific guidance on addressing issues is not included, as the nature of risks uncovered can be expected to vary considerably. Nevertheless, the responsibilities of staff for identifying, mitigating and discussing/escalating risks are set out.</p>	<p>1, 2, 13, 38, 45, 70, 88</p>

The Office of the Inspector General (OIG) sets out specific procedures and timelines for handling internal administrative investigations. (It is noted, however, that while Guidelines for these investigations were revised in early 2017, those available on OIG's website are dated December 2016).

Similarly, in terms of actions required of staff, FAO's Corporate Policy on Risk Management and the Internal Control Framework set out, at general level, expectations for reporting of risks at different levels of the Organisation. FAO's Policy against Fraud and Other Corrupt Practices, states that all managers are responsible for inter alia reporting and can be held accountable for failures in this regard. Reporting is recognised as an important element of the policy and OIG has been designated to receive complaints or information concerning the possible existence of fraudulent or other corrupt practices, either through official channels or via a 'hotline'.

For tracking identified risks (Element 4), the Directorate of Operations and the Office of the Inspector General developed a dashboard (Apr 17) which provides online information to Managers on the status of open internal audit recommendations in their area. FAO's improved performance in addressing outstanding recommendations is attributed in part to the clearer oversight provided by this tool.

The internal controls questionnaire is a new initiative that has only recently been completed for the first time. The Internal Controls Board tracks key issues reported in the Statement on Internal Controls. Issues raised in the representation letters and ICQs should be tracked at the level of department/regional office as applicable and progress reported as part of the annual reporting process. As such, at the time of the review the results of the questionnaire exercise were not yet available to the MOPAN assessment team.

In its latest annual report, FAO's Audit Committee requested more integrated information from FAO management on the External Auditor's recommendations and the related management responses and actions taken. This has not yet been actioned.

In terms of action taken in response to identified issues, in its latest annual report, FAO's Audit Committee noted the improvement in follow-up action taken by FAO management to address both internal and external audit recommendations. Nevertheless, FAO still underperformed against its target; 93% of internal audit recommendations were outstanding for more than two years completed. For 2017, FAO achieved 85%.

The latest Program Implementation Report (for 2016-17) found that by the end of 2017, FAO had implemented 86% of agreed management responses to audit and evaluation recommendations, compared with a target of 95%.

In spite of this improved performance, FAO's Audit Committee expressed concern that some high-risk recommendations made by OIG going back to 2014 have still not been implemented.

In the same report, the Committee reviewed the status of implementation of the 12 prior recommendations in its own annual reports, taking into account the further updates provided by Management and OIG. It found that seven recommendations had been implemented while the other five were in progress. These will continue to be monitored by the Committee during 2018. The Audit Committee also noted that for the second year the financial disclosure programme had seen a considerable increase in non-compliance in responding to the financial disclosure questionnaire (more than 50 staff). The Committee considered that the policy would not take full effect unless it was strictly enforced and followed up by OHR. Furthermore, the Committee reiterated the need for spot checks and recommended that these should be established on a regular basis.

OIG's target for closing complaints (investigations) is 6 months. The average time of cases closed met this in 2017.

1, 2, 13, 38, 45, 70, 88

<b>MI 4.6: Policies and procedures effectively prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.5</b>
Element 1: A clear policy/guidelines on fraud, corruption and any other financial irregularities is available and made public	3
Element 2: The policy/guidelines clearly define the roles of management and staff in implementing/complying with the guidelines	4
Element 3: Staff training/awareness-raising has been conducted in relation to the policy/guidelines	3
Element 4: There is evidence of policy/guidelines implementation, e.g. through regular monitoring and reporting to the Governing Body	4
Element 5: There are channels/mechanisms in place for reporting suspicion of misuse of funds (e.g. anonymous reporting channels and “whistle-blower” protection policy)	3
Element 6: Annual reporting on cases of fraud, corruption and other irregularities, including actions taken, ensures that they are made public	4
<b>MI 4.6 Analysis</b>	<b>Source document</b>
<p>FAO has developed a “Policy against fraud and other corrupt practices”, which is publicly available. The policy states very clearly that the organisation has a zero-tolerance policy in respect of fraud and other corrupt practices.</p> <p>A review in 2015 by OIG of the risk of financial fraud and other corrupt practices in FAO, and the mitigating actions taken, concluded that FAO’s approach to fraud risk management was fragmentary. OIG highlighted several issues including that ownership of the fraud policy had not been clearly defined, a fraud management strategy was lacking, and awareness and training was piecemeal and insufficient. OIG recommended that a comprehensive Enterprise risk management (ERM) programme in the organisation be finalised, including a robust anti-fraud element.</p> <p>Since then, FAO has invested heavily to strengthen its risk management and internal control. FAO has recently instituted a more systematic approach to fraud risk management, working with the Office of the Inspector General (OIG). A comprehensive, organisation-wide fraud risk assessment was undertaken for the first time, which in turn identified key areas and gaps to inform a process of review with business owners, assessing the risk and mitigation measures. FAO is currently working on a Strategy and Action Plan (due to be submitted to the Finance Committee in November) covering this biennium and the next.</p> <p>FAO is also currently revising its procurement manual. This is expected to promote public tendering as the rule and restricted tenders as the exception. It will also introduce a specific risk assessment exercise for procurements that exceed a certain threshold and bring all guidance notes into a single reference guide. Standardised tendering templates have also been introduced to manage fraud risk in procurement.</p> <p>Cash transfers is another high-risk area for FAO and one that FAO has become increasingly involved in recent years. FAO is expected to include a specific section in the FAO manual on managing cash-based interventions, which aims to cement the shift that has occurred from ad hoc solutions to a more structured approach.</p>	1, 2, 40, 45, 68, 70, 78, 88, 90, 91



However, letters of agreement (LOAs) remain an area of some concern: these provide flexible means of procuring goods and services, an essential facility but one that may be open to abuse if used as a work around corporate policies.

A custodian for the fraud prevention policy designated at the Deputy Director-General level has also been assigned.

FAO's "Policy against fraud and corruption" states that all personnel in all locations and at all levels are expected to adhere fully to the principles and practices stated in the policy, and that it is the responsibility of all personnel to keep themselves up to date with the organisation's policies and ensure full compliance.

The Policy also notes that FAO Managers have overall responsibility for preventing, detecting and reporting fraud and other corrupt practices in the organisation. This includes identifying and assessing potential risks with respect to fraud and implementing measures to prevent incidents from occurring.

FAO's whistle-blower policy is managed by OIG. FAO does not separate responsibility for determining the validity of a claim and investigating it. Both are managed by OIG. FAO's Audit Committee recently expressed concern that OIG could not implement its workplans fully due to lack of resources. There appears to be some basis for this concern: OIG case load figures indicate that the number of unresolved complaints carried over each year has increased by around an average of 30% each year from 2013 to 2017. As such, there is a risk (hypothetical at least) that OIG resource challenges may influence its decisions when deciding whether to investigate a claim.

Nevertheless, the review encountered examples where roles/responsibilities of staff were not always clearly defined. For example, co-ordination problems between the procurement office (who hold FAO's procurement policy) and the Shared Services Centre increases the risk that policy is determined, de facto, by implementation systems and practices. The scope to transfer some procurement (processing) functions, from Headquarters to the SCC is a matter of ongoing discussion in FAO. Similarly, it appears there is a risk that the most appropriate/competent person will not lead on specific procurement activities given confusion around the role of the Lead Technical Officer in the process. Finally, FAO's Audit Committee has recommended ending the amalgamation of the two functions of Ethics Officer and Ombudsman, which have different responsibilities, require different skills and are based on different standards, which present inherent conflicts of interest.

Following a review of fraud risk management within FAO (2015), OIG concluded that awareness and training for staff was piecemeal and insufficient. FAO's Audit Committee subsequently recommended that the organisation undertake more training/orientation to staff on controlling fraud, ethical behaviour and accountability and for managers on handling workplace and administrative conflicts with personnel. The Committee recommended training of non-staff (NSHR) be improved, in particular introducing mandatory and monitored training of ethics and standards of conduct for those NSHR staff entrusted with critical functions.

OIG has since prepared flyers and posters to raise awareness about fraud and has made a number of presentations about its activities to raise awareness about reporting mechanisms and other relevant information. Communications have also been sent to all staff to highlight FAO's zero tolerance of fraud (noted positively by the Audit Committee in 2017). FAO has collaborated with OIG to improve the quality of training packages for staff. Two e-learning courses are also being developed, on Fraud and Corruption, and Internal Controls. Both were expected to be launched in 2018 and made available to all staff through the you@fao platform.

1, 2, 40, 45, 68, 70, 78,  
88, 90, 91

During 2017, the FAO Ethics Office provided training via VC to a number of country offices and face-to-face sessions with HQ divisions on organisational ethics. The programme is expected to continue during 2018 and 2019.

In addition, FAO has also strengthened procurement oversight (with the introduction of on-line dashboards for Country Office procurement activities) and roll-out of training for around 1,500 staff.

FAO is required to report cases of fraud and presumptive fraud through the preparation of their annual financial statements. In 2015, there were 11 cases of fraud reported, with two of the cases involving the same employee. Only one of the 11 cases for 2015 is pending while the rest were resolved. There is evidence that appropriate disciplinary measures were imposed on perpetrators of fraud or recovery of defrauded amounts was undertaken. OIG Annual Report provides summary data of its investigations of fraud and other misconduct.

FAO's Policy on fraud and other corrupt practices clearly states, "any reasonable suspicion or indication of fraudulent, corrupt, coercive or collusive practices or improper use of the organisation's resources must be immediately reported". To support this, a dedicated Investigations Hotline has been established in OIG for receiving complaints and information from both FAO personnel and third-party entities. This hotline can be accessed worldwide. Individuals who wish to protect their identity can make anonymous reports, although confidentiality provisions contained in the Guidelines for Internal Administrative Investigations by OIG protect all personnel who make a report or provide information.

FAO also has a Whistle-blower Protection Policy, which provides protection against retaliation, reprisals and sanctions for personnel who make a report on potential fraud or misconduct in good faith. In their Annual Report to the Director-General for 2016, the FAO Audit Committee noted that most of the allegations of misconduct are made by FAO personnel, and in the very few instances (three) in 2017 where the complainant raised concerns of retaliation, FAO responded appropriately and promptly.

Nevertheless, FAO faces a challenge in protecting whistle-blowers in that many offices are small, the culture may discourage reporting and there is limited scope to reassign whistle-blowers if an investigation is launched. This issue might benefit from consultations to identify solutions in the wider UN. Given these challenges, there could be merit in FAO running a confidential survey to estimate the risk of non-reporting in country offices.

FAO Management are required to report cases of fraud and presumptive fraud on an annual basis through the process of finalising their Annual Financial Statements. Once the Financial Statements are approved, this information is made publicly available.

OIG's annual report, also publicly available, provides summary information on the caseload of investigations and their status/outcome.

1, 2, 40, 45, 68, 70, 78, 88, 90, 91

#### MI 4.6 Evidence confidence

High confidence

## RELATIONSHIP MANAGEMENT

*Engaging in inclusive partnerships to support relevance, to leverage effective solutions and to maximise results (in line with Busan Partnerships commitments)*

<b>KPI 5: Operational planning and intervention design tools support relevance and agility (within partnerships)</b>	<b>KPI score</b>
<b>Satisfactory</b>	<b>2.66</b>
<p>The CPF process and tool is designed to support effective partnership with governments as well as an understanding of the operating context and key development challenges. However, the evidence on the extent to which FAO tailors its interventions to the specific situations and needs of the local context is mixed. FAO requires most cross-cutting issues to be considered consistently at design, though contextual analysis is more variable.</p> <p>FAO is committed to sustainability and new interventions are required to set out an “exit” strategy. They are also committed to capacity development as evidenced by the Corporate Policy on Capacity Development (2010). However, it is noted that at the CPF level, the focus is on capacity of FAO to act at the design stage (including staff, systems, processes, etc.) rather than that of its partners. Where capacity development is an explicit objective of a project/programme, the analysis of capacity and the strategy to address identified weaknesses are integrated in the design of the activity. However, in the case of partners whose role is primarily to support implementation (rather than as beneficiaries themselves), capacity assessment and strengthening is not systematically factored in.</p> <p>At the country level, identification of risks and consideration of risk mitigation strategies is integral to the development of a CPF. At the project level, completion of a risk matrix is a critical element of completing the Project Document template and forms part of the Project Appraisal Checklist. However, recent audit reports have identified weaknesses in risk identification across the organisation, and have recommended that greater context be provided to risks that are identified to support improved development of risk mitigation strategies.</p> <p>Efficiencies and savings have been reported in the area of procurement. Monitoring processes have been simplified and streamlined since 2013 following the deployment of the Global Resources Management System (GRMS), which connected for the first time all FAO offices worldwide. However, there is evidence that aspects of elements of FAO’s operating procedures need addressing to enhance speed of implementation there are still challenges in FAO’s procurement function, particularly a lack of capacity at the country office level. Improvements to corporate information systems are providing country offices with an enhanced, more sophisticated IT systems, but these are also more demanding. It is noted that FAO is able to respond quickly to emergency situations, with FAO’s fast track procedures enabling payments for emergency response projects to be made quickly and easily.</p>	
<b>MI 5.1: Interventions aligned with national/regional priorities and intended national/regional results</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3</b>
Element 1: Reviewed country or regional strategies make reference to national/regional strategies or objectives	3
Element 2: Reviewed country strategies or regional strategies link the results statements to national or regional goals	3
Element 3: Structures and incentives in place for technical staff that allow investment of time and effort in alignment process	3

MI 5.1 Analysis	Source document
<p>Each FAO country program is required to develop a Country Programming Framework (CPF). One of the requirements of the CPF is that it is developed in line with national/regional objectives, and that each programme priority identified in the CPF is aligned with a relevant national level objective. A review of a small sample of CPFs found that this requirement had been met.</p> <p>FAO's Programme Evaluation Report (2017) noted programmes were well aligned with national priorities and needs as identified in national policy documents and plans, and broadly aligned to the UNDAF strategies.</p> <p>Results from the survey of FAO partners were strongly positive in terms of the extent to which FAO's interventions are considered to be aligned with national programmes and intended results, with 69% selecting that they believe FAO's performance is "Excellent" or "Very good" in this area.</p> <p>At the project level, the design for a new project or intervention must demonstrate how it is aligned with the relevant country's National Development Goals and FAO Strategic Objectives as outlined in the current CPF. This forms part of the project appraisal checklist, which is applied before a new project is approved.</p> <p>A recent synthesis of lessons learnt in the application of the CPF concluded that the post-2015 CPF concept and guidelines were too rigid and geared towards operationalising the Strategic Framework, with limited scope for customisation based on the country context and needs. It also found that FAO's technical and operational knowledge was not always put to full use in supporting country offices identify strategic priorities with the government.</p> <p>The alignment between the proposed results to national/regional goals must be outlined in detail in Annex 1 of each CPF. Ensuring this is completed forms part of the Quality Review checklist, which is required before a CPF can be approved.</p> <p>A recent synthesis of evaluation results by the Office of Evaluation (OED) noted that 87% of evaluations reported as "satisfactory" or "highly satisfactory" the extent to which FAO's programmes were relevant to and aligned with national development goals and regional and global priorities.</p> <p>However, a synthesis of lessons learnt in the application of the CPF found that CPFs and their results frameworks generally lack the theory of change that sets out more specifically how the country programme would contribute to the national priorities.</p> <p>The process for developing a CPF is designed to include consultations with government partners, and the CPF must be signed off/endorsed by the partner government before it can be implemented. Feedback from FAO Reps on the extent to which they receive internal support to develop their CPFs is mixed with some noting they are "satisfied", while others feel they receive only "limited" support.</p> <p>It should be noted that some member countries still do not have an endorsed CPF, while some others have CPFs that do not comply with the required policies and guidelines.</p> <p>The risk of projects/programmes being undertaken that are poorly aligned is considered low, though it is noted that the time and resources devoted to design and appraisal activities (including consultations) vary according to size of the overall budget and the requirements of the funder.</p>	<p>6, 13, 22, 23, 24, 25, 26, 27, 28, 42, 54, 70, 94, 97</p>
<b>MI 5.1 Evidence confidence</b>	<b>High confidence</b>

<b>MI 5.2: Contextual analysis (shared where possible) applied to shape the intervention designs and implementation</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.83</b>
Element 1: Intervention designs contain a clear statement that positions the intervention within the operating context	3
Element 2: Context statement has been developed jointly with partners	2
Element 3: Context analysis contains reference to gender issues, where relevant	4
Element 4: Context analysis contains reference to environmental sustainability and climate change issues, where relevant	4
Element 5: Context analysis contains reference to governance issues, including conflict and fragility, where relevant	2
Element 6: Evidence of reflection points with partner(s) that take note of any significant changes in context	2
<b>MI 5.2 Analysis</b>	<b>Source document</b>
<p>FAO's CPF requires that an assessment of the operating context and key development challenges be undertaken. The quality of this analysis forms part of the formal approval processes. FAO's Project Document Template requires that a new project proposal include a section on the general context for the intervention, including the problem being addressed and a brief overview of the physical, social, political, programmatic and economic context within which the project will operate.</p> <p>Results from the survey of FAO partners indicate that a clear majority of FAO's partners believe FAO is either "Excellent" or "Very good" at tailoring its interventions to the specific situations and needs of the local context.</p> <p>However, a synthesis of lessons learned in the application of the CPF concluded from a sample of CPFs that the contextual analysis and information that had been included was inadequate.</p> <p>Consultations between the FAO Representative, government counterparts and country stakeholders are integral to the formulation of a CPF. A partner government is required to sign off on the CPF before programming can commence indicating that, at a minimum, the contextual analysis included in the CPF is endorsed. Priority areas are agreed based on dialogue with national stakeholders, and in consideration of three general criteria including mandate to act, position to act and capacity to act, all of which requires an in-depth understanding of the context.</p> <p>However, a synthesis of lessons learnt in the application of the CPF found that, out of a sample of eight CPFs, the CPF formulation process was not inclusive enough (including with some government ministries) and represented missed opportunities for developing stronger partnerships at strategic levels.</p> <p>FAO's Programme Evaluation Report (2017) found in some cases inadequate support for country-led processes resulted in lower levels of engagement in decision-making processes by partners and other stakeholders. The same report also noted that in some cases users and partners had limited involvement at design stage while FAO's technical material were often insufficiently contextualised to meet local needs and knowledge products needed to be more accessible to target beneficiaries (language and online access).</p>	22, 23, 24, 25, 26, 27, 47, 94, 97

<p>The extent to which gender equality is adequately considered and addressed within a proposed CPF forms part of the Quality Review Checklist. A review of a small sample of CPF's (Ethiopia, Turkey, Bangladesh) found that all included references to gender equality issues in their contextual analysis.</p> <p>Similarly, project level guidance stipulates that an analysis of cross-cutting issues, including gender, should be included before approval is granted.</p> <p>The inclusion of environment and climate change issues is not part of the Quality Review Checklist for CPFs; however, FAO's Environment and Social Management Guidelines are aligned with the project cycle and facilitate the early and systematic identification, assessment and management of Environment and Social risks.</p> <p>A review of a small sample of CPF's (Ethiopia, Turkey, Bangladesh) found that all included references to environmental and climate change issues in their contextual analysis.</p> <p>The extent to which governance issues have been suitably addressed in a CPF does not form part of the Quality Review Checklist. A review of a small sample of CPF's (Ethiopia, Turkey, Bangladesh) found that only one (Bangladesh) contained a direct reference to governance issues in the contextual analysis.</p> <p>FAO expresses a clear intent to adapt its support in line with changes to the development context and the evolving needs of partner countries (for example, as seen in the CPF template). In addition, FAO's Project Appraisal Checklist requires that the Project Appraisal Officer consider whether the project allows for adequate flexibility for redefinition and improvement of the strategy to respond to changes in the context.</p> <p>The results from the survey of FAO partners were relatively less positive about this issue than for others, suggesting scope for improvement in this regard; less than 50% of respondents rated FAO as "excellent" or "very good" in using regular review points for joint identification and interpretation of major changes in the context.</p> <p>A recent review of the application of the CPF found there is often not an effective oversight mechanism in place to guide implementation once the CPF is established. The report concluded that for effective oversight of CPF implementation and results-based management, it would need a mechanism, whether the country core team or steering committees, to review the progress made and provide authoritative guidance on programme implementation and adjustments.</p>	<p>22, 23, 24, 25, 26, 27, 47, 94, 97</p>
<b>MI 5.2 Evidence confidence</b>	<b>High confidence</b>
<b>MI 5.3: Capacity analysis informs intervention design and implementation, and strategies to address any weakness found are employed</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.6</b>
Element 1: Intervention designs contain a clear statement of capacities of key national implementing partners	3
Element 2: Capacity analysis considers resources, strategy, culture, staff, systems and processes, structure and performance	3
Element 3: Capacity analysis statement has been developed jointly where feasible	2
Element 4: Capacity analysis statement includes clear strategies for addressing any weaknesses, with a view to sustainability	3
Element 5: Evidence of regular and resourced reflection points with partner(s) that take note of any significant changes in the wider institutional setting that affect capacity	2

MI 5.3 Analysis	Source document
<p>FAO's Corporate Policy on Capacity Development (2010) states that FAO will adopt an integrated approach to capacity development, whereby the capacity of individuals, organisations and the enabling environment are all considered within the design of new projects.</p> <p>FAO's Project Appraisal Checklist requires the Project Appraisal Officer for a new design to sign off that the three dimensions of capacity development (individuals, organisations and the enabling environment) have been properly assessed and considered in the proposed project design. This extends to the consideration of proposed partners in a new design, which must be justified (including consideration of their capacity).</p> <p>Survey respondents were relatively positive in terms of the extent to which FAO's interventions take into account realistic assessments of national and regional capacities. Approximately 60% responded that FAO was "Excellent" or "Very good" in this regard.</p> <p>A key finding from the Office of Evaluation (OED) Programme Evaluation Report (2017) was that limited implementation capacities at the sub-national levels were often a constraint for the effective application of FAO's knowledge and approaches.</p> <p>At the CPF level, the focus is on capacity of FAO to act at the design stage (including staff, systems, processes, etc.) rather than that of its partners. Capacity analysis is built in to FAO's approach to South-South Co-operation, which requires a comprehensive needs assessment across the three dimensions of capacity (with respect to the proposed partners) before the co-operation can be formalised.</p> <p>At the project level, in the Project Appraisal checklist, the appraiser is directly asked to consider whether proposed capacity development efforts go beyond technical areas and include soft skill development such as planning, budgeting, partnering, and negotiating. This does not appear to occur systematically.</p> <p>Capacity development is often an explicit objective of a project/programme. In these cases, the analysis of capacity and the strategy to address identified weaknesses are integrated in the design of the activity. However, in the case of partners whose role is primarily to support implementation (rather than as beneficiaries themselves), capacity assessment and strengthening is not systematically factored in. While these partners will have been selected for their implementation capacity, in practice they may have capacity weaknesses themselves. However, unless addressing these is a specific objective of the project, they are not likely to be addressed.</p> <p>Only a little over half of survey respondents rated FAO as "Excellent" or "Very good" in designing and implementing its interventions in such a way that their effects and impact can be sustained over time. This does not appear to occur systematically. The results from the survey of FAO partners were relatively less positive about this issue than for others, suggesting scope for improvement in this regard: less than 50% of respondents rated FAO as "excellent" or "very good" in using regular review points for joint identification and interpretation of major changes in the context.</p> <p>A recent review of the application of the CPF found there is often not an effective oversight mechanism in place to guide implementation once the CPF is established.</p>	<p>16, 22, 28, 54, 94, 96</p>
<b>MI 5.3 Evidence confidence</b>	<b>Medium confidence</b>

<b>MI 5.4: Detailed risk (strategic, political, reputational, operational) management strategies ensure the identification, mitigation, monitoring and reporting of risks</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.4</b>
Element 1: Intervention designs include detailed analysis of and mitigation strategies for operational risk	3
Element 2: Intervention designs include detailed analysis of and mitigation strategies for strategic risk	2
Element 3: Intervention designs include detailed analysis of and mitigation strategies for political risk	2
Element 4: Intervention designs include detailed analysis of and mitigation strategies for reputational risk	2
Element 5: Risks are routinely monitored and reflected upon by the partnership	3
Element 6: Risk mitigation actions taken by the partnership are documented and communicated	N/E
<b>MI 5.4 Analysis</b>	<b>Source document</b>
<p>At the country level, identification of risks and consideration of risk mitigation strategies is integral to the development of a CPF.</p> <p>At the project level, completion of a risk matrix is a critical element of completing the Project Document template and forms part of the Project Appraisal Checklist. The Matrix includes categorisation and assessment of risk, identification of mitigation measures and the person for monitoring status during implementation. FAO uses standard categories to categorise risk: those most closely related to “operational risk” are “internal stakeholder support”, “right resources”, “viable delivery structures” and “strong delivery management”.</p> <p>Recent audit reports have identified weaknesses in risk identification across the organisation, and have recommended that greater context be provided to risks that are identified to support improved development of risk mitigation strategies. A recent review of a sample of operationally active projects across the organisation also revealed a number of issues, including that risk management strategies were not clearly articulated.</p> <p>This review did not involve detailed examination of the quality of operational risk analysis and associated mitigation measures included in intervention designs.</p> <p>Recent enhancements to risk management at the corporate level include the implementation of a new Corporate Policy on Risk Management and the introduction of a corporate risk log. In addition, in early 2018 FAO’s Director-General is expected to deliver a Statement of Internal Control (SIC) to accompany the financial statements for 2017, which will be the first time such a document has been prepared.</p> <p>At the project level, completion of a risk matrix is a critical element of completing the Project Document template and forms part of the Project Appraisal Checklist. The Matrix includes categorisation and assessment of risk, identification of mitigation measures and the person for monitoring status during implementation. Compilers are required to categorise risks in the Matrix, using standard categories. Of these, “clear intended purpose” and “effective delivery strategy” appear most closely related to “strategic risk”. Note that those completing the Matrix are not required to identify strategic risks.</p> <p>Recent audit reports have revealed a number of issues with risk management, including that risk management strategies were not clearly articulated.</p>	1, 2, 8, 9, 22, 47, 68, 70, 75, 78, 94



The review did not involve detailed examination of the quality of strategic risk analysis and associated mitigation measures included in intervention designs. However, treatment of strategic risk in intervention and risk management templates used by FAO is more limited when compared with 'operational risk'.

The project-level risk matrix includes categorisation and assessment of risk, identification of mitigation measures and the person for monitoring status during implementation. Compilers are required to categorise risks in the Matrix, using standard categories. Of these, "external stakeholder support" appears most closely related to "political risk". Note that those completing the Matrix are not required to identify political risks. For projects in the TCP indicative pipeline only, the quality review guidance for Country Programming Frameworks asks whether "any potential political sensitivity risks [have] been identified [and whether] the project involve activities that would be unusual for FAO, potentially controversial or that could have major repercussions (positive or negative) for other parts of FAO or other partners".

Recent audit reports have revealed a number of issues with project risk management, including that risk management strategies were not clearly articulated.

The review did not involve detailed examination of the quality of political risk analysis and associated mitigation measures included in intervention designs. However, treatment of political risk in intervention and risk management templates used by FAO is more limited when compared with 'operational risk'.

At the project level FAO's standard categories of risk do not appear to include "reputational risk". However, it is arguable that all the categories of risk discussed above inherently carry reputational risk for FAO. For example, failure to deliver a major programme could damage FAO's reputation, regardless of the source of the problem. To an extent, therefore, reputational risk is addressed. However, it is less clear how other reputational risk factors, not directly related to implementation, are considered: for example, personal conduct of staff, or media communication risks.

The Risk Management Matrix developed for each intervention is required to be updated during implementation. FAO's recently strengthened approach to managing internal controls also requires managers to report – on an annual basis – on the extent to which stakeholders are engaged during implementation and are regularly monitored or updated on project progress and/or issues. The results of the first year of reporting, however, were not available for the MOPAN review.

A recent review of the application of the CPF found there is often not an effective oversight mechanism in place to guide implementation once the CPF is established. That said, feedback from FAO partners is relatively positive on this issue, with 60% of respondents selecting that FAO is "Excellent" or "Very good" at effectively managing risk.

Risk mitigation measures are documented in the intervention risk management matrix. In the Country Programming Frameworks, staff are required to include additional considerations on FAO's assistance, including a "high level" assessment of potential risks and mitigation measures.

Results from the MOPAN partner survey support a generally positive view, with 60% rating FAO as "excellent" or "very good" in terms of risk management within interventions.

The extent to which risk mitigation actions are documented in detail and communicated to partners was not included in the assessment.

1, 2, 8, 9, 22, 47, 68, 70, 75, 78, 94

#### MI 5.2 Evidence confidence

High confidence

<b>MI 5.5: Intervention designs include the analysis of cross-cutting issues (as defined in KPI 2)</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.14</b>
Element 1: Intervention design documentation includes the requirement to analyse cross-cutting issues	3
Element 2: Guidelines are available for staff on the implementation of the relevant guidelines	4
Element 3: Approval procedures require the assessment of the extent to which cross-cutting issues have been integrated in the design	4
Element 4: Intervention designs include the analysis of gender issues	3
Element 5: Intervention designs include the analysis of environmental sustainability and climate change issues	4
Element 6: Intervention designs include the analysis of good governance issues	2
Element 7: Plans for intervention monitoring and evaluation include attention to cross-cutting issues	2
<b>MI 5.5 Analysis</b>	<b>Source document</b>
<p>One of the 15 Minimum Standards for Gender Mainstreaming outlined in FAO's Policy on Gender Equality (2013) is that gender analysis is incorporated in the formulation of all field programmes and projects, and gender-related issues are taken into account in project approval and implementation processes. The policy also requires that gender equality issues be incorporated into all programme reviews and evaluations. The development of a CPF is also expected to consider and address all relevant issues with respect to gender equality; the extent to which this has been achieved forms part of the Quality Review Checklist, which must be completed before a CPF is approved.</p> <p>Similarly, all projects approved and supported by FAO must have completed an Initial Environmental Review, and then either an Environmental and Social Review, or an Environmental Screening, depending on how it is categorised. Projects must also meet a set of nine Environmental and Social Standards (including one on gender equality).</p> <p>In addition, FAO's Concept Note template for new interventions includes a section on sustainability, where designers are prompted to consider inter alia Human Rights-Based Approaches (including Right to Food, Decent Work).</p> <p>FAO has developed several tools and guidelines to support staff in the formulation of CPFs, which are accessible on FAO's intranet. These include guidelines on mainstreaming gender, governance and nutrition.</p> <p>The extent to which gender equality has been adequately considered and addressed forms part of the Quality Review Checklist for a draft Country Programming Framework (CPF) and is one factor that determines whether the CPF will be approved. At the project level, appraisal of both concept notes and project documents are required to consider inter alia whether gender equality, human rights based approach, environmental and social sustainability and capacity development (which includes aspects of governance) are adequately addressed.</p> <p>There is evidence that FAO's project designs have an increasingly consistent and strong emphasis on gender equality. For example, the PIR 2016-17 reported that over 92% of FAO projects over USD 100,000 were formulated based on gender analysis, while the implementation of gender-related activities, as recorded in terminal reports, increased from 76% to 89%.</p>	6, 13, 22, 29, 31, 47, 49, 51, 54, 90, 94, 95, 97

<p>However, there is also evidence that integration of gender into CPFs is variable, and the capacity at some FAO country offices to analyse and respond to gender issues is limited.</p> <p>The PIR 2016-17 reported that FAO's environmental and social standards were fully integrated into FAO's project cycle and applied to around 800 projects.</p> <p>Governance issues are considered where they are directly relevant to an intervention, but there is no evidence that this occurs systematically.</p> <p>An independent evaluation of FAO's evaluation function (2016) found that gender equality was systematically addressed in evaluation Terms of Reference and efforts had been made to include a gender equality perspective into Office of Evaluation (OED) evaluations. However, the evaluation also found that the OED lacks a common understanding about gender equality perspectives and it noted that the scope of gender equality analysis was often limited to participation issues. It also identified that evaluation recommendations on gender equality were rare. As a result, in terms of the overall quality of OED's evaluations, the criterion of gender equality (and human rights) was considered medium to low, giving it the lowest rating across all the quality criteria.</p> <p>In response to this, FAO released guidelines for the assessment of gender mainstreaming in late 2017. The guidelines outline the actions and the deliverables expected from an evaluation manager at each stage of the evaluation in order to comply with the FAO Gender Policy.</p> <p>There is no evidence that other cross-cutting issues (environment and climate change, governance and nutrition) are systematically incorporated into plans for monitoring and evaluation.</p>	6, 13, 22, 29, 31, 47, 49, 51, 54, 90, 94, 95, 97
<b>MI 5.2 Evidence confidence</b>	<b>High confidence</b>
<b>MI 5.6: Intervention designs include detailed and realistic measures to ensure sustainability (as defined in KPI 12)</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.67</b>
Element 1: Intervention designs include statement of critical aspects of sustainability, including; institutional framework, resources and human capacity, social behaviour, technical developments and trade, as appropriate	4
Element 2: Key elements of the enabling policy and legal environment that are required to sustain expected benefits from a successful intervention are defined in the design	3
Element 3: The critical assumptions that underpin sustainability form part of the approved monitoring and evaluation plan	1
Element 4: Where shifts in policy and legislation will be required these reform processes are addressed (within the intervention plan) directly and in a time sensitive manner	N/E

MI 5.6 Analysis	Source document
<p>Sustainability principles are embedded in FAO's Strategic Objectives. For example, FAO's Medium-Term Plan 2018-21 notes that to achieve sustainable agricultural production intensification the integration of three aspects of sustainability (environmental, economic and social) is needed.</p> <p>With a view to sustainability, new interventions are required to set out an "exit" strategy, ensuring a smooth transition/handover period to secure continuation of benefits beyond the lifetime of the project. They are also required to consider project sustainability taking into account: capacity (from a policy, organisational and individual perspective), gender equality, socio-cultural dimensions, environmental, technology, human rights, financial/economic and knowledge transfer.</p> <p>Through the process of developing a CPF, FAO analysis of the enabling environment (be it legal or policy), including any issues or gaps, is expected to inform discussions with government counterparts and key stakeholders around the setting of priorities.</p> <p>At the project level, before approval is granted, all project designs are required to include an assessment of likely sustainability, which covers elements of the policy and legal environment (see above). FAO's Project Document template notes that the likelihood of sustainability is increased when projects comprehensively address three dimensions of capacity (including individuals, institutions and the policy).</p> <p>There is also evidence that FAO is strongly committed to promoting national ownership of its interventions, and collaboration (as evidenced from the analysis required to complete FAO's Project Document template), while engagement between FAO, partner governments and other key in-country stakeholders is central to the CPF development process. However, the Programme Evaluation Report (2017) found that while FAO had generally formed productive partnerships with government institutions for project implementation, in some cases partner governments were insufficiently involved in, or informed of, FAO's initiatives in the country. Similarly, a synthesis of lessons learned in the application of the CPF concluded that the CPF formulation process was not inclusive enough, and that more partners (including government ministries) could be involved in the formulation of CPFs in order to broaden the analysis and the diversity of perspectives.</p> <p>Assumptions are required in interventions' results frameworks. However, they are not detailed at the level of impact, where one might expect most sustainability assumptions to reside. Insofar as critical assumptions are identified as "risks", they may also be included in the risk management matrix and monitored. However, there is no specific requirement to monitor critical assumptions relating to sustainability.</p> <p>All Terminal Reports are required to include an assessment of the extent to which there is evidence for sustainability of results, taking account of cross-cutting issues such as gender, environment and capacity development.</p> <p>This review did not gather evidence that supports a judgement about the approach to policy and legislative reform (element 6).</p>	<p>7, 10, 13, 19, 22, 28, 42, 47, 54, 94, 97</p>
<b>MI 5.2 Evidence confidence</b>	<b>High confidence</b>

<b>MI 5.7: Institutional procedures (including systems for engaging staff, procuring project inputs, disbursing payment, logistical arrangements etc.) positively support speed of implementation</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>2</b>
Element 1: Internal standards are set to track the speed of implementation	2
Element 2: Organisation benchmarks (internally and externally) its performance on speed of implementation across different operating contexts	2
Element 3: Evidence that procedural delays have not hindered speed of implementation across interventions reviewed	2
Element 4: Evidence that any common institutional bottlenecks in speed of implementation identified and actions taken leading to an improvement	2
<b>MI 5.7 Analysis</b>	<b>Source document</b>
<p>FAO's Shared Services Centre (SSC) has systems in place to measure its work performance for those administrative support services it provides. Service Level Agreements have been established for all its processes to measure the performance for each area of work. The SSC is responsible for administrative support covering aspects of human resource management (e.g. on-boarding new recruits), finance (e.g. invoice processing), travel (e.g. dealing with requests for travel authorisations), payroll and customer care (e.g. answering queries about any supported services). The SSC aims to complete at least 90% of all transactions within the number of business days specified in its service catalogue.</p> <p>FAO does track the speed of several key business processes managed by the Shared Services Centre (SSC) -predominantly HR, allowance claims and supplier management, though these relate to the SSC's performance, measuring "processing" time, rather than "elapsed" (actual) time. The timeframe experienced by partners "on the ground" in their dealings with FAO is not included. Where efficiency is examined in corporate performance reports, the focus is on headcount and unit cost reductions with little information about process efficiencies.</p> <p>SSC's internal administrative support services are applied consistently across all regions and locations. SSC benchmarks service standards for its administrative functions externally (with WHO and UNICEF). As mentioned above, these relate to SSC's processing times, which differ from timeframes that may be experienced by partners on the ground. FAO's internal controls questionnaire addresses aspects of implementation and efficient delivery but the emphasis is on compliance with internal rules rather than external performance standards.</p> <p>There is strong evidence that aspects of elements of FAO's operating procedures need addressing to enhance speed of implementation. For example, despite recent improvements (noted in FAO's Human Resources Management Report, March 2017), staff recruitment still appears at times to be subject to extensive delays. Feedback from FAO staff suggests it can take more than 6 months to recruit an international member of staff, while the process for hiring consultants can face similar problems. All recruitment of staff through the regular budget and all project staff above P4 requires approval by FAO's Director General (recruitment of project staff at P4 or below can be approved by the Deputy Director General).</p>	2, 6, 13, 37, 48, 68, 70, 78, 80, 87, 94

There is also evidence from Internal Audit that project implementation issues resulting in slow delivery and regular no-cost extensions reflect an underlying lack of operational capacity and project management skills in Country Offices, a lack of corporate guidelines on project implementation and under-resourcing of the project cycle management unit in HQ. FAO is implementing a number of initiatives to address these issues.

The assessment also found evidence suggesting that internal operating procedures at times add excessively to the time it takes to negotiate and finalise a partnership agreement (up to eight-nine months in some cases), which makes it difficult for FAO to respond quickly to new opportunities with partners.

Results from the survey of FAO partners are broadly consistent with these findings. While around 60% of respondents (who expressed an opinion) rated FAO's alignment of organisational procedures with partners as "excellent" or "very good", only around half rated FAO "excellent"; or "very good" when asked whether organisational procedures avoided delays in implementation. Indeed, across the whole survey, this question prompted the highest proportion of "very poor" or "extremely poor" responses (8%).

However, FAO is able to respond quickly to emergency situations, with FAO's fast track procedures enabling payments for emergency response projects to be made quickly and easily.

Monitoring processes have been simplified and streamlined since 2013 following the deployment of the Global Resources Management System (GRMS), which connected for the first time all FAO offices worldwide. The GRMS provides for standardisation and automation of transaction processing and has led to a major reduction of manual inputs and monitoring effort. In turn, this has led to a reduction in the number of required administrative positions, including a 50% reduction in the number of staff working in the Finance Department, though its impact on alleviating common bottlenecks is less clear.

Efficiencies and savings have also been reported in the area of procurement. For example, the implementation of a new electronic procurement planning tool allows procurement needs at headquarters to be consolidated, reducing transaction costs and making it easier for bidders to identify, respond and monitor procurement opportunities. However, there are still challenges in FAO's procurement function, particularly a lack of capacity at the country office level. Improvements to corporate information systems are providing country offices with an enhanced, more sophisticated IT systems, but these are also more demanding. There is a risk of shifting admin burden from back office to front-line, which presents a particular challenge for smaller offices.

FAO has initiatives underway to strengthen project cycle management and enhance project implementation capacity in Country offices.

According to FAO's Human Resources Management report (March 2017), reforms to internal processes for staff recruitment, including the creation of decentralised Professional Staff Selection Committee (PSSCs) have led to a reduction in overall recruitment time of almost 70%, from one year to four months. While acknowledging there have gains made, feedback from FAO staff suggests that there is still a way to go and that the time it takes to recruit staff has an impact on the ability for FAO to deliver its mandate and respond to changes in the context.

2, 6, 13, 37, 48, 68, 70,  
78, 80, 87, 94

#### MI 5.2 Evidence confidence

High confidence

<b>KPI 6: Works in coherent partnerships directed at leveraging and/or ensuring relevance and catalytic use of resources</b>	<b>KPI score</b>
<b>Highly satisfactory</b>	<b>3.19</b>
<p>FAO has a clear understanding of its comparative advantage in supporting countries and development partners to promote sustainable agriculture. There is also evidence that FAO considers the specific contribution it is best placed to make for each different type of partner it engages within the context of the partnership being established. For example, a strategy paper on collaboration between RBAs (2016) clearly articulates the comparative advantage of each RBA. Different procedures are applied for the formalisation of partnership agreements according to the nature of the partner itself.</p> <p>FAO participates in joint planning exercises, including the United Nations Development Assistance Framework (UNDAF). However, it is noted the CPF formulation process is not always inclusive enough, and that more partners could be involved in order to broaden the analysis and the diversity of perspectives.</p> <p>In recent years, efforts have been made to progressively increase the flexibility afforded to decentralised offices to manage available budgeted resources and improve cost-sharing arrangements. However, it is noted that operational bottlenecks and high administrative burden remains.</p> <p>There is limited evidence on the extent to which resources are used catalytically to stimulate wider change. However, it should be noted that the Report of the External Auditor (2015) did find that FAO's Technical Cooperation Programme (TCP) does have considerable impact despite its small size because it leverages the effect of the whole country programme through, for instance, demonstrative effect of pilot projects or stand-by support to the government needs.</p> <p>FAO appears committed to sharing information with partners on an ongoing basis as evidenced by the information shared on the website and this is increasingly being accessed. FAO also signed up to the International Aid Transparency Initiative (IATI) in April 2016 and one of the organisation's 7 Core Functions is to assemble, analyse, monitor and improve access to data and information, in areas related to FAO's mandate.</p> <p>FAO is also committed to conducting mutual assessments of progress. The Office of Evaluation recently introduced a mechanism to strengthen its engagement with the evaluation functions of national governments at all stages of country programme evaluations. FAO also engages in joint evaluations of projects and programmes with partners, with current efforts underpinned by commitments made in the agreed strategy for improved RBA collaboration (2016).</p>	
<b>MI 6.1: Planning, programming and approval procedures enable agility in partnerships when conditions change</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.6</b>
Element 1: Mechanisms in place to allow programmatic changes and adjustments when conditions change	3
Element 2: Mechanisms in place to allow the flexible use of programming funds as conditions change (budget revision or similar)	3
Element 3: Institutional procedures for revisions permit changes to be made at country/regional/HQ level within a limited timeframe (less than three months)	3
Element 4: Evidence that regular review points between partners support joint identification and interpretation of changes in conditions	2
Element 5: Evidence that any common institutional bottlenecks in procedures identified and action taken leading to an improvement	2

MI 6.1 Analysis	Source document
<p>FAO's country offices appear to have the appropriate authority to respond to changes in the context and adjust programming as required. Where there are changes in the country context and country priorities, the revised CPF guidelines make the revision process (which is led by the FAO Representative) relatively straightforward. However, there is also evidence that the current country office staffing models are not well aligned to countries' needs, with the very high share of resources dedicated to staff costs limiting FAO's ability to adjust quickly to emerging needs.</p> <p>There is evidence that FAO applies different procedures for the formalisation of partnership agreements according to the nature of the partner itself. For example, different procedures are adopted for formalising partnerships between FAO and the private sector as compared to, for example, FAO and Civil Society Organisations. In the case of FAO's engagement with the private sector, not all forms of collaboration require a formalised partnership agreement. The value of developing informal collaborations is recognised, though when collaboration becomes more structured or involves funding or other resources a formalised partnership agreement is generally put in place. Other available modalities include MoU's and Letters of Agreement.</p> <p>MOPAN partners survey found that just over half of respondents rated FAO as "excellent" or "very good" in terms of adapting interventions swiftly in response to changes in context. In relative terms, this result suggests this may be an area where FAO could improve, though it is noted that in many cases, requirements of the programme funder will also be an important factor determining flexibility of FAO's response.</p> <p>In recent years efforts have been made to progressively increase the flexibility afforded to decentralised offices to manage available budgeted resources and improve cost sharing arrangements. This includes streamlining procurement processes for decentralised offices and implementing a staffing and support structure that has the flexibility to adapt to changing organisational needs and the development funding environment. Country offices now, generally, have a greater delegation of authority (through the FAOR) than in previous years.</p> <p>Less than half of respondents in the MOPAN partners survey rated FAO as "excellent" or "very good" in terms of having sufficient flexibility with its financial resources. In relative terms, this result suggests an area where FAO could improve, though it is noted that in many cases, requirements of the programme funder will also be an important factor determining flexibility of FAO's response.</p> <p>The processes in place to support flexibility around planning and programming seem to be appropriate, including internal mechanisms such as the revised CPF guidelines. Concerns from country offices were typically related more to operational bottlenecks (in particular around staff recruitment) and high administrative burdens. While internal approval is required for a significant change in alignment of an intervention within the Strategic Framework, this is in principle straightforward to obtain and is unlikely to act as a disincentive to change the focus of an intervention where necessary.</p> <p>Results from the survey of FAO partners were mixed. Partners were strongly positive that FAO conducts mutual assessments of progress with partners – with 60% rating FAO as "excellent" or "very good" in this regard. But a little less than half of respondents rated FAO's performance "Excellent" or "Very good" in terms of the extent to which it uses regular review points for joint identification and interpretation of changes in the context – indicative of an area of relative weakness for the Organisation.</p> <p>It should be noted that all partnership agreements entered into by FAO are time bound, which means there are regular points where changes to the context are reflected upon and the partnership can reset.</p>	<p>10, 14, 15, 22, 43, 44, 75, 93, 97</p>



<p>In some cases, FAO has been proactive in addressing institutional bottlenecks in its internal procedures, such as through the greater delegations of authority granted to decentralise offices to promote greater responsiveness and flexibility around the management of budgets. Implementation of FAO's fast track procedures also enable it to respond quickly to emergency situations.</p> <p>However, bottlenecks elsewhere within FAO, including processes for staff recruitment, procurement and the negotiation and finalisation of partnership agreements, can also affect agility on the ground.</p>	10, 14, 15, 22, 43, 44, 75, 93, 97
<b>MI 6.1 Evidence confidence</b>	<b>Medium confidence</b>
<b>MI 6.2: Partnerships based on an explicit statement of comparative advantage e.g. technical knowledge, convening power/partnerships, policy dialogue/advocacy</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.75</b>
Element 1: Corporate documentation contains clear and explicit statement on the comparative advantage that the organisation is intending to bring to a given partnership	4
Element 2: Statement of comparative advantage is linked to clear evidence of organisational capacities and competencies as it relates to the partnership	4
Element 3: The organisation aligns its resources/competencies to its perceived comparative advantage	3
Element 4: Evidence that comparative advantage is deployed in partnerships to positive effect	4
<b>MI 6.2 Analysis</b>	<b>Source document</b>
<p>FAO has a clear understanding of the characteristics that are unique to it as an organisation, and its comparative advantage in supporting countries and development partners to promote sustainable agriculture. The Reviewed Strategic Framework (2017) clearly identifies the attributes and characteristics of FAO that make it unique as an organisation. There is extensive analysis and articulation of FAO's core competencies and comparative advantage in the Reviewed Strategic Framework and associated web annex (2017), and explicit consideration of FAO's role, value-add and leverage as a normative body.</p> <p>The attributes that FAO considers to be unique to it as an organisation are outlined in the Reviewed Strategic Framework and include its mandate from member countries to work globally on all aspects of food and agriculture, food security and nutrition; its intergovernmental status and neutrality; and its extensive country-level presence.</p> <p>FAO has a clear comparative advantage in supporting countries and development partners to make food systems more nutrition and health focused because of: 1) its technical expertise; 2) its role as a neutral broker with various food systems and nutrition stakeholders; 3) its ability to capitalise on and share knowledge and experiences across countries and regions; 4) its presence in countries, its partnership with regional organisations and its role and participation in various global fora; and v) its role in advocacy and the promotion of inclusive dialogue and partnerships across a broad spectrum of stakeholders.</p> <p>Results from the survey of FAO partners were very positive in terms of the extent to which FAO's interventions are based on a clear understanding of its comparative advantage within a particular intervention, with 68% of respondents believing that FAO is "Excellent" or "Very good" in this regard.</p> <p>While FAO has a core set of attributes that are unique to it as an organisation, there is evidence that FAO will consider the specific contribution it is best placed to make for each different type of partner it engages with, in the context in which the partnership is being established.</p>	7, 9, 10, 14, 15, 18, 24, 28, 42, 43, 44, 54, 79, 93, 94, 98

<p>For example, in FAO's "Strategy for Partnerships with the Private Sector" it is noted that the role of FAO in a partnership should be determined by the nature and relevance of inputs and services to be provided, and could be either that of a leader, facilitator or participant. Similarly, it is stated that partnerships with both the private sector and CSO's should recognise; 1) FAO's capacity to provide a neutral forum for discussion to help improve the decision-making capacity of member states; and 2) the organisation's evidence-based knowledge work and its dissemination.</p> <p>Similarly, in terms of facilitating South-South Co-operation FAO's comparative advantages are noted as being its capacity to provide a framework for co-operation, the provision of technical quality assurance, and its broad in-country presence (which enables FAO to support the operational, logistical and technical aspects of the co-operation).</p> <p>FAO's Strategic Framework and its clearly defined Strategic Objectives (and the accompanying results framework) ensures that resources are allocated to areas that are aligned with FAO's comparative advantage.</p> <p>FAO produces an annual progress report on the implementation of partnerships with the private sector and civil society organisations, which includes detailed information about contributions to the achievement of FAO's Strategic Objectives. For example, in terms of FAO's partnerships with the private sector, the focus has been on supporting the private sector's contribution to FAO's work through providing access to new technologies, technical capacities, and political support in the fight against hunger.</p>	7, 9, 10, 14, 15, 18, 24, 28, 42, 43, 44, 54, 79, 93, 94, 98
<b>MI 6.2 Evidence confidence</b>	<b>High confidence</b>
<b>MI 6.3: Clear adherence to the commitment in the Busan Partnership for Effective Development Cooperation on use of country systems</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.83</b>
Element 1: Clear statement on set of expectations for how the organisation will seek to deliver on the Busan commitment/QCPR statement (as appropriate) on use of country systems within a given time period	4
Element 2: Internal processes (in collaboration with partners) to diagnose the condition of country systems	3
Element 3: Clear procedures for how organisation to respond to address (with partners) concerns identified in country systems	3
Element 4: Reasons for non-use of country systems clearly and transparently communicated	3
Element 5: Internal structures and incentives supportive of greater use of country systems	3
Element 6: Monitoring of the organisation trend on use of country systems and the associated scale of investments being made in strengthening country systems	1

MI 6.3 Analysis	Source document
<p>FAO delivers much of its support in the form of technical assistance, so the need to use country systems is relatively limited. That said, in FAO’s Project Appraisal Checklist, reviewers are required to assess whether the proposed project uses national systems, organisations and procedures as much as possible. Similarly, in terms of South-South Co-operation, the extent to which the proposed co-operation makes use of developing country systems also forms part of the quality review process/ checklist.</p> <p>The MOPAN partners survey indicated reasonable satisfaction with FAO’s use of country systems – with a little over half of respondents who expressed an opinion rating FAO “excellent” or “very good” in this regard. However, this question was noteworthy for the high proportion of respondents who did not know/have an opinion (30%).</p> <p>The process of designing and formulating a new project includes consideration of the condition of country systems (where this is applicable). The extent to which this is done in collaboration with partners is unclear. A high proportion of survey respondents (30%) didn’t know, or had no opinion, regarding the extent to which FAO channels financial resources through country systems, suggesting that a relatively high proportion are not involved in these processes.</p> <p>Results from the survey of FAO partners were reasonably positive in terms of the extent to which FAO takes action to build capacity in country systems in where country systems are not yet up to the required standard. Approximately 54% of survey respondents believe that FAO’s performance in this area is either “Excellent” or “Very Good”.</p> <p>Noting that FAO delivers much of its support in the form of technical assistance, the need to use country systems is relatively limited. Where it does apply, FAO’s Project Appraisal Checklist ensures that the proposed project uses national systems, organisations and procedures and promotes further investigation where this is not the case.</p> <p>FAO’s Project Appraisal Checklist ensures that the proposed project uses national systems, organisations and procedures where appropriate.</p> <p>There is no evidence that monitoring of the organisation’s trend on use of country systems occurs, is reported on systematically.</p>	28, 98
<b>MI 6.3 Evidence confidence</b>	<b>Medium confidence</b>
<b>MI 6.4: Strategies or designs identify synergies, to encourage leverage/catalytic use of resources and avoid fragmentation</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3</b>
Element 1: Strategies or designs clearly recognise the importance of synergies and leverage	4
Element 2: Strategies or designs contain clear statements of how duplication/fragmentation will be avoided based on realistic assessment of comparative advantages	3
Element 3: Strategies or designs contain clear statement of where an intervention will add the most value to a wider change	3
Element 4: Strategies or designs contain a clear statement of how leverage will be ensured	3
Element 5: Strategies or designs contain a clear statement of how resources will be used catalytically to stimulate wider change	2

MI 6.4 Analysis	Source document
<p>Strengthening the collaboration of Rome-Based-Agencies (RBAs) (FAO, WFP, IFAD) is considered critical to achieving the 2030 Agenda for Sustainable Development. Noting that the RBAs offer a vast range of knowledge, financial and technical expertise that is applicable to different elements of the 2030 Agenda, member countries requested the RBAs develop a joint paper to outline areas of proposed collaboration. The strategy paper was completed in late 2016 and proposes four pillars for collaboration: 1) working together at the country and regional levels; 2) co-operating at the global level; 3) collaborating on thematic knowledge; and 4) joint corporate services.</p> <p>At the country level, identifying synergies with other partners and actors is central to the development of FAO's CPFs. The extent to which a draft CPF demonstrates synergies with other partners, including development and non-state actors, in achieving the CPF results, forms part of the quality review checklist which must be completed before a CPF is approved. Just over 60% of respondents to the MOPAN partners survey rated FAO as excellent or very good in prioritising working in synergy/ partnerships as part of its business practice.</p> <p>In relation to Element 2, strategies do contain statements of comparative advantage, although institutional arrangements are not always conducive to building synergies across regions and countries within FAO itself. A strategy paper on collaboration between RBAs (2016) towards achieving the goals of the 2030 Agenda notes that collaboration should be based on each agencies' respective mandates, related comparative advantages and distinctive strengths. The paper clearly articulates the comparative advantage of each RBA.</p> <p>Similarly, at the country level, discussions with key stakeholders include agreeing priority areas for FAO support, ensuring that FAO focuses its interventions and contributions in areas based on its comparative advantage, and limiting prospects for duplication. One of the criteria for agreeing priorities deals with the Position to Act, where an assessment is made of "who is doing what" and identifying FAO's value add to the work of other development partners who are present and active in the country. Results from the survey of FAO partners were positive in terms of the extent to which FAO co-operates with other development or humanitarian partners to avoid fragmentation, with 57% selecting that FAO's performance in this area is "Excellent" or "Very good".</p> <p>However, FAO's Programme Evaluation Report (2017) identified that over the period 2015-16, institutional arrangements were not always conducive to building synergies and complementarities across regions and countries within FAO itself. For example, the Report notes that insufficient attention was given to knowledge management, which would have facilitated improved sharing of knowledge and experience across FAO's global office network.</p> <p>The strategy paper on collaboration between RBAs (2016) outlines the current and ongoing priorities for collaboration, including country-level implementation of the 2030 Agenda, nutrition, resilience, data and statistics, and joint technical support to the Committee on World Food Security (CFS). It is noted this should lead to a clear and mutually recognised benefit in terms of results. It also highlights that because each RBA has its own constituency of partners and distinct and complementary networks, strengthened collaboration means there are opportunities for each agency to leverage resources, knowledge, financing and implementation support from other development stakeholders.</p>	<p>13, 22, 24, 33, 42, 54, 68, 79, 90</p>

There is limited evidence on the extent to which resources are used catalytically to stimulate wider change. However, it should be noted that the Report of the External Auditor (2015) did find that FAO's Technical Cooperation Programme (TCP) (which was created to enable FAO to make its technical expertise available to member countries upon request) does have considerable impact despite its small size because it leverages the effect of the whole country programme through, for instance, demonstrative effect of pilot projects or stand-by support to the government needs.	13, 22, 24, 33, 42, 54, 68, 79, 90
<b>MI 5.2 Evidence confidence</b>	<b>High confidence</b>
<b>MI 6.5: Key business practices (planning, design, implementation, monitoring and reporting) co-ordinated with other relevant partners (donors, UN agencies, etc.)</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.33</b>
Element 1: Evidence that the organisation has participated in joint planning exercises, such as the UNDAF	4
Element 2: Evidence that the organisation has aligned its programme activities with joint planning instruments, such as UNDAF	3
Element 3: Evidence that the organisation has participated in opportunities for joint programming where these exist	3
Element 4: Evidence that the organisation has participated in joint monitoring and reporting processes with key partners (donor, UN, etc.)	4
Element 5: Evidence of the identification of shared information gaps with partners and strategies developed to address these	3
Element 6: Evidence of participation in the joint planning, management and delivery of evaluation activities	3
<b>MI 6.5 Analysis</b>	<b>Source document</b>
<p>There is strong evidence that FAO participates in joint planning exercises, including the United Nations Development Assistance Framework (UNDAF). FAO's "Guide to the formulation of the Country Programming Framework" notes that because the CPF reflects FAO's contribution to UN country-led processes it should be aligned to the UNDAF or its equivalent. A selection of regional strategies also indicate that Regional Offices actively collaborate with UN partners on a range of common strategic issues, and that they provide guidance to UN Country Teams regarding the UNDAFs.</p> <p>However, a synthesis of lessons learned in the application of the CPF concluded that the CPF formulation process was not inclusive enough, and that more partners could be involved in the formulation of CPFs in order to broaden the analysis and the diversity of perspectives.</p> <p>During the preparation of each Country Programming Framework (CPF), there is a corporate requirement to align each output indicator with the relevant UNDAF (or equivalent) objective and outcome.</p> <p>FAO's Programme Evaluation Report (2017) found that FAO programmes were highly relevant to the countries' needs in about half of the evaluations completed through 2015-16. It also found that FAO programmes were well aligned with national priorities and needs as identified in national policy documents and plans, and broadly aligned to UNDAF strategies.</p>	6, 13, 22, 23, 24, 25, 27, 42, 54, 75, 79, 83, 90, 97, 105, 106

There is considerable evidence that FAO participates in joint programming. For example:

- FAO is part of “The UN Joint Programme on the Economic Empowerment of Rural Women”, which aims to reach over 75,000 rural women in 7 countries and which is being delivered as a joint effort between FAO, IFAD, UN Women and WFP.
- In Bangladesh, FAO, UNICEF and WHO developed a strategic framework for operationalising One Health approaches for prevention and control of high impact diseases, jointly supporting pilot projects, workshops and collaborative efforts.
- In Kenya, FAO supported nutrition-sensitive agriculture and food safety components in the UNICEF complementary feeding guide.
- In South Sudan, FAO introduced new approaches piloting nutrition voucher schemes, partnering with IOM, UNICEF and WFP to deliver rapid response kits.

FAO’s Programme Evaluation Report (2017) noted that FAO’s collaboration with other agencies in humanitarian crises, particularly with WFP and UNICEF, was effective, however it also identified some specific instances where FAO missed opportunities to engage in joint programming over the 2015-16 period (e.g. in Burkina Faso, the Kingdom of Saudi Arabia and Mali).

While there are plenty of positive examples with respect to collaboration and joint programming, there is also scope for this to be stronger. For example, feedback from interviews with FAO staff indicate that a lack of resources is a disincentive to collaboration. Similarly, FAO and counterpart agencies have different internal processes and procedures for establishing new projects, and the transaction costs for negotiating and agreeing on a new arrangement are high. A common framework (administration, procurement, recruitment) would avoid months of negotiations.

Among those respondents, who expressed an opinion, a high proportion (62%) rated FAO as excellent or very good in terms of working well on shared agendas with WFP and IFAD. That said, nearly one quarter of partners interviewed responded “don’t know” to this question.

A strategy paper on RBA collaboration (2016) notes that collaboration on results-based monitoring and consideration of lessons learned is likely leading to greater effectiveness of program delivery. A progress report on RBA collaboration (2017) noted that the RBAs are increasingly participating in each agency’s consultation and mid-term review of their respective country plans and are in the process of jointly defining common results frameworks for selected areas of collaboration and partnership.

A progress report on RBA collaboration (2017) noted collaboration between FAO and IFAD on a Capacity Development Initiative (ten projects across eight countries), which included looking at ways to improve project planning and monitoring and evaluation.

FAO regularly engages in joint evaluations with partners, with current efforts being driven by the formalisation of the strategy for RBA collaboration (2016). This includes a joint evaluation of the “Sustainable Community Based Management and Conservation of Mangrove Ecosystems” project in Cameroon, which is due to be published in 2018. Other examples include a joint evaluation of FAO’s and IFAD’s engagement in pastoral development (2016), and a joint evaluation of the ‘Renewed Efforts against Child Hunger and Undernutrition (REACH) project (2015) (FAO, WFP, WHO and UNICEF).

Results from the survey of FAO partners were positive in terms of the extent to which FAO participates in joint evaluations, with 61 per cent of survey respondents stating that FAO’s performance in this area was “Excellent” or “Very good”.

6, 13, 22, 23, 24, 25,  
27, 42, 54, 75, 79, 83,  
90, 97, 105, 106

#### MI 5.2 Evidence confidence

High confidence

<b>MI 6.6: Key information (analysis, budgeting, management, results etc.) shared with strategic/ implementation partners on an ongoing basis</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.4</b>
Element 1: Information on the organisation's website is easily accessible and current	4
Element 2: The organisation has signed up to the International Aid Transparency Initiative or reports through the OECD-DAC systems	4
Element 3: Accurate information is available on analysis, budgeting, management and is in line with IATI or OECD-DAC (CRS) guidelines	4
Element 4: Evidence that partner queries on analysis, budgeting, management and results are responded to in a timely fashion	3
Element 5: Evidence that information shared is accurate and of good quality	2
<b>MI 6.6 Analysis</b>	<b>Source document</b>
<p>Key information (finance, budget, management, results) is accessible on FAO's website and is generally up-to-date.</p> <p>A focus on improving transparency at the organisation level in recent years is noted in the FAO Director-General's Foreword to the Medium-Term Plan 2018-21.</p> <p>FAO signed up to the International Aid Transparency Initiative (IATI) in April 2016, and began publishing data on projects and programmes from April 2017. It continues to do so on a quarterly basis.</p> <p>As seen on the IATI website, FAO has uploaded information on expenditure across "all years" including by project, by country and by sector. The data comprises all FAO projects funded by voluntary and assessed contributions, detailing nearly USD 2 billion of FAO's spending.</p> <p>Although not perceived as FAO's strongest area of performance, results from the MOPAN partner survey were generally positive, with a little over half of respondents rating FAO as excellent or very good in sharing key information with partners. Nevertheless, nearly 20% of respondents who expressed an opinion rated FAO poor in this regard.</p> <p>Similar proportions rated FAO as excellent or very good in terms of openly communicating criteria for allocating finances (transparency) and providing reliable information on spending plans (predictability): 53% and 55% respectively. Though again, with around 15% of respondents rating FAO poor in these respects, this appears to be an area that could be strengthened.</p> <p>One of FAO's 7 Core Functions is to assemble, analyse, monitor and improve access to data and information, in areas related to FAO's mandate. The evidence suggests that information made publicly available by FAO is increasingly being accessed. For example, FAO's Mid-Term Review Synthesis Report (2016) highlighted that actual user visits to the FAO.org Web site had reached 8.9 million per month (biennial target 7 million) and the level of media presence had reached 20,700 hits per month (biennial target 14,000).</p> <p>A survey of FAO member countries, completed as part of an evaluation of FAO's contribution to knowledge on food and agriculture (2015), concluded that FAO knowledge products and services (including databases and publications) are widely recognised for their technical excellence. For example, expert assessments of a sample of 472 publications gave a satisfactory score (4.3 out of 6) to the technical quality of the publications.</p>	6, 7, 13, 18, 54, 59, 90, 104
<b>MI 5.2 Evidence confidence</b>	<b>High confidence</b>

<b>MI 6.7: Clear standards and procedures for accountability to beneficiaries implemented</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3</b>
Element 1: Explicit statement available on standards and procedures for accountability to beneficiary populations e.g. Accountability to Affected Populations	4
Element 2: Guidance for staff is available on the implementation of the procedures for accountability to beneficiaries	4
Element 3: Training has been conducted on the implementation of procedures for accountability to beneficiaries	2
Element 4: Programming tools explicitly contain the requirement to implement procedures for accountability to beneficiaries	3
Element 5: Approval mechanisms explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries will be addressed within the intervention	3
Element 6: Monitoring and evaluation procedures explicitly include the requirement to assess the extent to which procedures for accountability to beneficiaries have been addressed within the intervention	2
<b>MI 6.7 Analysis</b>	<b>Source document</b>
<p>FAO has a publicly available guidance note on Accountability to Affected Populations (AAP). The document clearly states that AAP is applicable to all of FAO's programmes, whether humanitarian or development. There is also a clear definition of what AAP means for FAO, which is "an active commitment by actors and organisations to use power responsibly by taking account of, giving account to, and being held to account by, the people they seek to assist".</p> <p>The guidance note also discusses the various measures FAO will adopt to ensure accountability to affected populations, including:</p> <ul style="list-style-type: none"> <li>• Strengthening leadership and governance to embed good practice within the organisation's management structures.</li> <li>• Greater and more routine transparency, two-way communication, and information provision for affected communities.</li> <li>• Offer means for communities to provide feedback on programmes and to submit complaints, and to ensure that they receive a timely response.</li> <li>• Enable fair and representative participation of all sections of affected populations, including the most vulnerable and marginalised.</li> <li>• Mainstream AAP into needs assessment, design, monitoring, and evaluation activities, ensuring an appropriate focus on AAP, participation in processes and continuous learning and improvement.</li> <li>• Prevent sexual exploitation and abuse (SEA) by FAO personnel and implementing partners and put in place adequate response mechanisms.</li> <li>• Collaborate with peers and partners to deliver on AAP commitments in a co-ordinated and coherent way.</li> </ul> <p>The guidance note makes it clear that FAO personnel will ultimately be held accountable for the results of their actions.</p>	34, 46, 47



In addition to the AAP, FAO has also published Environmental and Social Management Guidelines, which have been integrated into the project cycle. The guidelines aim to promote improved environmental and social performance of FAO's projects and programmes.

FAO's statement on Accountability for Affected Populations is accompanied by a guidance note, which outlines what FAO's commitments mean in practice and builds an understanding of what practically can be done. The guidance note includes a checklist to support staff on how to integrate AAP into programming. Guidelines are also in place in terms of how to manage grievances with respect to FAO's Environmental and Social Management Guidelines.

Training on FAO's "Preventing Sexual Exploitation and Abuse" policy and procedures has been delivered to field staff through the Ethics Office, which has included sessions on AAP. Furthermore, an FAO AAP focal point network was established covering key country offices, regional offices and two sub-regional offices, and training was held for the focal points in FAO Headquarters in 2018. Specific field-level requests for support are also met, for example FAO facilitated a training to the Burundi food security sector group to support inclusion of AAP in the Humanitarian Response Plan. This was followed by a broader Training-of-Trainers for FAO staff of key Level three/large-scale emergencies (including a regional office and HQ staff) in which a training methodology was established, accompanied by related materials and a toolkit for the implementation of AAP.

Despite the recent progress, there is still scope for training in AAP to be conducted more widely across the organisation, with several FAO staff suggesting that not enough resources had been dedicated to this to date.

Accompanying FAO's Environmental and Social Management Guidelines is a Grievance Handling Mechanism, which includes guidelines for the management of potential grievances/ complaints relating to environmental and social aspects of FAO projects. Grievances are investigated at the country office level, but where they are unable to be resolved, they are managed at HQ by the Office of the Inspector General.

Stakeholder consultation, including with direct and indirect beneficiaries, is built in to FAO's project cycle (project identification and project formulation phases) and forms part of the quality assurance criteria before a project can be approved.

FAO's Project Terminal Reports require an assessment to be made of the number of beneficiaries reached through the intervention, and for an explanation to be provided for any major differences between planned and actual beneficiaries.

Within Emergency and Rehabilitation Division, FAO is refining its monitoring and evaluation strategy to incorporate accountability and learning (MEAL). This is foreseen to include indicators on accountability, and improved feedback opportunities for communities in monitoring activities. In some decentralised offices (for example, West Bank, Gaza Strip, and Somalia), accountability is already streamlined within monitoring and evaluation systems.

34, 46, 47

**MI 6.7 Evidence confidence****Medium confidence**

<b>MI 6.8: Participation with national and other partners in mutual assessments of progress in implementing agreed commitments</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.6</b>
Element 1: Evidence of participation in joint performance reviews of interventions e.g. joint assessments	4
Element 2: Evidence of participation in multi-stakeholder dialogue around joint sectoral or normative commitments	4
Element 3: Evidence of engagement in the production of joint progress statements in the implementation of commitments e.g. joint assessment reports	3
Element 4: Documentation arising from mutual progress assessments contains clear statement of the organisation's contribution, agreed by all partners	4
Element 5: Surveys or other methods applied to assess partner perception of progress	3
<b>MI 6.8 Analysis</b>	<b>Source document</b>
<p>The Office of Evaluation recently introduced a mechanism to strengthen its engagement with the evaluation functions of national governments at all stages of country programme evaluations. The purpose of this was to ensure that FAO programmes contribute effectively to national priorities and needs, as well as relevant national policy goals, and to support evaluation capacity development within partner governments.</p> <p>FAO also engages in joint evaluations of projects and programmes with partners, with current efforts underpinned by commitments made in the agreed strategy for improved RBA collaboration (2016).</p> <p>Results from the survey of FAO partners were highly positive in terms of the extent to which FAO participates in mutual assessments of progress of its interventions. Approximately 60% of survey respondents stated that FAO is either "Excellent" or "Very good" in this regard.</p> <p>FAO's Strategic Framework is strongly aligned with wider normative frameworks including the Sustainable Development Goals (SDGs), the World Humanitarian Summit and the Grand Bargain, and FAO is heavily involved in ongoing discussion and dialogue with other key stakeholders on these commitments.</p> <p>FAO engages in joint evaluations of projects and programmes with partners, with current efforts underpinned by commitments made in the agreed strategy for improved RBA collaboration (2016).</p> <p>There are several examples of joint evaluative and/or mutual progress assessments that include clear statements of the contribution of each partner. For example, a joint evaluation of FAO's and IFAD's engagement in pastoral development (2016) includes a joint analysis of FAO and IFAD interventions on the ground, and makes recommendations that are relevant to both IFAD and FAO (with each agency then including its own management response).</p> <p>FAO's conducts surveys at the country level as part of its "Corporate Outcome Assessment" process. Results from the survey then feed in to FAO's biennial Programme Implementation Report. The information is used to assess FAO's perceived contribution to changes at country level, and to identify gaps and areas for improvement to help make FAO's work more relevant for the specific country situations.</p>	13, 54, 79, 90
<b>MI 6.8 Evidence confidence</b>	<b>Medium confidence</b>

<b>MI 6.9: Deployment of knowledge base to support programming adjustments, policy dialogue and/or advocacy</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.17</b>
Element 1: Statement in corporate documentation explicitly recognises the organisation's role in knowledge production	4
Element 2: Evidence of knowledge products produced and utilised by partners to inform action	4
Element 3: Knowledge products generated and applied to inform advocacy at country, regional or global level	2
Element 4: Evidence that knowledge products generated are timely/perceived as timely by partners	3
Element 5: Evidence that knowledge products are perceived as high quality by partners	3
Element 6: Evidence that knowledge products are produced in a format that supports their utility to partners	3
<b>MI 6.9 Analysis</b>	<b>Source document</b>
<p>FAO's Reviewed Strategic Framework, and is reflected in both its Medium-Term Plan (MTP) and Programme of Work and Budget. The relevant core function states that to achieve results, FAO will "advise and support activities that assemble, disseminate and improve the uptake of knowledge, technologies and good practices in the areas of FAO's mandate".</p> <p>FAO's Vision for knowledge is captured within its Knowledge Strategy (2011), and states, "FAO will facilitate the access to and exchange of knowledge, as well as its generation, in the domain of agriculture and food security. It will assist its members in generating, accessing and utilising knowledge in food and agriculture, as well as any other knowledge that relates to it, required to address members' individual and collective development and food security goals".</p> <p>That said, much of the data collected by FAO is kept in-house and not published. Under the Office of the Chief Statistician, FAO is looking to develop its approach to open data going forward.</p> <p>FAO produces several flagship publications including "The State of Food and Agriculture", "The State of World Fisheries and Aquaculture", "The State of Worlds Forest" and "The State of Agricultural Commodity Markets". There is strong evidence that these products are widely read and used to inform action. For example, the Mid-Term Review Synthesis Report (2016) noted that "The State of Food and Agriculture - Climate change, agriculture, and food security" was accessed over 20,000 times in the first ten days following its release, with over 1,000 news stories published by media worldwide. FAO's Programme Evaluation Report (2017) also concluded that the online FAOSTAT database, the publication "State of Food and Agriculture" and the Global Forum on Food Security and Nutrition have been extensively accessed, heavily cited in peer-reviewed publications, and referenced online. This is consistent with the 2016-17 PIR, which reported that user visits to the FAO.org Web site averaged 8.1 million per month over the biennium, exceeding the target of 7 million, and that FAO staff had published over 600 articles in journals indexed by the Web of Science and were cited 2,450 times.</p>	6, 7, 10, 13, 18, 20, 21, 39, 48, 54, 59, 90, 104

A survey conducted as part of the independent assessment of FAO's technical capacity (2017) found that FAO's flagship publications are widely read, with three-quarters of survey respondents indicating they would not have been able to achieve the results they had without them. FAO partners were extremely positive about the usefulness of FAO's knowledge products for their work, with 71% of survey respondents rating FAO as "Excellent" or "Very good" in this regard.

In 2017, FAO introduced an online-based users' feedback mechanism for major publications, with a view to being better positioned to understand and respond to the needs of its target audience.

FAO makes available a number of knowledge products and services to national governments, the research and academic community, international organisations and other development actors, in line with its mandate as a knowledge organisation. The information is used to support evidence-based decision making.

However, an evaluation of FAO's contribution to knowledge on food and agriculture (Sep 2015) found there was limited understanding of how FAO's knowledge products have translated into better analyses and an improved evidence base for policies or programmes. The evaluation found that only one quarter of staff (who responded to the evaluation survey) regularly gathered feedback from users, and fewer still document the processes or factors that influence results at the organisational or policy level.

The evaluation also identified issues regarding the extent to which intended users/recipients of FAO knowledge products were aware of their existence. For example, approximately one third of the country-level clients surveyed for the evaluation were often not aware of relevant FAO knowledge products and services, despite being identified as "core users".

Partners generally perceive FAO's knowledge products as timely. For example, the evaluation of FAO's contribution to knowledge on food and agriculture (Sep 2015) found that more than 75% of database users surveyed had a very favourable opinion of every quality criteria proposed, including punctuality, timeliness, reliability and accuracy.

In 2017, FAO released a new Corporate Publishing Strategy, which aims to streamline FAO's publication process and improve the timeliness of production and dissemination of its products to cater to the evolving needs of its target audiences.

Under the Office of Chief Statistician, FAO is considering running a routine user satisfaction assessment for major statistical knowledge products.

There is strong evidence that FAO produces high quality knowledge products. For example, the independent assessment of FAO's technical capacity found that three-quarters of the users surveyed indicated that they would not have been able to achieve the same results without FAO publications. Similarly, when asked to reflect on the quality of FAO's inputs to policy dialogue, 52% of survey respondents indicated a view that these were either "Excellent" or "Very good".

Organisationally, FAO established the Office of the Chief Statistician in 2017 to co-ordinate and lead quality assurance of all FAO statistical products (almost 200 at present). This involves streamlining data collection and products where appropriate, particularly through data sharing agreements with other bodies that collect virtually the same data. This process is getting underway – currently an inventory of products has been produced and a rating (quality and relevance) and prioritisation exercise undertaken.

6, 7, 10, 13, 18, 20, 21,  
39, 48, 54, 59, 90, 104

<p>That said, there are still some issues around quality that could be improved. For example, the evaluation of FAO's contribution to knowledge on food and agriculture (2015) concluded that some knowledge products could be better tailored to the specific needs of their target audiences (including identifying where there is knowledge gaps). The evaluation also concluded there is inconsistent application of quality standards and procedures for FAO products, which poses a potential reputational risk to the organisation.</p> <p>Under the Office of Chief Statistician, FAO is considering running a routine user satisfaction assessment for major statistical knowledge products.</p> <p>The evaluation of FAO's contribution to knowledge on food and agriculture (Sep 2015) concluded that more could be done to ensure users' ease of access to FAO's knowledge products and services. It noted that most knowledge products and services are created with limited budgets and are underfunded with respect to user support and experience capitalisation.</p> <p>In response, FAO's ICT Division has improved access to the FAO website (including traditional web and mobile access) and has made updates to its website to improve ease of searching and visualisation.</p>	6, 7, 10, 13, 18, 20, 21, 39, 48, 54, 59, 90, 104
<b>MI 6.9 Evidence confidence</b>	<b>High confidence</b>

## PERFORMANCE MANAGEMENT

*Systems geared to managing and accounting for development and humanitarian results and the use of performance information, including evaluation and lesson learning*

<b>KPI 7: Strong and transparent results focus, explicitly geared to function</b>	<b>KPI score</b>
<b>Satisfactory</b>	<b>2.56</b>
<p>This KPI covers FAO's approach to performance management. The assessment examines the extent to which FAO senior leadership promotes a results-based approach throughout the organisation. The assessment looks at the quality of design of the system used to operationalised results-based management in FAO. The assessment then looks the experience of implementing the system and in particular the quality of the performance information generated. Finally, the review considers the extent to which FAO uses performance data to inform planning and management decisions.</p>	
<b>MI 7.1: Leadership ensures application of an organisation-wide RBM approach</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.33</b>
Element 1: Corporate commitment to a results culture is made clear in strategic planning documents	4
Element 2: Clear requirements/incentives in place for the use of an RBM approach in planning and programming	2
Element 3: Guidance for setting results targets and developing indicators is clear and accessible to all staff	2
Element 4: Tools and methods for measuring and managing results are available	2
Element 5: Adequate resources are allocated to the RBM system	2
Element 6: All relevant staff are trained in RBM approaches and methods	2

MI 7.1 Analysis	Source document
<p>There is strong evidence that FAO's commitment to results-based management approaches is genuine and is being more systematically applied to all FAO's work. The commitment is articulated in key strategic documentation including the Reviewed Strategic Framework and the Medium-Term Plan and the Corporate Results Framework, for FAO's Strategic Framework, is subject to on-going improvement efforts Senior management also demonstrate commitment to the approach, setting a clear tone and expectations from the top.</p> <p>Nevertheless, the organisation is still on the journey in terms of establishing a results culture. While there is no doubt that FAO is committed to results, the systems and approach to date have been stronger in terms of results-based "planning" – such as greater clarity about the objectives being pursued, greater alignment with corporate priorities, etc. a result-based management system is still work-in-progress. This point is addressed specifically under relevant MIs/elements discussed below.</p> <p>There are clear requirements/incentives for responding to the corporate-level Strategic Framework (SF). Centrally, Strategic Programmes have an important level of control over the allocation of resources, requiring Technical Departments to work through the SF rather than separately. At the country level, Country Programming Frameworks must specify the corporate outputs to which they contribute. Improved planning systems have also recently enhanced visibility of country programmes' alignment with SF priorities across the organisation.</p> <p>There are certainly upfront incentives (in the form of access to resources) to align plans with priority result areas for FAO. Incentives to apply RBM approaches once underway are less clear. It should be noted, however, that, while not universal nor without challenges, FAO staff generally view the shifts from sectoral-based to issue-based objectives, clearer alignment with the SDGs and more multidisciplinary working positively. Staff themselves generally see the value, and in that sense, FAO relies on the professional and personal motivation of staff and managers to advance the agenda. However, beyond this (including ad hoc recognition by individual managers), there are no explicit incentives in the staff appraisal system (e.g. performance related salary increases or bonus) to reward good behaviours in this regard.</p> <p>At a country level there also appears to be growing appreciation of how the SF and the associated support (for example, to assist programme planning and resource mobilisation) can help better articulate FAO's role, facilitate access to resources across the organisation and enable engagement with a broader range of partners. However, this is still very much a work-in-progress.</p> <p>FAO Representatives are responsible at country level to determine the most relevant results in their Country Programming Frameworks (CPFs) that contribute towards FAO's corporate targets. Guidance exists for the corporate work-planning exercise during which countries set their output targets for the Biennium. As per the guidelines, FAO Representatives identify the main expected results for 2018-19 and set their targets, building on their CPFs and taking into consideration regional initiatives and linkages to corporate outputs of existing projects.</p> <p>Previously, there have been issues with disconnects in the planning process between HQ, Regional Offices and Country Offices, presenting challenges for alignment of outputs and objectives along the system. The 2017 Annual Report of the Inspector General identified that a top-down approach to implementation of the Strategic Framework with insufficient consultation had meant that some Country Offices did not consider themselves full stakeholders in the Strategic Framework implementation process.</p>	<p>2, 10, 13, 16, 18, 68, 90, 97</p>

Improvements in the planning process introduced recently appear to have addressed these concerns to a large extent, though challenges are still experienced in the practical alignment of country-level results to FAO Strategic Objectives, given that the intended results of a particular field project may not be cast in 'corporate' terms and may span more than one Strategic Objective.

Guidance notes and training have been provided to regional and country offices and a CPF e-learning course has been developed to assist all FAO Representatives on the CPF formulation process, including how to formulate CPF indicator targets. In addition, example CPF outputs and indicator targets are being used by country offices to help prepare the CPF results matrix. Nevertheless, a recent synthesis of experience implementing Country Programming Frameworks found that there was insufficient guidance on results-based management at the country programme level (as opposed to on how to align with the Strategic Framework).

While FAO has made progress in establishing the tools and processes to align better its ambitions corporately, at a country level and with field projects/programmes, the approach to measuring and managing results is still work-in-progress with a number of important gaps.

Individual field-level projects and programmes have results frameworks that are typically agreed with the funders and, as such, are an important element in project governance. Nevertheless, corporately, FAO's monitoring is focused on physical and financial implementation, with little capture of results. Work is on-going to explore how data on project results can be included in the system and linked to the Strategic Framework. Similarly, completion (terminal) reports are completed for every project, which rate the extent of overall performance, but corporate level monitoring and management focuses currently on measures of process (i.e. timely completion of the terminal report) rather than the results. Indeed, terminal reports are not systematically reviewed/analysed as part of the RBM system.

At the country programme level, the recent synthesis of experiences found that country programmes often lacked an effective oversight mechanism to guide implementation of their Country Programme Frameworks based on performance and results. Measurement of outcomes at the country programme level appears variable. In terms of measuring their contribution to corporate outputs under the Strategic Frameworks, country programmes have guidance but it is perceived as complicated and unclear in some respects. Moreover, the value of corporate outputs for performance management at the country level appears limited.

On balance, available evidence suggests that FAO's RBM system could be better resourced.

Under FAO's organisation-wide Strategic Framework, each Strategic Programme has adopted the relevant SDGs as their highest objective level, though for many, means of measurement are still being developed. The outcomes for each Strategic Programme are measured every two years through a separate process co-ordinated by FAO's Chief Statistician. From interviews, however, it seems that outcome level results have little or no management value for Strategic Programmes. At the Output level, the system of mapping country activities to the Corporate Strategic Framework and annual reporting (coupled with the system of milestone planning used for field programmes) provides the Strategic Programmes with a useful oversight mechanism enabling them to identify how well implementation is progressing for key field programmes within their area.

FAO's normative work can be difficult to measure and monitor, and it is not well captured in regular monitoring systems. Where the requirements of a particular normative code or standard include regular reporting by countries, monitoring of uptake is easier but in other areas (such as voluntary codes), FAO has not developed systematic measurement approaches.

2, 10, 13, 16, 18, 68, 90, 97

<p>The assessment found mixed evidence regarding the adequacy of resources and capacity for RBM in FAO. As mentioned above, extensive guidance has been produced and training provided, particularly in the development of frameworks and indicators. However, also mentioned above, there seems to be a need and demand for greater support at the country level to ensure the RBM system is effectively implemented. Concerns were raised during the review about capacity at the Country Office level to meet effectively the range of corporate obligations and requirements (including RBM and reporting) – from both a lack of resources perspective in Offices with small field programmes, and a lack of “permanent” capability/continuity in the larger Offices (who rely on short-term consultants to fill the positions).</p> <p>The independent assessment of FAO’s technical capacity (2017) concluded there is a need for FAO to monitor the full range of FAO outputs, products, and services more effectively at all levels: global, regional and country. FAO’s Programme Implementation Report for 2014-15 also noted that more attention and effort is required to increase the capacity of countries to measure and analyse data in areas such as food security and nutrition and agriculture in rural areas.</p> <p>As indicated above, training has been provided to staff on the system. Nevertheless, in decentralised offices familiarity with RBM approaches is much less ingrained than at HQ. Training was provided previously with the introduction of the revised Strategic Framework (and shift to the five thematic Strategic Objectives) but training on RBM is not currently provided. Staff can, however, access an online course on RBM.</p>	<p>2, 10, 13, 16, 18, 68, 90, 97</p>
<b>MI 7.1 Evidence confidence</b>	<b>High confidence</b>
<b>MI 7.2: Corporate strategies, including country strategies, based on a sound RBM focus and logic</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.8</b>
Element 1: Organisation-wide plans and strategies include results frameworks	3
Element 2: Clear linkages exist between the different layers of the results framework, from project through to country and corporate level	1
Element 3: An annual report on performance is discussed with the governing bodies	4
Element 4: Corporate strategies are updated regularly	4
Element 5: The annual corporate reports show progress over time and note areas of strong performance as well as deviations between planned and actual results	2
<b>MI 7.2 Analysis</b>	<b>Source document</b>
<p>Organisation wide-plans and strategies generally include results frameworks.</p> <p>At a corporate level, FAO’s Results Framework comprises, FAO’s Vision, its three Global Goals, five Strategic Objectives, a sixth on technical quality, knowledge services and cross cutting issues, and a further four Functional Objectives. For FAO’s Strategic Objectives, relevant SDGs are presented as the highest measure of Objective achievement. Beneath these are Outcomes and Outputs. The levels are causally linked in a general sense only. The Objectives do not have an explicit theory of change that clarifies the relationship between levels. Nor did the assessment find any evidence of systematic analysis of relationship between Output and Outcome results, as a means of testing the underlying causal assumptions.</p>	<p>1, 6, 7, 10, 13, 16, 17, 18, 22, 54, 68, 85, 87, 90, 97</p>



This appears in part at least to be a product of the design of the Framework. Results are aggregated horizontally, at each level, generating much 'noise' between each level and rendering vertical causality largely unintelligible. A particular output in one country might be critical in moving the needle on the expected outcome, but the same output in another may be just one factor among many - the same two results, with very different effects.

At the country level results, the challenges are partly design-related, partly implementation:

- Country programmes are in principle linked to the Corporate Results Framework through the Country Programming Framework (CPF). However, the connection is relatively simplistic, in that field programmes identify the Output (or perhaps couple of Outputs) under a Strategic Objective to which their work largely relates, though the match may not be 1:1.
- Nevertheless, and despite clear guidelines around the development of a CPF and related interventions, FAO's Programme Evaluation Report (2017) found that a number of the country programmes evaluated were not well aligned with FAO's global goals. For example, the global goals of poverty reduction (Strategic Objective 3) and enhanced resilience (Strategic Objective 5) were less integrated at the country level.
- Moreover, a synthesis of lessons learnt in the application of the CPF found that a sample of CPFs and their results frameworks generally lack a theory of change that explains how the country programme would contribute to the national and organisational priorities. The same report, based on a selection of country programme evaluations (CPEs), found a lack of clearly delineated pathways between the CPF "outputs" and the stated CPF results. This is in line with the own review: the well-known gap between "developing capacity" and effective implementation was typically not addressed, nor was the issue of "scale", given that programme might only be working with a limited number of partners in part of the country, whereas country outcomes are typically national in scope.

FAO produces a biennial Programme Implementation Report (PIR) that reports on progress at the Strategic Objective and Outcome level. Progress on outputs is monitored annually and is reported in the Mid-Term Review Synthesis Report as well as the PIR. These reports are discussed on a regular basis (when available) with the governing bodies.

Key corporate strategies, including the Strategic Framework and the Medium-Term Plan, all appear to be reviewed and updated on a regular basis. The Strategic Framework is prepared for a period of 10-15 years but is comprehensively reviewed every four years based on an analysis of the current challenges facing food, agriculture and rural development. Similarly, while a Medium-Term Plan is in place for four years, it is reviewed every two years as part of developing the biennial Programme of Budget and Work (PWB). The PWB itself is subject to some rebasing at the mid-point.

The biennial Programme Implementation Report reports on progress towards key targets for the period at both the output and outcome level. At the mid-point FAO also reports performance at its output level through the Mid-Term Review Synthesis Report. Major achievements/areas of good performance are highlighted in both documents though the discussion of challenges is limited. Discussion about significant variations from plan (either positive or negative) is also limited in both documents, with limited reflections on implications for future work. As mentioned above, there is no analysis of the relationship between performance at different levels in the framework.

1, 6, 7, 10, 13, 16, 17,  
18, 22, 54, 68, 85, 87,  
90, 97

The performance reports (PIR and MTRSR) do not systematically examine performance results over time. Many outcomes are assessed on a rolling basis, based on respondents' views about the current status compared with a reference year. However, that is not the same as comparing actual results over time. It will important that FAO does this in the future, both to validate the subjective assessments collected at the Outcome level and to use the data to build a more informative picture of the trajectory and pace of change over time.	1, 6, 7, 10, 13, 16, 17, 18, 22, 54, 68, 85, 87, 90, 97
<b>MI 7.2 Evidence confidence</b>	<b>High confidence</b>
<b>MI 7.3: Results targets set based on a sound evidence base and logic</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Unsatisfactory</b>
<b>Overall MI score</b>	<b>2</b>
Element 1: Targets and indicators are adequate to capture causal pathways between interventions and the outcomes that contribute to higher order objectives	1
Element 2: Indicators are relevant to the expected result to enable measurement of the degree of goal achievement	2
Element 3: Development of baselines are mandatory for new interventions	2
Element 4: Results targets are regularly reviewed and adjusted when needed	3
<b>MI 7.3 Analysis</b>	<b>Source document</b>
<p>FAO has faced challenges setting performance targets at a corporate level:</p> <ul style="list-style-type: none"> <li>• The Programme Implementation Report (PIR) for 2014-15 noted that many Output level indicator targets were set too low because, when targets were set in early 2014, FAO country offices had not yet identified the Outputs to which the country programming frameworks and related operational projects would contribute.</li> <li>• Based on lessons learned, improvements have been made in setting, monitoring and reporting against Output targets for 2016-17 and again for 2018-19. Country offices have been more engaged throughout the target setting process and headquarters and Regional Offices have been on-hand to provide additional support to help countries align results to corporate output indicators and, where necessary, to realign or reformulate CPFs.</li> <li>• Nevertheless, the latest PIR suggests there are still challenges: for a third of the 52 Outputs under the 5 Strategic Objectives, actual performance exceeded targeted performance over the period by 40% or more.</li> <li>• More generally, targets at the Output level of the corporate framework reflect more expectations of the work FAO plans to do, and less an assessment of what is needed to shift the status at the Outcome level. Significant over-performance at the Output level typically reflects higher than anticipated demand for FAO work.</li> <li>• At the Outcome level, results in the latest PIR indicate even greater challenges in setting meaningful targets: in 22 out of 28 Outcomes for there is both target and outturn data, actual performance varied from target level (over and under, though typically over) by more than 50%. In fact, FAO has decided to abandon target setting at the Outcome level and instead report results are indicative of broader change There are some good reasons for scrapping Outcome targets but overall this reinforces the sense of the results framework being a largely descriptive product, rather than driving performance.</li> </ul>	6, 7, 8, 10, 13, 16, 23, 68, 70, 75, 85, 90, 97

<p>In the Corporate Results Framework, the relevance of indicators is judged variable: at the Outcome level, many indicators are complicated, composite measures and difficult to interpret, which impacts adversely on relevance. Common challenges in capturing quality dimensions – for example of policies or participation – are evident also, with reliance on measures of quantity instead. At the Output level, there is a noticeable mismatch for a number of Outputs between the indicators and intended results. Whereas the latter may refer to the intended change (capacity developed, adoption of innovations, etc.), the indicator refers to the level of FAO activity (e.g. number of countries in which support was provided).</p> <p>At the country programme level, the assessment found treatment of Outcomes in CPF's to be variable. Some Outcomes have indicators but no targets, some have both, and some have none. For Outputs in the CPF, the assessment found a similarly mixed picture; some were framed in terms of "capacity increased" but the indicator was of FAO's effort (number of people trained, number of organisations supported) rather than the expected changes in behaviour resulting from greater capacity. At a field programme level, the few log-frames reviewed as part of the assessment seemed heavily activity-focused.</p> <p>The level of variability in quality at all levels suggests a need for more scrutiny and support in the development and use of indicators.</p> <p>There appears to be a corporate requirement that baselines are in place for all new interventions, but evidence of compliance is mixed. The Report of the External Auditor (2016) noted that from a sample of active projects across the organisation, baselines and targets of outcomes and/or outputs were not always available.</p> <p>Evidence from CPFs is similarly mixed. For field projects, it is anticipated that most Results Matrixes would include baselines (as a requirement of the funder) but a detailed review of the active project portfolio was outside the scope of the review and so this impression cannot be confirmed.</p> <p>The setting of targets at country, regional and global level is completed during the process of developing the biennial Programme of Work and Budget (i.e. every two years). At a corporate level, targets do not seem to be adjusted during the PWB biennium.</p> <p>Adjusting targets at the field project level would no doubt require approval of the funding body. Brief discussions suggest this is possible where warranted (though changing overall objectives etc. is more problematic).</p> <p>CPF guidance explicitly includes scope for revision/reformulation of the CPF to varying degrees in the light of implementation experience. Where necessary, this would include adjustment of targets.</p>	<p>6, 7, 8, 10, 13, 16, 23, 68, 70, 75, 85, 90, 97</p>
<b>MI 7.3 Evidence confidence</b>	<b>High confidence</b>
<b>MI 7.4: Monitoring systems generate high quality and useful performance data</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.67</b>
Element 1: The corporate monitoring system is adequately resourced	2
Element 2: Monitoring systems generate data at output and outcome level of the results chain	3
Element 3: Reporting structures are clear	4
Element 4: Reporting processes ensure timely data for key corporate reporting, and planning	4
Element 5: A system for ensuring data quality exists	2
Element 6: Data adequately captures key corporate results	1
Element 7: Adequate resources are allocated to the monitoring system	NA

MI 7.4 Analysis	Source document
<p>The available evidence suggests that FAO’s monitoring system could be better resourced. For example, the independent assessment of FAO’s technical capacity (2017) concluded there is a need for FAO to monitor the full range of FAO outputs, products, and services more effectively at all levels: global, regional and country. FAO’s Programme Implementation Report for 2014-15 also noted that more attention and effort is required to increase the capacity of countries to measure and analyse data in areas such as food security and nutrition and agriculture in rural areas.</p> <p>The 2017 Annual Report of the Inspector General also highlighted key areas for improvement in the performance of country offices, including the monitoring and reporting on CPF implementation. A lack of capacity in country offices to support the required processes was identified as a key cause of the underlying issues. New methodologies for reporting were recently introduced, but there is a challenge to balance more sophisticated/precise performance data with capacity constraints, particularly in the case of smaller Country Offices.</p> <p>The discussion above for a number of elements also highlighted training/capacity needs.</p> <p>The general impression from the review is that at the country and corporate level that resources are limited for monitoring outcome-level performance (monitoring at output level is largely tracking FAO activity).</p> <p>FAO’s monitoring systems generate data at both the output and outcome level. As noted in FAO’s Monitoring Framework – Accountability and Measurement, indicators and targets are in place for each output and are measured and reported annually using a central results tracking system. Similarly, outcome level indicators and targets are in place and are measured biennially through an assessment that includes secondary data, a review of policy documents, and a survey of a range of respondents in a sample of countries.</p> <p>FAO’s PIR for 2016-17 noted that current data availability is poor for many of the SDG-based indicators, as they have only been recently established. These have been applied as the highest measure of achievement of FAO’s Strategic Objectives.</p> <p>Reporting structures are clear.</p> <p>Recent improvements to FAO’s reporting infrastructure should be acknowledged, including enhancements to both the Field Programme Management Information System (FPMIS) and the Programme Planning, Implementation Reporting and Evaluation Support System (PIRES). These enhancements have supported greater clarity and timeliness around the monitoring and reporting of deliverables that contribute to corporate outputs. That said, improved integration of the various corporate information systems (PIRES, FPMIS, iMIS and GRMS) is recognised as a key area for improvement. The IT Division prepared the organisation’s Digital Strategy (March 2017) to overcome IT/Digital fragmentation and to standardise tools and services in the organisation and move to a platform approach.</p> <p>As noted above, improvements in corporate information systems has strengthened the collection and an aggregation of data, as well as quality assurance in terms of completeness. However, further work is needed to tailor information systems better to meet expectations for performance data.</p> <p>Changes in systems and process have increased the visibility for FAO units to be able to identify their contributions to result at the corporate level, which is also expected to strengthen quality management.</p>	<p>6, 7, 8, 10, 13, 22, 48, 68, 70, 87, 90</p>

<p>Strengthening of the Strategic Programmes and their oversight role also provides a check on the accuracy of performance data submitted by country programmes.</p> <p>Quality assurance has also been strengthened for corporate Outcomes, by the transfer of responsibility for assessment at this level to the Office of the Chief Statistician. Nevertheless, confidence intervals around outcome estimates are unknown, which makes interpretation of changes in the measures difficult.</p> <p>FAO has also issued methodology notes for managers to determine achievement of corporate outputs. In principle, these exercise a test/challenge function to ensure more consistent judgements about what constitutes achievement and non-achievement. From discussion with staff, however, these are perceived as unclear and complicated, with a series of generic ‘qualifiers’ that may not be relevant when assessing a specific field programme.</p> <p>Nevertheless, shortcomings identified above and below necessary adversely affect data quality, in particular from the perspectives of coverage and concept validity.</p> <p>FAO has invested considerable effort in the development and roll-out of its Corporate Results Framework. Commitment to the process is clear, but the value of the product is less apparent. The discussion above (notably under MI 7.2 and MI 7.3) highlights a number of limitations in the adequacy of the system, which are not repeated here.</p> <p>There are additional areas of performance where the Framework is relatively light: on FAO’s normative work – which is captured only partially in the Corporate Results Framework both in terms of coverage and results (see MI 1.3); and on the efficiency savings achieved by the organisations – for which the choice of measures included in the Corporate Results Framework are in the main unrelated to efficiency (as conventionally understood at least).</p> <p>However beyond these, a further, significant gap exists: FAO does not currently systematically monitor the performance of its programme portfolio. As such, FAO cannot say confidently what proportion, for example, of completed programmes were fully successful, partially successful, or unsuccessful. Programmes are captured to some extent in the Corporate Results Framework but only partially, insofar as a programme maps imperfectly to one or two prescribed Outputs. However, specific information about programmes’ performance in a particular country or across a particular type of engagement is systematically lacking. This represents a significant gap in both accountability and learning within the organisation.</p> <p>[The assessment for Element 7 is the same for Element 1 and therefore not counted here]</p>	<p>6, 7, 8, 10, 13, 22, 48, 68, 70, 87, 90</p>
<b>MI 7.4 Evidence confidence</b>	<b>High confidence</b>
<b>MI 7.5: Performance data transparently applied in planning and decision-making</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>3</b>
Element 1: Planning documents are clearly based on performance data	3
Element 2: Proposed adjustments to interventions are clearly informed by performance data	3
Element 3: At corporate level, management regularly reviews corporate performance data and makes adjustments as appropriate	3
Element 4: Performance data support dialogue in partnerships at global, regional and country level	3

MI 7.5 Analysis	Source document
<p>The limited evidence available does suggest that key planning documents are based on performance data. For example, FAO's current Medium-Term Plan 2018-21 states that the identified regional priorities for the period take into account lessons learned from the implementation of Regional Initiatives since 2014.</p> <p>However, the clarity/transparency regarding the way performance data are used to inform data could be improved. The assessment also notes that given FAO's reliance on voluntary, extrabudgetary contributions, emerging opportunities may shape plans at least as much, if not more than past performance.</p> <p>There is evidence that adjustments to FAO's programmes and other work are generally informed by performance data. For example, a reflection on key lessons learned are included under the Strategic and Functional Objectives in the biennial Programme Implementation Report, which are used to inform the design and implementation of future activities. However, it is noted that the link between the lessons and the evidence is not always clearly set out.</p> <p>At the mid-term review point for the MTP, adjustments to plans are outlined, though again performance data/evidence underpinning the choices are not presented.</p> <p>Corporate guidance with respect to the preparation of Country Annual Reports states that data collected and reported, particularly with respect to actual versus planned achievements, should be used to provide recommendations to inform future programmes and improve the prospects for results.</p> <p>Adjustments to interventions are necessarily evidence-based, given the need in majority of cases to justify change to funding agencies. However, the utility of the performance frameworks in this process is not known.</p> <p>The extent to which management "formally" reviews corporate data and adjusts programming in response is unknown from the available evidence. However, FAO's "Guide to the formulation of the Country Programming Framework" notes that monitoring is done on a continuous basis by the FAO Representative and the budget holders of country level activities to regularly review and steer interventions towards expected results. However, the Report of the External Auditor (2016) found that some information in FAO's Field Programme Management Information System (FPMIS) was either outdated or not available. The External Auditor noted that this was limiting its effectiveness as an information and management tool.</p> <p>Efforts are ongoing to improve and augment the quality of project-level data in FPMIS (in particular completeness of data) with clear escalation processes for inaction in this respect.</p> <p>Milestone data are also used to track implementation of major field programmes that are relevant to a particular Strategic Programme. Similarly, Outputs are useful in signalling links between particular country programmes and Strategic Objectives (and associated Strategic Programmes).</p> <p>It is difficult to answer this element definitively. Certainly, Country Offices will take into account results of existing/previous programmes as they formulate plans and engage partners. There is also evidence that Strategic Programme teams actively use data on performance and results in dialogue with partners globally and regionally on issues relating to their Strategic Objectives. However, the source of this performance data seems to be primarily their own systems, rather than the Corporate Results Framework.</p>	<p>10, 13, 22, 43, 68, 70, 90</p>
<b>MI 7.5 Evidence confidence</b>	<b>High confidence</b>

<b>KPI 8: Evidence-based planning and programming applied</b>	<b>KPI score</b>
<b>Satisfactory</b>	<b>2.97</b>
<p>This KPI examines FAO's use of evaluation. The assessment considers the level of independence of FAO's corporate evaluation function, the strengths of the policy on evaluation and the adequacy of coverage by evaluations, in terms of FAO's operations. It also considers the strength of the quality systems in place to ensure evaluation findings are reliable and useful. Finally, the KPI also crucially considers the extent to which evaluation recommendations are acted upon and lessons used by FAO to inform programming decisions and practice.</p>	
<b>MI 8.1: A corporate independent evaluation function exists</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>3.29</b>
Element 1: The evaluation function is independent from other management functions such as planning and managing development assistance (operational independence)	4
Element 2: The Head of evaluation reports directly to the Governing Body of the organisation (Structural independence)	3
Element 3: The evaluation office has full discretion in deciding the evaluation programme	3
Element 4: A separate budget line (approved by the Governing Body) ensures budgetary independence	3
Element 5: The central evaluation programme is fully funded by core funds	4
Element 6: Evaluations are submitted directly for consideration at the appropriate level of decision-making pertaining to the subject of evaluation	3
Element 7: Evaluators are able to conduct their work throughout the evaluation without undue interference by those involved in implementing the unit of analysis being evaluated (Behavioural independence)	3
<b>MI 8.1 Analysis</b>	<b>Source document</b>
<p>The Office of Evaluation (OED) was established in 2010 and is an independent unit from an operational perspective. The work of OED is guided by the "Charter for the FAO Office of Evaluation" (2011).</p> <p>The Office of Evaluation is solely responsible for the conduct of all evaluations (not including self- and decentralised evaluations), including the selection of evaluators and terms of reference. It operates outside the line management that it is mandated to evaluate, and therefore from an operational perspective is an independent unit.</p> <p>A number of recommendations were made in the 2016 Evaluation of FAO's Evaluation Function (ref. 120th Programme Committee) to strengthen OED's independence, some of which have been carried out (e.g. the head of OED no longer performs a secretarial role in the Programme Committee to minimise conflict of interest).</p> <p>The Head of OED reports directly to the Director-General and to the Governing Bodies through the Programme Committee (the direct recipient of evaluation reports on behalf of the governing bodies). It is noted that this set up is common practice among UN Specialist Agencies.</p> <p>OED remains separate from those directly responsible for the design and implementation of the policies and operations that are evaluated. In practice, however it is noted that there is no evidence to suggest that this structure does not work well for FAO.</p>	49, 52, 99

OED has full discretion (from an organisational perspective) to decide the evaluation programme (through a 3-year rolling workplan). However, it should be noted that while the evaluation programme is proposed by the OED Director, it is subject to review by and discussion with the Programme Committee (on behalf of the Governing Bodies), who have ultimate responsibility for signing it off and may make suggestions. OED may also be directed to evaluate a particular aspect of FAO's work by the Director General.

Decentralised evaluations are somewhat different, as these may be conducted at the discretion of and funded by the donor, which may have implications for impartiality/independence.

The 2018-19 Programme of Work and Budget, which goes to the Governing Body, includes a resource allocation for the Office of Evaluation of USD 8,025,000 (net appropriation or regular programme) and USD 20,000 (extra budgetary). The four year Medium Term Plan, which is also approved by FAO's governing bodies, includes a line for the Oversight function, which combines OED and the Office of the Inspector General.

Once the budget is approved, the OED Director can independently manage it to implement its approved workplan. However, it is noted that OED does not have complete budgetary independence as, for example, OED recruitment follows the same corporate procedures that apply to other FAO staff.

OED's budget comes primarily from the Regular Programme as well as to a small extent project overheads put together in a Trust Fund. That said, the Regular Programme funds the central evaluation programme (the core staff and the cost of strategic, thematic and country evaluations included in the rolling work plan).

There is evidence that findings of evaluations are used by FAO management in policy formulation. The Climate Change Evaluation, for example, showed the importance of developing a climate strategy (which was subsequently done). Likewise, country programme evaluations feed into country office planning cycles.

However, the 2016 Independent Evaluation of FAO's Evaluation Function found that evaluation stakeholders rated the utility of OED evaluations (presentation and discussion of evaluations, clarity of recommendations and the reporting process with feedback opportunities) as just "medium". Furthermore, the study found that stakeholders on average rated the timeliness of OED evaluations to inform decision making as "medium" also.

The Independent Evaluation of FAO's Evaluation Function (2016) concluded that OED is unbiased in its approach and that its reports are fair and hard-hitting. It noted that OED has a protocol in place to prevent conflicts of interest, in line with UNEG's norms. However, interviews (from the Independent Evaluation) with OED staff revealed that OED staff perceived they were not sufficiently insulated from outside influences (whether real or perceived), with implications for OED's behavioural independence. OED senior staff rated the organisational independence of OED as medium.

The 2011 "Charter for the FAO Office of Evaluation" states that the primary principles underpinning evaluation in FAO are independence, impartiality, credibility, transparency and usefulness. However, it is noted that the OED Evaluation Manual does not provide any guidance on ensuring independence and impartiality.

49, 52, 99

**MI 8.1 Evidence confidence****High confidence**



<b>MI 8.2: Consistent, independent evaluation of results (coverage)</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.6</b>
Element 1: An evaluation policy describes the principles to ensure coverage, quality and use of findings, including in decentralised evaluations	2
Element 2: The policy/an evaluation manual guides the implementation of the different categories of evaluations, such as strategic, thematic, corporate level evaluations, as well as decentralised evaluations	1
Element 3: A prioritised and funded evaluation plan covering the organisation's planning and budgeting cycle is available	4
Element 4: The annual evaluation plan presents a systematic and periodic coverage of the organisation's Interventions, reflecting key priorities	3
Element 5: Evidence from sample countries demonstrate that the policy is being implemented	3
<b>MI 8.2 Analysis</b>	<b>Source document</b>
<p>A "Charter for the FAO Office of Evaluation" is the framework for the evaluation function within FAO and underpins the role responsibilities of the Office of Evaluation (OED). Produced in 2011, it is now quite old. It states that the primary principles underpinning evaluation in FAO are independence, impartiality, credibility, transparency and usefulness. It also states that all the work carried out by the organisation is subject to evaluation, regardless of the source of funds. However, as noted by an Independent Evaluation of FAO's Evaluation Function (2016) the Charter for the FAO Office of Evaluation was not a comprehensive evaluation policy and furthermore it does not address decentralised evaluations, nor consider the role that OED should play with respect to decentralised evaluations.</p> <p>That said, an Evaluation Policy is planned and FAO are clear that DEs are not a priority at the moment, but will be on the table for discussion in 2019.</p> <p>The Evaluation Charter outlines three types of Evaluation: evaluation for governing bodies such as, for example thematic, programmatic and strategic; Country Evaluations; and evaluations of individual programmes and projects, usually funded from extra budgetary resources.</p> <p>The Evaluation Manual does not guide implementation of the different categories of evaluations, but rather provides a generic guide. For example, there is no specific guidance for project or programme evaluations that are conducted in country or region.</p> <p>A three-year rolling workplan of evaluations is in place, and is reviewed every two years by the Programme Committee. The "Indicative rolling work plan of evaluations 2017-19" is currently in place and proposes several types of evaluations including strategic, thematic and country evaluations. No costings are included with the current evaluation workplan, although it should be noted that the costs for these evaluations are covered by a core allocation from the Regular Programme budget.</p> <p>Key criteria for selecting evaluations include specific requests from the Programme Committee, requirements for evaluation expressed by the Director-General, and the need to achieve a balanced coverage of the Organisation's strategies and priorities over the medium term.</p> <p>The gap in decentralised evaluation limits the coverage of operations that are evaluated, although as noted above, OED is clear in its rationale for maintaining the evaluation function as fully centralised.</p>	49, 52, 53, 54

The evidence suggest good coverage, as per FAO's Evaluation Charter. FAO's Programme Evaluation Report (2017) noted that during the 2015-16 biennium, OED carried out 11 country-level evaluations (two of which focused on humanitarian responses to crises) 39 project evaluations in 61 countries, and four thematic evaluations. It noted that the number of country programme evaluations carried out in 2015-16 substantially increased compared to the previous biennium.	49, 52, 53, 54
<b>MI 8.2 Evidence confidence</b>	<b>High confidence</b>
<b>MI 8.3: Systems are applied to ensure the quality of evaluations</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.6</b>
Element 1: Evaluations are based on design, planning and implementation processes that are inherently quality oriented	3
Element 2: Evaluations use appropriate methodologies for data-collection, analysis and interpretation	2
Element 3: Evaluation reports present in a complete and balanced way the evidence, findings, conclusions, and where relevant, recommendations	2
Element 4: The methodology presented includes the methodological limitations and concerns	3
Element 5: A process exists to ensure the quality of all evaluations, including decentralised evaluations	3
<b>MI 8.3 Analysis</b>	<b>Source document</b>
<p>FAO has a quality assurance framework in place to support the quality of its evaluations and encourages heavy involvement its staff, which they note is an appropriate approach given the complex and diverse subject matters. The 2016 Independent Evaluation of FAO's Evaluation noted some methodological weaknesses across the evaluation reports. The same report also noted that in some evaluation reports, findings, conclusions and recommendations were not always clearly based on evidence.</p> <p>FAO has a "Quality Assurance Framework for evaluation in FAO" in place (published in 2011) and base their quality standards on UNEG standards and norms. The 2015 Evaluation Manual also outlines a set of criteria. The Project Evaluation peer review is an internal peer review by experienced OED evaluation officers and the Project Evaluation Co-ordinator does the clearance. The peer review assesses the following: clarity of the report structure; methodology section; evidence provided to findings; beneficiary involvement, inclusion of equity issues (gender, youth and disadvantaged groups); coherence of conclusions; whether recommendations address main findings and conclusions and are realistic and actionable; replicability of lessons learned and exhaustiveness of appendixes and annexes.</p> <p>It is noted that the quality assurance system is heavily dependent on peer reviews and the inclusion of an OED staff member on corporate evaluation teams. In this way, the FAO evaluation office focuses more on in-process quality control, including on the design and methodology of evaluations rather than ex-post quality assurance mechanism. This approach is justified because of the diversity and complexity of the subject matter to be evaluated requiring much broader areas of expertise and larger variety of intervention modalities.</p>	49, 50, 52, 52

<p>The Independent Evaluation of FAO's Evaluation Function (2016) assessed the quality of a random sample of 21 OED evaluation reports. It rated the overall quality of the evaluation methodology as medium to high, which was below the average of other quality criteria. The Independent Evaluation concluded that the evaluation methodology had been presented in a complete and detailed manner in 6 out of 21 cases. In the remaining cases, there were several problems including evaluation criteria not clearly described or prominently used, evaluation questions not clearly stated or answered, and limited description of data sources, stakeholders' consultation process and limited inclusion of gender equality and an almost complete neglect of human rights.</p> <p>The same report concluded that "findings" were well presented and adequate in general terms, showing a satisfactory quality. It noted that the main weaknesses in some reports are related to findings being mixed with conclusions and recommendations, less clearly based on evidence and not objectively reported.</p> <p>Similarly, the Independent Evaluation concluded that the quality criterion of "recommendations" from the sample of evaluations was medium to high, with the main weaknesses in some evaluation reports being inadequate targeting of recommendations (too broad or untargeted), or recommendations mixed with findings and conclusions. It was also noted that users of OED evaluation recommendations, evaluation stakeholders and FAO member countries perceive OED recommendations as useful to very useful.</p> <p>The Independent Evaluation observed differing views within senior management with respect to the style of OED's recommendations, with some arguing that highly specific recommendations could be viewed as OED "micro-managing", and others arguing that if recommendations are too broad they add little value.</p> <p>The limited evidence available suggests that methodological limitations are generally captured within evaluation reports where relevant (as per the results of the random sample of evaluations reviewed as part of the Independent Evaluation in 2016).</p> <p>As noted above FAO adopts a process for ensuring the quality of all evaluations.</p> <p>FAO does not conduct decentralised evaluations.</p>	49, 50, 52, 52
<b>MI 8.3 Evidence confidence</b>	<b>Medium confidence</b>
<b>MI 8.4: Mandatory demonstration of the evidence base to design new interventions</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.75</b>
Element 1: A formal requirement exists to demonstrate how lessons from past interventions have been taken into account in the design of new interventions	4
Element 2: Clear feedback loops exist to feed lessons into new interventions design	3
Element 3: There is evidence that lessons from past interventions have informed new interventions	NE
Element 4: Incentives exist to apply lessons learnt to new interventions	3
Element 5: The number/share of new operations designs that draw on lessons from evaluative approaches is made public	1

MI 8.4 Analysis	Source document
<p>There is some strong evidence that evaluation findings are being used at a strategic level, with the Climate Change Evaluation findings and recommendations being a good example of this. Whilst there are tools and systems in place to encourage the use of evidence to design new interventions, this is not enforced.</p> <p>Following each evaluation an automatic reminder is sent out to check that agreed recommendations and follow up actions have been taken up and OED reports against a KPI for the number of recommendations acted upon. As part of the Project Cycle Management Guide, Programme Managers are also asked to demonstrate how lessons learned from other FAO projects have been drawn upon and present this in the Project Document Template.</p> <p>FAO's standard templates for project concept notes and project design documents require relevant "lessons learned" to be demonstrated and evaluation reports are identified as one possible source. The checklist used by FAO to appraise project proposals specifically includes the requirement that "[r]eference is made to evaluation recommendations and lessons learned from other projects implemented in the same sector or in similar environments, and such lessons are reflected and incorporated in the project".</p> <p>The OED manual requires evaluators to conduct stakeholder workshops in every evaluation, whereby lessons learned and findings are discussed along with the proposed management responses. The same manual also encourages the use of evaluation findings beyond the specific evaluation. As noted above the PCM Guide asks Programme Managers to demonstrate how lessons learned have been used in the design. The extent to this is done in practice is not reported.</p> <p>As noted above, project design and appraisal processes require consideration of lessons-learned. This system relies on the awareness of latest evaluation findings on the part of the subject matter specialists formulating and reviewing proposals, but the assessment found no indication that this was a high risk.</p> <p>Terminal reports must be completed for each project, six months before the end date. However, projects are often extended and there is little analysis of how the project has contributed on a larger scale and the focus of these reports is mostly on compliance rather than learning.</p> <p>The Biennial Programme Evaluation Report contains synthesis of findings and lessons learnt by thematic areas such as, for example, programme relevance, capacity development effectiveness, and gender mainstreaming.</p> <p>The extent to which the systems requiring application of lessons are actually operated to inform the design of new intervention however was not assessed as part of the review. We took assurance from the presence of the systems, the evidence of uptake of strategic evaluation results corporately and the lack of conflicting evidence arising from other sources.</p> <p>Efforts are made to encourage lessons to inform new interventions. FAO encourages all country programme evaluations, and evaluations of large-scale projects to include stakeholder workshops, which in addition to national government, invites representatives from the key donors and partners. These workshops are used to share the evaluation findings and discuss recommendations that inform future programme design and as noted "if the opportunity arises, it is good practice to combine (the workshop) with the discussion on the next cycle of country programme framework".</p>	<p>49, 51, 99</p>

<p>As noted above, FAO encourages lessons learnt to be applied to new interventions. FAO's standard templates require those completing project concept notes and project design documents to demonstrate how relevant "lessons learned" have been taken on board and evaluation reports are identified as one possible source. The checklist used by FAO to appraise project proposals specifically includes the requirement that "[r]eference is made to evaluation recommendations and lessons learned from other projects implemented in the same sector or in similar environments, and such lessons are reflected and incorporated in the project".</p> <p>The number of new operations designs that draw on lessons from evaluation approaches is not reported. However, it is noted that KPI 10.2.B reports on the percentage of recommendations of strategic evaluations where the agreed management response has been completed by the due date.</p>	49, 51, 99
<b>MI 8.4 Evidence confidence</b>	<b>High confidence</b>
<b>MI 8.5: Poorly performing interventions proactively identified, tracked and addressed</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.75</b>
Element 1: A system exists to identify poorly performing interventions	2
Element 2: Regular reporting tracks the status and evolution of poorly performing interventions	3
Element 3: A process for addressing the poor performance exists, with evidence of its use	3
Element 4: The process clearly delineates the responsibility to take action	3
<b>MI 8.5 Analysis</b>	<b>Source document</b>
<p>Systems exist to identify poorly performing interventions in terms of timely delivery and spend. However, performance at the results level are not proactively systematically identified, tracked and addressed. Where these are reported on is to feed into the corporate reporting (PIR) at an aggregate level.</p> <p>At the corporate level, FAO has implemented a corporate Operational Monitoring Dashboard, which facilitates the analysis of performance and risk and allows management to track projects in need of management action. Key management staff, including Strategic Programme Leaders and those from divisions/regional offices, meet on a quarterly basis to discuss progress against agreed performance standards, identify reasons for variances and take corrective action.</p> <p>The MOPAN partners survey found that while around 55% of respondents (who expressed an opinion) rated FAO as "excellent" or "very good" in addressing areas of underperformance, only 47% rated FAO similarly for consistently identifying areas of underperformance.</p> <p>However, the Operational Monitoring Dashboard does not examine results/ outcomes and predominantly focuses on processes such as delivery of reports rather than the quality of results and this is an area that FAO is looking to develop. At the country programme level, it is easier to monitor poorly performing interventions.</p> <p>A process for addressing, for example, late delivery, does exist and this will be picked up by the system described above. Poor performance in terms of financial performance such as no or low delivery will also be picked up by the Budget Holder. Annual reviews and reports of the country programme which report against the strategic framework also provides an overview of programmes and donor monitoring requirements will examine performance.</p>	6, 38

<p>However, the current corporate reporting systems do not provide a corporate overview of the performance in terms of results in timely way. Responses to underperforming programmes (in terms of results/outcomes) are therefore necessarily ad hoc.</p> <p>Our review did not explicitly examine the delineation of responsibility to take action. However, the assessment found no evidence to suggest that responsibilities for actioning poorly performing programmes is unclear. Lines of responsibility, oversight and escalation are established, but as indicated above, these operate within the limitations of the current monitoring tools.</p>	6, 38
<b>MI 8.5 Evidence confidence</b>	<b>Medium confidence</b>
<b>MI 8.6: Clear accountability system ensures responses and follow-up to and use of evaluation recommendations</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Highly satisfactory</b>
<b>Overall MI score</b>	<b>4</b>
Element 1: Evaluation reports include a management response (or has one attached or associated with it)	4
Element 2: Management responses include an action plan and/or agreement clearly stating responsibilities and accountabilities	4
Element 3: A timeline for implementation of key recommendations is proposed	4
Element 4: A system exists to regularly track status of implementation	4
Element 5: An annual report on the status of use and implementation of evaluation recommendations is made public	4
<b>MI 8.6 Analysis</b>	<b>Source document</b>
<p>The 2017 121st Session to the Programme Committee committed to further strengthen the accountability and learning from FAO evaluations. OED has also committed to improving dissemination of evaluation results and enhancing evaluation utility and organisational learning.</p> <p>There are clear guidelines to ensure management responses and follow-up to evaluations. There is evidence that this is taken seriously by FAO, and reports are published, which track follow-up commitments made for strategic evaluations (such as the evaluation climate change adaptation and mitigation and the evaluation knowledge on food and agriculture).</p> <p>OED has a guidance document “Responsibilities and procedures for management responses and follow-up reports on evaluations” (2015). This outlines the purpose of a management response (including who is responsible for the work to be implemented, timeframe and whether any further funding is required.) After one year in the case of project and country evaluations and two years in the case of thematic and strategy evaluations, the unit that prepared the management response should co-ordinate inputs and prepare a follow up report on the implementation of the accepted recommendations. The guidance note also requires responses to specify the action point, as well as responsibilities and deadlines for this.</p> <p>Management responses include a timeline for implementation of key recommendations. The relevant staff are sent an automatic reminder to follow up recommendations in the evaluation.</p> <p>The MAR (Management Action Record) is a quantitative self-assessment by responsible units of the progress made in the implementation of each fully and partially accepted recommendation through a six-point scoring scale.</p>	13, 49, 52

OED upload MARs and follow up reports on its website, and in the case of extra-budgetary funded initiatives, these are uploaded in FPMIS.	13, 49, 52
KPI 10.2.B reports on the percentage of recommendations of strategic evaluations where the agreed management response has been completed by the due date.	
<b>MI 8.6 Evidence confidence</b>	<b>High confidence</b>
<b>MI 8.7: Uptake of lessons learned and best practices from evaluations</b>	<b>Score</b>
<b>Overall MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.83</b>
Element 1: A complete and current repository of evaluations and their recommendations is available for use	4
Element 2: A mechanism for distilling and disseminating lessons learned internally exists	3
Element 3: A dissemination mechanism to partners, peers and other stakeholders is available and employed	2
Element 4: A system is available and used to track the uptake of lessons learned	2
Element 5: Evidence is available that lessons learned and good practices are being applied	3
Element 6: A corporate policy for Disclosure of information exists and is also applied to evaluations	3
<b>MI 8.7 Analysis</b>	<b>Source document</b>
<p>The OED website, and the governing body website for the Programme Committee, serve as a repository of evaluation reports (which include recommendations).</p> <p>Providing feedback from evaluations and communicating key lessons for organisational learning is one of the three organisational mandates of OED. The Programme Evaluation Report provides a useful synthesis of lessons and findings across the evaluation reports.</p> <p>A synthesis of findings and lessons learned by thematic areas are also published in the biennial Programme Evaluation Report. FAO is also looking to build a platform to support knowledge management and share the innovations that are happening across country offices. However, currently no formal mechanisms to facilitate this other than through person-to-person links.</p> <p>Dissemination mechanisms are a requirement of all evaluations.</p> <p>There is some evidence that FAO member countries use OED evaluation reports for planning, including referring to lessons learned and best practices. However, the Independent Evaluation of the Evaluation Function (2016) concluded there was significant scope to enhance the dissemination of OED evaluations, both within and outside FAO, to member countries and to the development community. OED's Strategy and Action Plan for 2017-18 identifies the need to enhance accountability and learning from FAO's evaluations as a key priority for 2017-18, including improving approaches for communication and dissemination of evaluation results. The Strategy and Action Plan also flags that an evaluation community of practice will be created, involving evaluation staff in national governments and institutions, and evaluation practitioners in programme countries, with the aim of facilitating communication of evaluation findings and improve sharing of knowledge and expertise.</p> <p>As one of the three key outcomes of OED is "enhanced use and accessibility of OED evaluations at the global, national and local levels" and one of the three outputs is that "OED staff prepare and engage in the dissemination of evaluation findings". The outcome will be reported on in the 2018 peer review of the FAO Evaluation Function (as noted in the 2016-2017 OED Agenda).</p>	22, 49, 51

<p>No report exists is currently published on the website.</p> <p>There is evidence that evaluation findings are used by FAO management to develop new policies and reviewing existing ones and to inform its strategic approach. For example, the independent evaluation of the evaluation function (2016) noted that the evaluation of FAO's role and work in nutrition by the Programme Committee led to a new "Strategy and Vision for FAO's Work in Nutrition". The independent evaluation also noted that FAO's climate change strategy was produced following the climate change evaluation. Similarly, country programme evaluations, which assess FAO's strategic positioning and contributions to development results are generally undertaken at the end of the country programming framework (CPF) cycle to inform the development of a new CPF.</p> <p>Follow up reports are done for every thematic evaluation and discussed in the Programme Committee. It is a PCM requirement to refer to previous evaluations in project designs, though the review did not include a check of this and instead took assurance from the system in place of project appraisal.</p> <p>It was noted in the 2016 Independent Evaluation of FAO's Evaluation that the gap in decentralised evaluations could deprive the organisation of an important source of learning as it limits the coverage of operations that are evaluated and does not enable OED to validate decentralised evaluations. More generally, lessons from implementation of projects/programmes that are not subject to formal evaluation are captured in terminal reports. However, there is no systematic analysis/review of these reports. The extent to which relevant findings are feedback and promoted within FAO more widely depends on the opportunity, motivation and resources of the individual(s) involved.</p> <p>There is no corporate policy on disclosure of information that applies to evaluations per se. However, FAO does have a disclosure portal for environmental and Social Standards, which is intended to help improvement engagement. Furthermore, in 2016 FAO signed up to the IATI standards, which is a global initiative to improve the transparency of international development.</p>	<p>22, 49, 51</p>
<p><b>MI 8.7 Evidence confidence</b></p>	<p><b>High confidence</b></p>



## RESULTS

*Achievement of relevant, inclusive and sustainable contributions to humanitarian and development results in an efficient way*

<b>KPI 9: Achievement of development and humanitarian objectives and results e.g. at the institutional/corporate wide level, at the regional/corporate wide level and, at the regional/country level, with results contributing to normative and cross-cutting goals</b>	<b>KPI score</b>
<b>Satisfactory</b>	<b>2.13</b>

There are mixed results in terms of FAO and joint interventions achieving development objectives. From the 17 Evaluation reports which provided evidence against this indicator, 4 provided evidence of largely positive performance overall, one provided evidence of less positive performance and 12 provided evidence of mixed performance suggesting that the evidence indicates mixed to positive performance against this indicator. That said, the 2016-17 Programme Implementation Report, which assessed achievement of outcomes under each of the Strategic Objectives for the biennium, noted a high rate of achievement with 82% of the outcome Indicators for which data were available show progress with targets met. This performance was better than in 2014-15 when 77% of the outcome target indicators were fully or partially met.

Many of the results reported on are at policy or normative level rather than beneficiary level and the lack of reporting on outcomes to beneficiaries reflects the focus of FAO's work, which is further upstream. Of the seven evaluation reports that provided evidence against this indicator, three provided evidence of overall positive performance, and four provided evidence of mixed performance suggesting that the evidence indicates mixed to positive performance against this indicator. FAO's Programme Evaluation Report (2017) also presents mixed evidence on the extent to which target groups realised expected benefits with the finding that 21% of results (target groups realised expected benefits) were highly satisfactory, 33% satisfactory, 13% mixed, 13% unsatisfactory, 8% highly unsatisfactory and 13% not addressed.

More evaluation reports point to engagement on national development policies and programmes though results have been mixed. In total five Evaluation Reports provided evidence of largely positive performance in relation to this indicator, three provided evidence of less positive performance, and eight reports provided evidence of mixed performance. Positive examples of policy change can be found in all five of the Strategic Objectives at the national level. Positive examples of global policy results include the Improved Global Governance for Hunger Reduction Programme, which was noted as being instrumental in renewing the Committee for World Food Security as a credible, influential multi-stakeholder global governance mechanism and many of the normative products were used for policy. However, it is noted that there were missed opportunities to engage with ministries (in the Climate Change adaptation work, in the Lao PDR Country Programme, and the ENACT programme). The Evaluation of SOS identified that FAO had only recently been stepping up much needed policy work in the area of DRR and management.

Despite the investment in integrating gender across programmes, the evaluation reports highlighted interventions which either lack gender equality objectives or did not achieve their stated gender equality objectives. Two documents provided evidence of largely positive performance, eight documents provided evidence of less positive performance, and seven documents provided evidence of mixed performance.

The evaluation reports reviewed highlighted mixed performance in relation to Climate Change, with in total, four reports providing evidence of positive performance in the area of climate change, 5 evaluation reports provided evidence of mixed performance and one provided evidence of negative performance. The other Evaluation reports either did not comment on the indicator or the evidence was inconclusive. It is noted in FAO's Programme Evaluation Report (2017) that there was good engagement in global fora on climate change, but only marginal progress on data and guidance at country level.

In total five evaluation reports documented positive evidence of performance in environmental sustainability, which was overall poorly reflected in evaluations.

Where Evaluations reported on governance, much of the evidence suggests positive results. In total six documents provided evidence of positive performance in this area and three documents provided evidence of mixed performance.

Human rights has not been a focus in FAO evaluations. There are examples of country level evaluations that looked at FAO's treatment of equity, gender and human rights in design (though the focus is predominantly on gender).

The 2017 Programme Evaluation Report noted that only 28% of evaluations in the biennium examined nutrition aspects. Nevertheless, there were some good results and examples of where FAO had contributed to the quality, availability and access of food security and nutrition data, and that FAO had played a leadership role in technical co-ordination processes on nutrition at the national level, and responded to partners' needs by developing capacities to integrate nutrition into agriculture and food security interventions. That said, challenges remain in multi-sector governance and policy implementation capacities at the sub-national level beyond FAO's reach.

<b>MI 9.1: Interventions assessed as having achieved their stated development and/or humanitarian objectives and attain expected results</b>	<b>Score</b>
<b>MI Rating</b>	<b>Satisfactory</b>
<b>MI score</b>	<b>2.5</b>
<b>MI 9.1 Analysis</b>	<b>Source document</b>
<p>From the 17 Evaluation reports which provided evidence against this indicator, 4 provided evidence of largely positive performance overall, one provided evidence of less positive performance and 12 provided evidence of mixed performance suggesting that the evidence indicates mixed to positive performance against this indicator.</p> <p>As noted in FAO's Programme Evaluation Report (2017), which summarised the main findings from evaluations conducted in 2015-16, about half of the programmes (51%) were assessed as having achieved the stated objectives, about a third more (36%) as having achieved some. More specifically, just over half (54%) of programmes were either satisfactory or highly satisfactory in the area of substantial contribution to development goals/and or significant change in design/implementation of policies/programmes. 10% were unsatisfactory or highly unsatisfactory, with 15% mixed performance, 5% unsatisfactory, 5% highly unsatisfactory and 21% not addressed.</p> <p>The 2016-17 Programme Implementation Report, which assessed achievement of outcomes under each of the Strategic Objectives for the biennium, noted a high rate of achievement with 82% of the Outcome Indicators for which data were available show progress with targets met. This performance was better than in 2014-15 when 77% of the Outcome target indicators were fully or partially met.</p> <p>Of the five Country Level Evaluations, two reported generally positive results and three reported generally mixed results. Of the seven thematic evaluations, six documented evidence of mixed performance and one provided evidence of largely negative performance. Of the two programme/project evaluations at country level, one provided evidence of mainly positive performance, whilst the other one did not report against outcomes. All of the Strategic Objective Evaluations included examples of positive results, with three of them also reporting results that are more mixed.</p> <p>Specific examples of positive performance from the Evaluation Reports reviewed includes:</p> <ul style="list-style-type: none"> <li>• In the area of nutrition, several evaluations noted a contribution to improved food security and nutrition data and integrating nutrition into agriculture and food security interventions.</li> <li>• The Improved Global Governance for Hunger Reduction Programme was found to be instrumental in renewing the Committee for World Food Security as a credible, influential multi-stakeholder global governance mechanism.</li> <li>• In Afghanistan, training provided contributed to enhancing the analytical skills of Ministry of Agriculture, Irrigation and Livestock staff in food security and nutrition analysis.</li> </ul> <p>The report, which provided evidence of negative performance, noted that the projects were small and fragmented.</p>	54, 56, 57, 58, 59, 60, 61, 62, 63, 65, 66,67, 90, 100, 101, 103, 106, 107, 111
<b>MI 9.1 Evidence confidence</b>	<b>High confidence</b>

<b>MI 9.2: Interventions assessed as having realised the expected positive benefits for target group members</b>	<b>Score</b>
<b>MI Rating</b>	<b>Satisfactory</b>
<b>MI score</b>	<b>2.5</b>
<b>MI 9.2 Analysis</b>	<b>Source document</b>
<p>Many of the results reported on are at policy or normative level rather than beneficiary level and the lack of reporting at this level reflects the focus of FAO's work, which is further upstream.</p> <p>Of the seven evaluation reports that provided evidence against this indicator, three provided evidence of overall positive performance, and four provided evidence of mixed performance suggesting that the evidence indicates mixed to positive performance against this indicator.</p> <p>FAO's Programme Evaluation Report (2017) also presents mixed evidence on the extent to which target groups realised expected benefits with the finding that 21% of results (target groups realised expected benefits) were highly satisfactory, 33% satisfactory, 13% mixed, 13% unsatisfactory, 8% highly unsatisfactory and 13% not addressed.</p> <p>Whilst there are positive examples of the interventions having achieved benefits for target groups, an area of weakness that is noted in five Evaluation reports is insufficient targeting or context analysis.</p>	55, 56, 58, 59, 61, 64, 101, 103
<b>MI 9.2 Evidence confidence</b>	<b>Medium confidence</b>
<b>MI 9.3: Interventions assessed as having contributed to significant changes in national development policies and programmes (policy and capacity impacts), or needed system reforms</b>	<b>Score</b>
<b>MI Rating</b>	<b>Satisfactory</b>
<b>MI score</b>	<b>2.5</b>
<b>MI 9.3 Analysis</b>	<b>Source document</b>
<p>In total five Evaluation Reports provided evidence of largely positive performance in relation to this indicator, three provided evidence of less positive performance and eight reports provided evidence of mixed performance.</p> <p>As noted above, just over half (54%) of programmes were either satisfactory or highly satisfactory in the area of substantial contribution to development goals/and or significant change in design/implementation of policies/programmes. 10% were unsatisfactory or highly unsatisfactory, with 15% mixed performance, 5% unsatisfactory, 5% highly unsatisfactory and 21% not addressed.</p> <p>Evaluations with largely positive evidence for policy change were found in two Strategic Objective evaluations (SO 3 and SO4), two Country level and one Thematic Evaluation and the negative performance was found in one Thematic Evaluation, one Programme-in-Country and one Country Level Evaluation. Evidence of mixed results were found in five thematic evaluations, two Strategic Objective Evaluations and one Country level evaluation.</p>	54, 56, 57, 58, 59, 60, 62, 63, 64, 66, 67, 100, 101, 103, 106, 107, 111

<p>Positive examples of policy change can be found in all five of the Strategic Objectives at the national level and positive examples of global policy results include The Improved Global Governance for Hunger Reduction Programmed which was noted as being instrumental in renewing the Committee for World Food Security as a credible, influential multi-stakeholder global governance mechanism and many of the normative products were used for policy. The Programme Implementation Report for 2014-15 also cites a number of major policy developments to which FAO has contributed including the Second International Conference on Nutrition, The FAO Agreement on Port State Measures to prevent deter and eliminate illegal, unreported and unregulated fishing which was ratified by a number of countries in 2014-15 and the Framework of Action for Food Security and Nutrition in Protracted Crisis which was endorsed by the Committee on World Food Security in 2015.</p> <p>However, it is noted that there were missed opportunities to engage with ministries (in the climate change adaptation work, in the Lao PDR Country Programme, and the ENACT programme). The Evaluation of SO5 identified that FAO had only recently been stepping up much needed policy work in the area of DRR and management.</p>	<p>54, 56, 57, 58, 59, 60, 62, 63, 64, 66, 67, 100, 101, 103, 106, 107, 111</p>
<b>MI 9.3 Evidence confidence</b>	<b>High confidence</b>
<b>MI 9.4: Interventions assessed as having helped improve gender equality and the empowerment of women</b>	<b>Score</b>
<b>MI Rating</b>	<b>Unsatisfactory</b>
<b>MI score</b>	<b>1.5</b>
<b>MI 9.4 Analysis</b>	<b>Source document</b>
<p>In relation to this indicator, two documents provided evidence of largely positive performance, eight documents provided evidence of less positive performance, and seven documents provided evidence of mixed performance.</p> <p>FAO's Programme Evaluation Report (2017) noted that in 11 evaluations, the focus on gender equality was either very strategic or a significant component of the programme. In 14 evaluations, gender equality was not a programme priority.</p> <p>Four of the Country Level Evaluations and four thematic evaluations on the whole provided evidence of poor performance in the area of gender equality and the empowerment of women. In South Sudan, FAO was found to have made progress in gender considerations; however, the weak analysis of gender inequalities meant that there were questions raised over the appropriateness of the programme for gender equality. In Guyana, it was noted that few resources had been made available and that there was a tendency to equate women with gender equality. In Lao People's Democratic Republic, there was no clear approach to gender mainstreaming. In Somalia, attention to gender remained under-resourced and the implications of the economic role of women was unclear.</p> <p>One Programme-in-Country and one Thematic Evaluation presented a positive picture of the interventions having improved gender equality and the empowerment of women, whilst the all four of the Strategic Objective Evaluations and one of the six thematic evaluations provided mixed evidence.</p>	<p>55, 56, 57, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 90, 100, 101, 102, 111</p>

<p>Evidence presented in FAO's Programme Implementation Report for 2016-17 highlights some important results under SO1, such as developing gender analysis to inform development and revision of national food security strategies in several countries, supporting the national implementation of Article 14 of the Committee on the Elimination of Discrimination Against Women in a number of countries. Under Strategic Objective 2, Farmer Field Schools approach has become an important way of addressing gender equality and nutrition. The evaluation of SO3 found FAO mainstreamed gender equality across all of its work in rural poverty reduction. The evaluation reports that FAO supported gender equality at the community level in 72 countries, provided gender inclusive advice in 42 countries and supported the collection and analysis of sex disaggregated data in 27 countries. It also found some evidence of uptake of FAO knowledge products by governments (e.g. technical guidelines, databases). However, the evaluation focuses primarily on the extent of FAO's provision of support (through its initiatives), with little evidence of achievements in terms of outcomes for gender equality and empowerment of women. It is noted, however that this finding might have been a reflection of the design of the evaluation, which did not look at higher-level results.</p>	<p>55, 56, 57, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 90, 100, 101, 102, 111</p>
<p><b>MI 9.4 Evidence confidence</b></p>	<p><b>High confidence</b></p>
<p><b>MI 9.5: Interventions assessed as having helped improve environmental sustainability/helped tackle the effects of climate change</b></p>	<p><b>Score</b></p>
<p><b>MI Rating</b></p>	<p><b>Satisfactory</b></p>
<p><b>MI score</b></p>	<p><b>2.5</b></p>
<p><b>MI 9.5 Analysis</b></p>	<p><b>Source document</b></p>
<p>In total, four Evaluation Report provided evidence of positive performance in the area of climate change, five evaluation reports provided evidence of mixed performance and one provided evidence of negative performance. The other evaluation reports either did not comment on the indicator or the evidence was inconclusive.</p> <p>That said, the 2016/17 Programme Implementation Report presents a number of positive examples of normative and operational results in the area of climate change. For example, the capacity of governments and stakeholders in seven countries over the 2016/17 PIR period was strengthened for operationalising the linkages between climate change and food security and nutrition in policies and programmes. The Agroecology Knowledge Hub was also launched and included 52 case studies on sustainable agro-ecological approaches for ecosystem management, restoration and climate change adaptation and mitigation. FAOSTAT data on climate change included statistics on temperature change by country for the first time as FAO developed a database on land cover, aggregating remote sensing information to produce national statistics. FAO supported countries in reducing the impacts of climate change by building adaptive capacities and resilience.</p>	<p>6, 54, 55, 56, 59, 60, 61, 62, 90, 100, 101, 103</p>

It is noted in FAO's Programme Evaluation Report (2017) that there was good engagement in global fora on climate change, but only marginal progress on data and guidance at country level. That said an example of country level work is the REDD+ which saw more than eighty countries across Africa, Asia Pacific and Latin America and the Caribbean receive support from FAO in their REDD+ readiness and implementation phases. The Mid-Term Review Synthesis Report (2016) provides some examples of global fora: the Paris Agreement recognises in its preamble "the fundamental priority of safeguarding food security and ending hunger, and the particular vulnerabilities of food production systems to the adverse effects of climate change", embracing the more inclusive concept of "food security". The Marrakech Action Proclamation for Climate and Sustainable Development endorsed by Heads of State and Government at COP22 makes a strong call for "all Parties to strengthen and support efforts to eradicate poverty, ensure food security and to take stringent action to deal with climate change challenges in agriculture". In addition to its central role in COP22, FAO contributed significantly to global processes through contribution to, and participation in processes of the IPCC, UNFCCC subsidiary bodies, the GCF, GACSA and the NDC Partnership. The second edition of the Climate Smart Agriculture Source Book was launched in November 2017 at the COP23 to the United Nations Framework Convention on Climate Change.

Longer-term climate change adaptation measures have been mainstreamed into FAO's emergency response and climate related DRR interventions only to a partial degree. It is noted that a key challenge was a lack of conceptual clarity and guidance on the difference between emergency DRR and long-term adaptation interventions.

While a number of positive examples were found at country level in terms of support and engagement with government-led processes, there were also other examples of country offices with limited capacity, where FAO was not able to provide support or engage in resilience and disaster risk reduction platforms and technical co-ordination.

In total five evaluation reports documented positive evidence of performance in environmental sustainability which was, on the whole, poorly reflected in evaluations.

The Mid Term Evaluation of the Forest and Farm facility presented some positive examples of FAO's work on environmental sustainability, including the Firewood and Energy Platform in Guatemala and the work done with REDD+ and building technical capacity for sustainable forest management. Multi-stakeholder initiatives such as Livestock Environmental Assessment and Performance Partnership are another example of good practice of how FAO works with the private sector on sustainability issues. The work done in Lao People's Democratic Republic also provides a good example of FAO's work in using the value chain approach to promote environmentally sustainable production among smallholder farmers.

The 2016-17 Programme Implementation Report also presents positive performance in the operational and normative work of FAO. For example, the adoption of innovative practices for sustainably increasing agriculture production significantly improved in the fisheries and aquaculture sectors. The assessment of changes in government frameworks to facilitate the transition to sustainable agriculture also showed a positive trend with 25% of countries improving the existing policies and strategies that foster sustainable agriculture production and natural resource management. Finally, good progress was recorded on endorsement or adoption of international and regional instruments for sustainable agricultural production systems.

6, 54, 55, 56, 59, 60, 61, 62, 90, 100, 101, 103

#### MI 9.5 Evidence confidence

High confidence

<b>MI 9.6: Interventions assessed as having helped improve good governance (as defined in 2.1.c)</b>	<b>Score</b>
<b>MI Rating</b>	<b>Satisfactory</b>
<b>MI score</b>	<b>2.5</b>
<b>MI 9.6 Analysis</b>	<b>Source document</b>
<p>In total six documents provided evidence of positive performance in this area and three documents provided evidence of mixed performance.</p> <p>From the Evaluation Reports reviewed, two of the Thematic Evaluations and three of the Strategic Objective Evaluations provided examples of interventions as having helped improve governance across the FAO programmes. For example, the SO4 Evaluation found that FAO's approach towards strengthening food safety governance had contributed to efficiency and resilience of food systems and markets. The SO1 Evaluation endorsed the rationale behind SO1 that hunger is a governance issue as much as a technical challenge and that this approach is sound and relevant. It also noted that The Voluntary Guidelines on the Governance of Tenure of Land, Fisheries and Forestry provide countries with options and best practices in tenure-related policies, laws, strategies and practices in a flexible enough format to be applicable in a wide range of countries. It also noted that FAO's relationship with government and civil society was found to be an important determinant for the quality of its support to the implementation of Governance of Tenure of Land, Fisheries and Forestry. The most promising results were achieved where land reform was already part of political priorities and FAO helped raise awareness about the guidelines and build capacity to implement them. The EU Improved Global Governance for Hunger Reduction Programme was found to have contributed to mainstreaming good governance in terms of types of policies supported as well as institutional capacity.</p> <p>For example, FAO's Monitoring and Analysing Food and Agricultural Policies (MAFAP) programme which works in 16 countries towards strengthening their policy monitoring capacities. The programme seeks to establish country owned and sustainable systems to monitor, analyse, and reform food and agricultural policies to make enable more effective, efficient and inclusive policy frameworks. MAFAP has delivered many good quality outputs, particularly in terms of technical reports on various trade and value-chain related themes in national analytical capacity building.</p> <p>FAO's Programme Implementation Report for 2016-17 presents a positive picture of results under SO1 where the number of policy processes with more inclusive co-ordination across sectors for food security and nutrition governance as a result of FAO's support was on target (Output 1.2.1). Performance under Strategic objective 2 (SO2) exceeded expectations in the area of governance for sustainable agricultural production (outcome 2.20). Positive developments can also be seen on governance, co-ordination mechanisms for food security and nutrition (outcome 2). The PIR notes that the results planned for the biennium were fully achieved, and the targets for the two KPIs that track governance results have been met. It further notes that work in 2016-17 resulted in a more coherent and consistent approach to country level work on governance.</p> <p>Where results are more patchy, it is noted in the Evaluation of FAO's contribution to knowledge on food and agriculture that FAO needs to take better advantage on its institutional knowledge on governance and policy issues and that there is a demand for context specific knowledge products and services, especially to address governance and policy issues. Country level evaluations either did not assess governance or reported results that were mixed.</p>	13, 57, 58, 65, 59, 62, 66, 100, 111, 90, 103
<b>MI 9.6 Evidence confidence</b>	<b>High confidence</b>

<b>MI 9.7: Interventions assessed as having helped improve human rights</b>	<b>Score</b>
<b>MI Rating</b>	<b>Unsatisfactory</b>
<b>MI score</b>	<b>1.5</b>
<b>MI 9.7 Analysis</b>	<b>Source document</b>
<p>The Gender Based Mainstreaming and Human Rights Based Approach – guidelines for technical offices (2017), provides some evidence that accountability systems reflect human rights indicators; emphasising the importance of M&amp;E addressing human rights, and providing a checklist which aims to ensure human rights-based approach (HBRA) requirements are observed in monitoring and evaluation. It is unclear however, the extent to which M&amp;E addresses human rights in practice, as the Independent Evaluation of FAO's Evaluation Function (2016) reported "an almost complete neglect of human rights" in a random sample of OED evaluation reports. The assessment of evaluations for this review found only five out of a potential 20 evaluation reports included an assessment of human rights, and these were a small part of the evaluation. None of the evaluation reports mentioned the "PANTHER" framework. That said, there are examples of country level evaluations looking at the extent to which FAO took into account equity, gender and human rights in the design of its programme during implementation, but on the whole the analysis focused more gender than human rights.</p> <p>A human rights screening checklist is used before new interventions are developed, which provides a detailed checklist on how a human rights-based approach can be incorporated into each stage of the project cycle. It is unknown the extent to which this checklist is used in practice.</p> <p>Positive results in human rights can be found three evaluation reports. For example, the mid-term evaluation of the Forest and Farm Facility highlights evidence that its design had adequately addressed the rights of indigenous groups in implementation, monitoring and in proposals submitted for small grants. The evaluation of Strategic Programme 3 pointed to the gender and land rights database that was available in over 80 countries. There is also good work done on land tenure, fisheries rights as well as a right to food.</p> <p>Two evaluation reports include a more mixed performance.</p>	31, 71, 72, 73, 74
<b>MI 9.7 Evidence confidence</b>	<b>Medium confidence</b>
<b>MI 9.8: Interventions assessed as having helped improve nutrition</b>	<b>Score</b>
<b>MI Rating</b>	<b>Unsatisfactory</b>
<b>MI score</b>	<b>1.5</b>
<b>MI 9.8 Analysis</b>	<b>Source document</b>
<p>The 2017 Programme Evaluation Report noted that only 28% of evaluations in the biennium examined nutrition aspects. Nevertheless, there were some good results and examples of where FAO had contributed to the quality, availability and access of food security and nutrition data, and that FAO had played a leadership role in technical coordination processes on nutrition at the national level, and responded to partners' needs by developing capacities to integrate nutrition into agriculture and food security interventions. That said, challenges remain in multi-sector governance and policy implementation capacities at the sub-national level beyond FAO's reach.</p>	54, 65, 66, 67, 103



<p>This also reflects the findings from the review of evaluations where few assessed nutrition. That said there were examples of positive outcomes such as in Afghanistan at the beneficiary level and also in terms of upskilling relevant stakeholders in food security and analysis and less positive examples in, for example Myanmar where it was noted that there were times where FAO was unable to involve all relevant partners in open discussions on food security, nutrition and poverty alleviation.</p> <p>The Global Governance for Hunger Reduction Programme was noted to have been exemplary in the extent to which nutrition was mainstreamed and internalised within FAO and extended to major international fora. It had also enabled FAO to strengthen its position in global, regional and national nutritional related fora. The REACH Evaluation found that multi-sector/stakeholder approaches resulted in increased awareness of nutrition issues and improved priority setting in the countries assessed. However, it found limited evidence for stakeholders' commitment to scale up support for nutrition and or joint action and limited evidence that REACH could effectively influence national and international stakeholders to place nutrition at the top of their agendas.</p>	54, 65, 66, 67, 103
<b>MI 9.8 Evidence confidence</b>	<b>Medium confidence</b>
<b>KPI 10: Relevance of interventions to the needs and priorities of partner countries and beneficiaries, and extent to which the organisation works towards results in areas within its mandate</b>	<b>KPI score</b>
<b>Satisfactory</b>	<b>2.5</b>
<p>Performance in terms of alignment with the priorities/needs of target groups appears mixed as five evaluation reports provided evidence of largely positive performance, five provided evidence of less positive performance and three reports provided evidence of mixed performance in relation to this indicator. These findings concur with the FAO's Programme Evaluation Report (2017) which noted that FAO programmes were found to be highly relevant to the countries' needs in only about half of the evaluations reviewed.</p> <p>That said, the evidence from the evaluation reports highlights that programmes were on the whole aligned to national development goals and regional priorities. Programmes were found to be well aligned with national priorities and needs as identified in national policy documents and plans, and broadly aligned to the UNDAF strategies. However, in some cases inadequate support for country-led processes resulted in lower levels of engagement in decision making processes by partners and other stakeholders.</p> <p>Evidence suggests a more mixed picture in terms of sufficient analysis and use of context analysis in programming. For example, while SO5 built strongly contextualised tailored intervention strategies in tight collaboration with governments rather than in isolation, many of the smaller interventions were implemented without prior analysis and consideration of local contexts and vulnerability assessments (particularly where projects were spin offs from emergency interventions). Two of the country programmes were also noted for not having conducted a robust problem analysis.</p>	
<b>MI 10.1: Interventions assessed as having responded to the needs/priorities of target groups</b>	
<b>MI Rating</b>	<b>Unsatisfactory</b>
<b>MI score</b>	<b>1.5</b>

<b>MI 10.1 Analysis</b>	<b>Source document</b>
<p>In total, five evaluation reports provided evidence of largely positive performance, five provided evidence of less positive performance and three reports provided evidence of mixed performance in relation to this indicator.</p> <p>Three of the Programme Evaluations reviewed and one Country Level reports provided positive evidence of having responded to the needs of target groups. For example, the Forest and Farm Facility Programme was found to be highly relevant to the needs and priorities of target forest and farm small holders. Community level projects on CCAM and DRR were also generally found to be relevant to local needs.</p> <p>Three of the Country Level evaluations and one Thematic Evaluation and one project-in country evaluation report provided less positive evidence. For example in Myanmar it was found that there was a lack of attention to needs assessment and context analysis, in Bangladesh flawed beneficiary selection was noted and in Somalia the programme was criticised for not being based on a robust problem analysis which meant that activities were broad. One Country Level, one Thematic and one Strategic objective evaluation provided mixed evidence of responding to the priorities of target groups. The 2017 Programme Evaluation Report also noted a requirement to improve context-specific approaches based on systematic needs assessments and the participatory process that allows the programme to respond better to target-group characteristics.</p> <p>These findings concur with the FAO's Programme Evaluation Report (2017) which noted that FAO programmes were found to be highly relevant to the countries' needs in about half of the evaluations reviewed. They were well aligned with national priorities and needs as identified in national policy documents and plans, and broadly aligned to the UNDAF strategies. However, in some cases inadequate support for country-led processes resulted in lower levels of engagement in decision-making processes by partners and other stakeholders. The same report also noted that there was limited involvement of users and partners at design stage, especially key target groups such as national government and that beneficiaries found that FAO's technical material were often insufficiently contextualised to meet local needs and knowledge products needed to increase accessibility (language and online access).</p>	52, 54, 56, 57, 58, 59, 60, 61, 62, 63, 64, 66, 101, 103, 106
<b>MI 10.1 Evidence confidence</b>	<b>High confidence</b>
<b>MI 10.2: Interventions assessed as having helped contribute to the realisation of national development goals and objectives</b>	<b>Score</b>
<b>MI Rating</b>	<b>Highly satisfactory</b>
<b>MI score</b>	<b>3.5</b>
<b>MI 10.2 Analysis</b>	<b>Source document</b>
<p>In total, eight evaluation reports (out of eleven that examined performance against this indicator) provided evidence of largely positive performance, and three reports provided evidence of mixed performance in relation to this indicator.</p> <p>FAO's Programme Evaluation Report (2017) reports that FAO was overall satisfactory or highly satisfactory regarding relevance and strategic alignment of FAO's programmes to National Development Goals and that half of the evaluation reports reviewed found FAO programmes to be highly relevant to countries' needs. It also notes that FAO has responded well to changing global contexts.</p>	54, 55, 56, 58, 59, 60, 61, 62, 63, 100, 101, 103

<p>The evidence from other Evaluation Reports supports this picture. For example, the Forest and Farm Facility Programme approach was highly aligned with national policies of participating countries. FAO Multi Partner Programme Support Mechanism funded projects were mostly well aligned with national priorities and helped build capacity in national institutions. The work on resilience was also strongly anchored in the global platforms on risk reduction.</p> <p>The Evaluation on climate change noted that engagement of FAO representatives with governments on climate change as it relates to the agricultural sector and food security had been overall modest due to capacity limitation in FAO country offices. The Evaluation of FAO's contribution to knowledge on food and agriculture noted that, while most knowledge products were produced in line with requirements of member countries, a third of network, databases, learning resources and publications had been designed without user consultation and instead had originated from FAO's own initiative. In addition, there were examples where there had been limited involvement from national governments.</p>	<p>54, 55, 56, 58, 59, 60, 61, 62, 63, 100, 101, 103</p>
<b>MI 10.2 Evidence confidence</b>	<b>High confidence</b>
<b>MI 10.3: Results assessed as having been delivered as part of a coherent response to an identified problem</b>	<b>Score</b>
<b>MI Rating</b>	<b>Satisfactory</b>
<b>Overall MI score</b>	<b>2.5</b>
<b>MI 10.3 Analysis</b>	<b>Source document</b>
<p>Evidence against this indicator is very mixed with five Evaluation Reports (three Thematic, two Country Level) providing largely positive evidence, two Evaluation Reports (both Country-Level) providing less positive evidence and 8 Evaluation Report providing mixed evidence (five Thematic, one Strategic Objective Evaluation and 2 country level evaluations).</p> <p>The Synthesis of lessons learned in the application of Country Programming Frameworks noted that of 55 "post 2015" CPFs found that 32 had some relevant context analysis, while 7 made use of up-to date analysis of macro and sectoral data in their priority setting. Nevertheless, 16 CPFs did not seem to include relevant context analysis as evidence for prioritisation.</p> <p>The 2017 Programme Evaluation Report notes that most evaluations (87%) found the programme satisfactory or highly satisfactory in an assessment of the relevance and strategic alignment of FAO's programmes to national development goals and to regional and global priorities. FAO programmes were found highly relevant to the countries' needs in about half of evaluations (51%). They were well aligned with national priorities and needs as identified in national policy documents and plans. However, in some cases inadequate support for country led processes resulted in lower levels of engagement in decision-making processes by partners and other stakeholders.</p> <p>It is noted that some of the country offices visited for the Evaluation of FAO's SO5 built strongly contextualised tailored intervention strategies in tight collaboration with governments rather than in isolation. However, many of the smaller interventions were implemented without prior analysis and consideration of local contexts and vulnerability assessments (particularly where projects were spin offs from emergency interventions). In Guyana, interventions were complementary and supportive to the country's needs whereas in Lao PDR, the Country Programming Framework had been developed on funding rather than identifying priorities based on country's needs and there was no evidence of contextual analysis at the community level. The Somalia Country programme is also criticised for not being based on a robust problem analysis.</p>	<p>56, 57, 58, 59, 60, 61, 62, 63, 65, 66, 67, 97, 100, 101, 103, 107, 111</p>
<b>MI 10.3 Evidence confidence</b>	<b>High confidence</b>

KPI 11: Results delivered efficiently	KPI score
<b>Unsatisfactory</b>	<b>2</b>
<p>The pursuit of efficiency gains and savings remains a high priority for the organisation and this is reflected in the Evaluation Reports reviewed. How some of these savings translate into efficiency in terms of programme delivery varies, however. Two of the Evaluation Reports reviewed provided evidence of largely positive performance in this area. Three Evaluation Reports were less positive, and 10 provided evidence of mixed performance. There were good examples of efficiency gains as found, for example, in the Forest and Farm Facility Programme evaluation where it is noted that the tripartite partnership of FAO-IIED and IUCN was instrumental for the efficiency of the model and for deepening the lessons learned from its implementation. The ENAF and ENACT also made efficient use of their financial resources resulting in good value for money. However, there are also examples of slow administrative processes in FAO affecting efficiency and the in the case of FAO's work on climate change adaptation, the dispersed portfolio affecting the ability to bring about change in any one country.</p> <p>In the Evaluations reviewed, it was found that "partnerships" both created (e.g. FAO-IIED-IUCN in Forest Farm Facility and FAO-UN partners – donors in Afghanistan) and inhibited efficiencies (e.g. the inter-UN agency partnership in the Climate Change adaptation work).</p> <p>Delivering on time is a challenge across programmes. Several programmes received either cost or no cost extensions and a theme that runs through the Evaluation Reports reviewed is that programme design needs to be more realistic of the time taken to deliver results and that they are at times over ambitious or too thinly spread. It is also noted in the Programme Evaluation Report (2017) that there was often a divergence between the donors' schedules and the time required to delivery results.</p>	
<b>MI 11.1: Interventions assessed as resource/cost efficient</b>	<b>Score</b>
<b>MI Rating</b>	<b>Satisfactory</b>
<b>MI score</b>	<b>2.5</b>
<b>MI 11.1 Analysis</b>	<b>Source document</b>
<p>The pursuit of efficiency gains and savings remains a high priority for the organisation and this is reflected in the Evaluation Reports reviewed. How some of these savings translate into efficiency in terms of programme delivery varies, however. Two of the Evaluation Reports reviewed (one Thematic and one Country Level) provided evidence of largely positive performance in this area. Three Evaluation Reports were less positive (two Country Level and one project in country evaluation) and ten provided evidence of mixed performance (six thematic, two SO evaluation, one project in country and one country-level evaluation).</p> <p>There were good examples of efficiency gains as found, for example, in the Forest and Farm Facility Programme evaluation where it is noted that the tripartite partnership of FAO-IIED and IUCN was instrumental for the efficiency of the model and for deepening the lessons learned from its implementation. The ENAF and ENACT also made efficient use of their financial resources resulting in good value for money. The Guyana Country Programme also provides a positive example of FAO contributing in key and strategic areas despite the relatively small staff base and limited resources. It is also noted in the Mid Term Review Synthesis Report (2016), that Country Programming Frameworks and project cycle had been streamlined and there was more systematic attention paid to quality and timelines in delivery of projects.</p> <p>However, there are also examples of slow administrative processes in FAO affecting efficiency and the in the case of FAO's work on climate change adaptation, the dispersed portfolio affecting the ability to bring about change in any one country.</p>	6, 55, 56, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 100, 101, 107

<p>The lack of predictable resources at times was found to deprive FAO from the ability to invest over the long term and affect efficiency. For example, the lack of predictable resources within SP 5 “creates an unnecessary administrative burden, affects staff morale, efficiency and retention, and disrupts the durability of FAO’s support in resilience” (Mid Term Review Synthesis Report, 2016). It was noted that the limited resources spent on disseminating knowledge products limited outreach to potential new users. Five Evaluation Reports noted a poor contextual analysis, which implies an inefficient use of resources.</p> <p>In the Evaluations reviewed, it was found that “partnerships” both created (e.g. FAO-IIED-IUCN in Forest Farm Facility and FAO-UN partners – donors in Afghanistan) and inhibited efficiencies (e.g. the inter-UN agency partnership in the Climate Change adaptation work).</p>	<p>6, 55, 56, 58, 59, 60, 61, 62, 63, 64, 65, 66, 67, 100, 101, 107</p>
<b>MI 11.1 Evidence confidence</b>	<b>High confidence</b>
<b>MI 11.2: Implementation and results assessed as having been achieved on time (given the context, in the case of humanitarian programming)</b>	<b>Score</b>
<b>MI Rating</b>	<b>Unsatisfactory</b>
<b>MI score</b>	<b>1.5</b>
<b>MI 11.2 Analysis</b>	<b>Source document</b>
<p>In total two Evaluation Report (country level evaluations) provided evidence of positive performance against this indicator and eight (two country level, one project in country evaluation, one SO evaluation and four thematic evaluations) provided evidence of some form of delay.</p> <p>Several programmes received either cost or no cost extensions and a theme that runs through the Evaluation Reports reviewed is that programme design needs to be more realistic of the time taken to deliver results and that they are at times over ambitious or too thinly spread. It is also noted in the Programme Evaluation Report (2017) that there was often a divergence between the donors’ schedules and the time required to delivery results.</p> <p>Other reasons for delay included: delay in recruitment (one Programme-in-country evaluation), changes in government personnel (one Programme-in-Country Evaluation), ambitious project design (one Country Level Evaluation), efforts to be cost-effective (one Programme Evaluation), lengthy procurement processes (one Strategic Objective Evaluation) and factors outside of FAO’s control (one Country Level Evaluation).</p>	<p>54, 56, 60, 61, 62, 63, 65, 66, 67,101, 107</p>
<b>MI 11.2 Evidence confidence</b>	<b>High confidence</b>

<b>KPI 12: Sustainability of results</b>	<b>KPI score</b>
<b>Satisfactory</b>	<b>2.5</b>
<p>Evidence from the Evaluation reports was largely mixed relating to sustainability of results with some elements of the programmes presenting as sustainable and others less so. Two Evaluation Reports raised questions of sustainability, although it is noted that for the country evaluations this may be partly explained by the unstable context within which FAO was working.</p> <p>Issues raised within the evaluation reports included: insufficient involvement of governments, risk of generating dependency through the provision of grants without defined counterparts, short project duration and use of consultants/lack of engagement with national personnel, a lack of longer term strategic planning, implementation of short projects (due to resource constraint) and poor exit strategies. On the other hand, factors that had contributed to sustainability included high level of ownership at all levels of government, collaboration with central government, more joined up interventions and capacity building/empowerment approaches.</p> <p>Of the Evaluation Reports, which provided evidence demonstrating built capacity, 4 were overall positive, 2 were largely negative and 9 presented mixed evidence. The reports displayed a high level of effort in building capacity, although some focused more on individual than organisational / institutional level. Another emerging theme found in five Evaluation Reports was that capacity building was not strategic enough which may have affected sustainability.</p> <p>The evidence is mainly positive in terms of FAO interventions strengthening the enabling environment at country and global level. Where there had been little impact on strengthening an enabling environment, this was because the programme had not been sufficiently strategic in its approach.</p>	
<b>MI 12.1: Benefits assessed as continuing or likely to continue after project or program completion or there are effective measures to link the humanitarian relief operations to recovery, to resilience and eventually to longer-term development results</b>	<b>Score</b>
<b>MI Rating</b>	<b>Satisfactory</b>
<b>MI score</b>	<b>2.5</b>
<b>MI 12.1 Analysis</b>	<b>Source document</b>
<p>Out of 16 Evaluation Reports that provide evidence relating to this indicator, 14 provided mixed results (6 Thematic, 2 Strategic, 2 Programmes-in-country and 4 Country Level Evaluation) where some elements of the programme were sustainable and others less so. Two Evaluation Reports raised questions of sustainability (one country and one thematic), although it is noted that for the country evaluations this may be partly explained by the unstable context within which FAO was working.</p> <p>Issues raised included: insufficient involvement of governments, risk of generating dependency through the provision of grants without defined counterparts, short project duration and use of consultants/lack of engagement with national personnel, a lack of longer term strategic planning, implementation of short projects (due to resource constraint) and poor exit strategies.</p> <p>On the other hand, factors that had contributed to sustainability included high level of ownership at all levels of government, collaboration with central government, more joined up interventions and capacity building/empowerment approaches.</p>	55, 56, 58, 60, 61, 66, 62, 63, 64, 65, 67, 103, 100, 101, 106, 107
<b>MI 12.1 Evidence confidence</b>	<b>High confidence</b>

<b>MI 12.2: Interventions assessed as having built sufficient institutional and/or community capacity for sustainability, or have been absorbed by government</b>	<b>Score</b>
<b>MI Rating</b>	<b>Satisfactory</b>
<b>MI score</b>	<b>2.5</b>
<b>MI 12.2 Analysis</b>	<b>Source document</b>
<p>Of the Evaluation Reports which provided evidence relating to this indicator, four was overall positive (two Country Level Evaluations, one SO and one thematic evaluation), two were largely negative (two Thematic Evaluations) and nine presented mixed evidence (three Thematic, one Strategic, three Country Level and two programme in country evaluations). The 2014-15 Programme Implementation Report provides many examples of improved capacity across the countries that FAO works.</p> <p>The FAO projects and programmes in the Evaluation Reports reviewed displayed a high level of effort in building capacity, although some focused more on individual than organisational/institutional level. In Lao PDR for example, most capacity building activities concentrated on training individuals rather than addressing organisational capacity or creating an enabling environment. That said in Lao PDR it is noted that as most policy and data-activities had been done in collaboration with Government counterparts there will have been some “collateral effects” during these initiatives.</p> <p>Another emerging theme found in five Evaluation Reports was that capacity building was not strategic enough which may have affected sustainability. The Evaluation of the Improved Global Governance for Hunger Reduction Programme for example found that capacity building had some emerging good practice but lacked a coherent integrated strategy. Adopting a more strategic approach was also noted as a requirement in South Sudan. In Somalia, it was noted that there was confusion regarding the definition of capacity building and that there had been little effort to monitor the longer-term impact or sustainability of capacity building efforts. The Capacity Building for Food Security and Better Nutrition Project in Lao PDR provides an example of “short projects and limited funding” not being conducive to undertaking projects with broader and longer-term objectives”. Short duration of projects implemented by visiting consultants without meaningful engagement of national personnel was found to leave little to show in terms of capacity development in the Evaluation of the FAO Multi-Partner Programme Support Mechanism.</p>	56, 58, 60, 61, 62, 63, 64, 65, 66, 67, 90, 101, 103, 106, 10
<b>MI 12.2 Evidence confidence</b>	<b>High confidence</b>
<b>MI 12.3: Interventions assessed as having strengthened the enabling environment for development</b>	<b>Score</b>
<b>MI Rating</b>	<b>Satisfactory</b>
<b>MI score</b>	<b>2.5</b>
<b>MI 12.3 Analysis</b>	<b>Source document</b>
<p>From the Evaluation Reports reviewed, seven provided largely positive evidence (two Thematic Evaluation, three country programme evaluations and one project in country evaluation), three provided less positive evidence (a Country level and two Thematic Evaluations) and seven provided examples of mixed evidence against this indicator (three Thematic, three Strategic Objective and one Programme-in-Country evaluation). Where there had been little impact on strengthening an enabling environment, this was because the programme had not been sufficiently strategic in its approach.</p>	55, 56, 57, 58, 59, 60, 62, 62, 64, 65, 66, 90, 100, 101, 103, 106, 107

<p>FAO's Programme Implementation Report for 2016-17 provides numerous examples of where FAO has contributed to strengthening the enabling environment across the countries in which it works as the outcomes reflect changes in the country level and/or global enabling environment needed to foster the achievement of the Strategic Objectives. This includes examples of the development of policy frameworks, norms, standards and agreements.</p> <p>For example under Strategic Objective 1, countries 44% of countries had improved their overall co-ordination mechanisms and partnerships for food security and nutrition between 2013 and 2017 with 83% of countries in the medium and medium high performance classes in 2017 compared to 48% in 2013. Under Strategic Objective 2 there is also positive reporting as for example the assessment of change in governance frameworks to facilitate the transition to sustainable agriculture shows a positive trend (Outcome 2.2) as was progress recorded on endorsement or adoption of international and regional instruments for sustainable agricultural production systems (Outcome 2.3). Under Strategic Objective 3, it is reported that 58% of countries had an improved set of policies, institutions and interventions to generate decent rural employment, including for women and youth (Outcome 3.2).</p> <p>Highlights of global achievements include the development of global knowledge products and information base to support regional and country led implementation under the auspices of the CFS on the issue of Sustainable Forestry and Women's Empowerment; and the development of strategic inputs and active engagement in global processes to promote the inclusion of food security and nutrition goals and considerations, including COP22 and COP23, COFI, UNSCN, the Scaling Up Nutrition movement, the UN Zero Hunger Challenge and the Global Alliance for Climate-Smart Agriculture to name a few.</p>	<p>55, 56, 57, 58, 59, 60, 62,62, 64, 65, 66, 90, 100, 101, 103, 106, 107</p>
<p><b>MI 12.3 Evidence confidence</b></p>	<p><b>Medium confidence</b></p>



## Annex 2. List of documents

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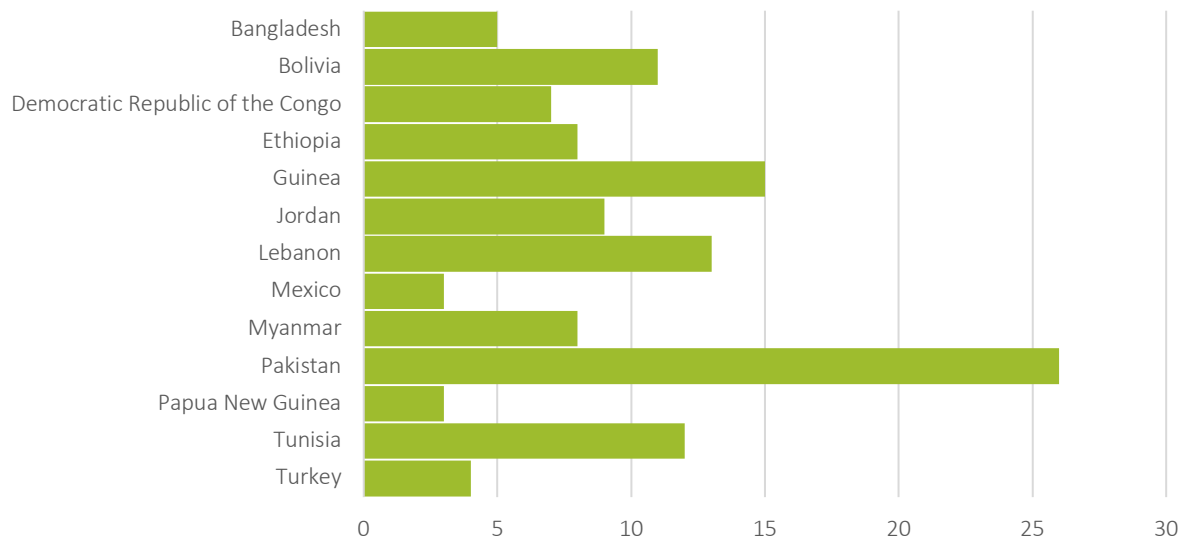
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## Annex 3. Results of Mopan’s Partner Survey

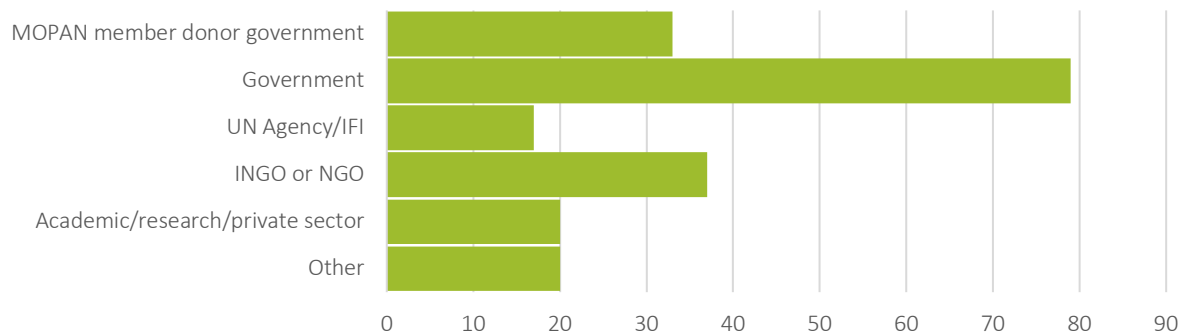
### Response profile

**Number of survey responses:** 206

#### Number of survey responses by country:

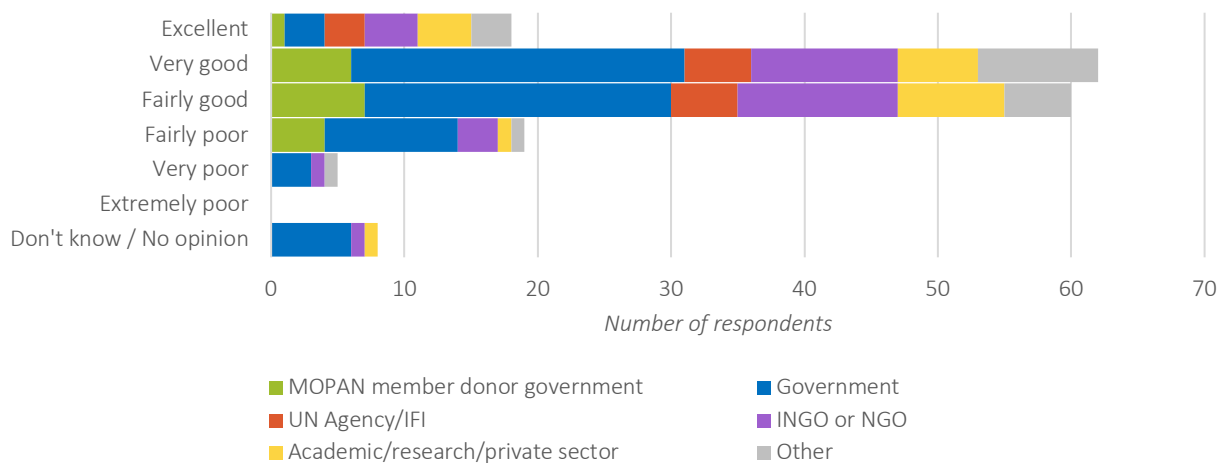


#### Respondent type:

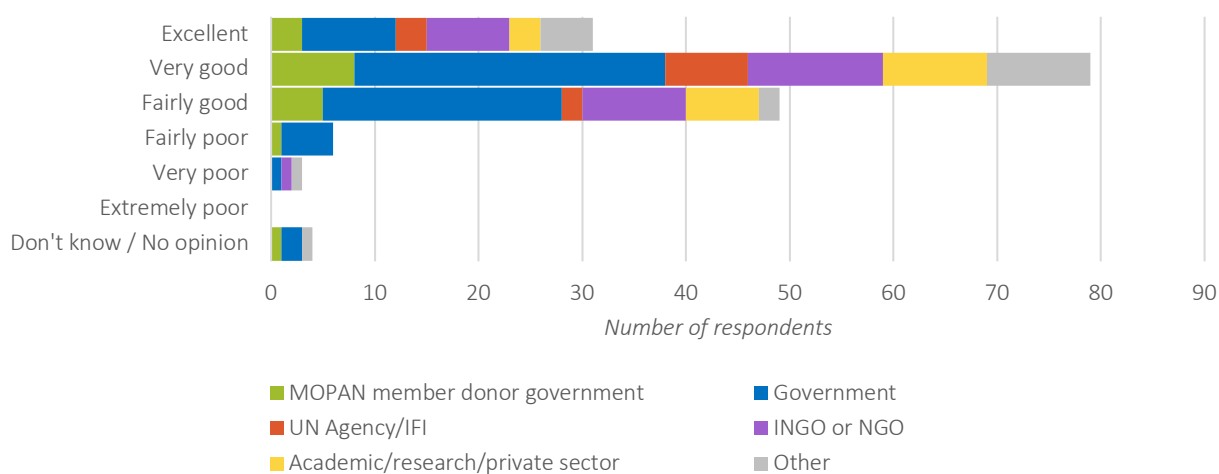


## Staffing

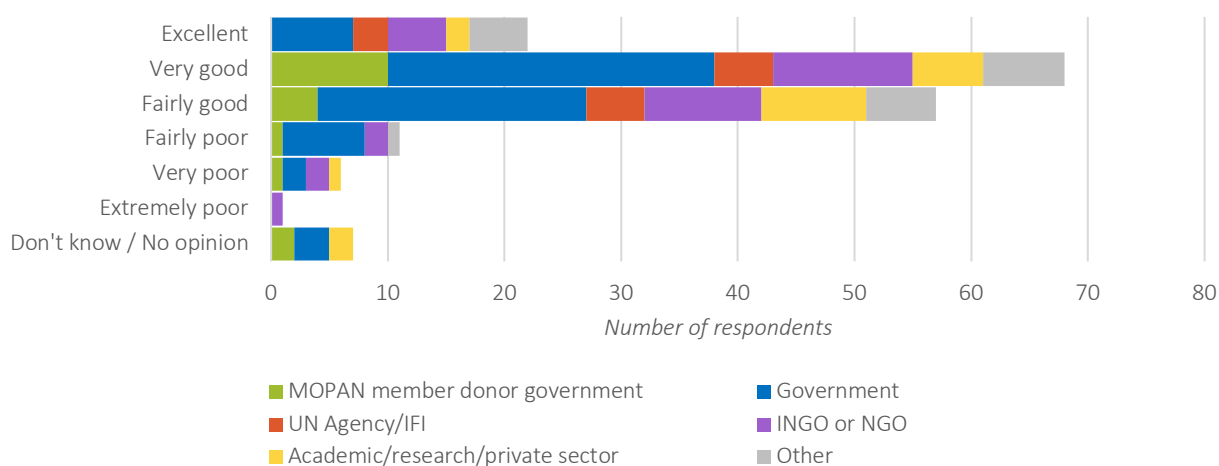
### FAO has sufficient staffing to deliver results



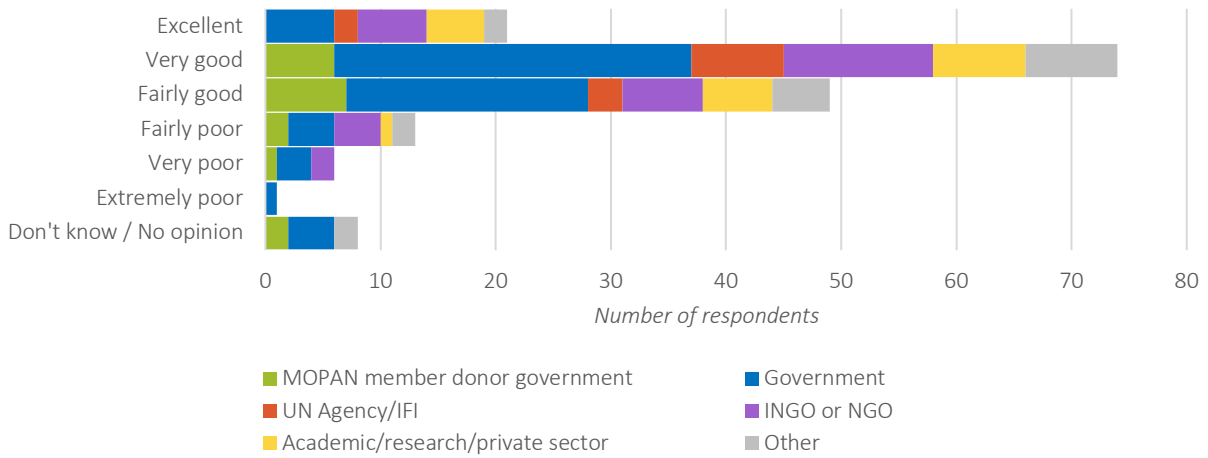
### FAO has sufficiently skilled and experienced staff



### FAO has sufficient continuity of staff to build relationships

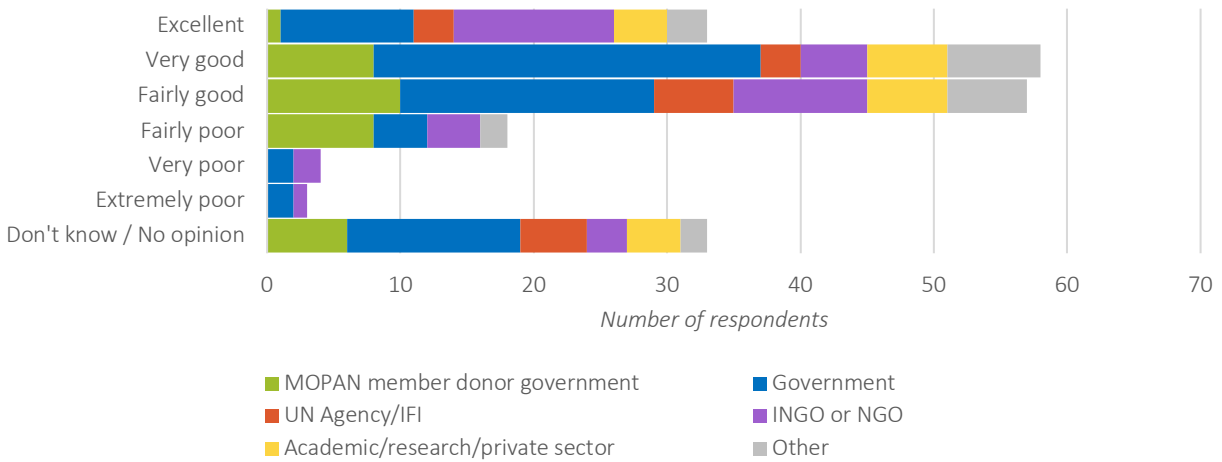


### FAO staff can make critical strategic and programming decisions locally

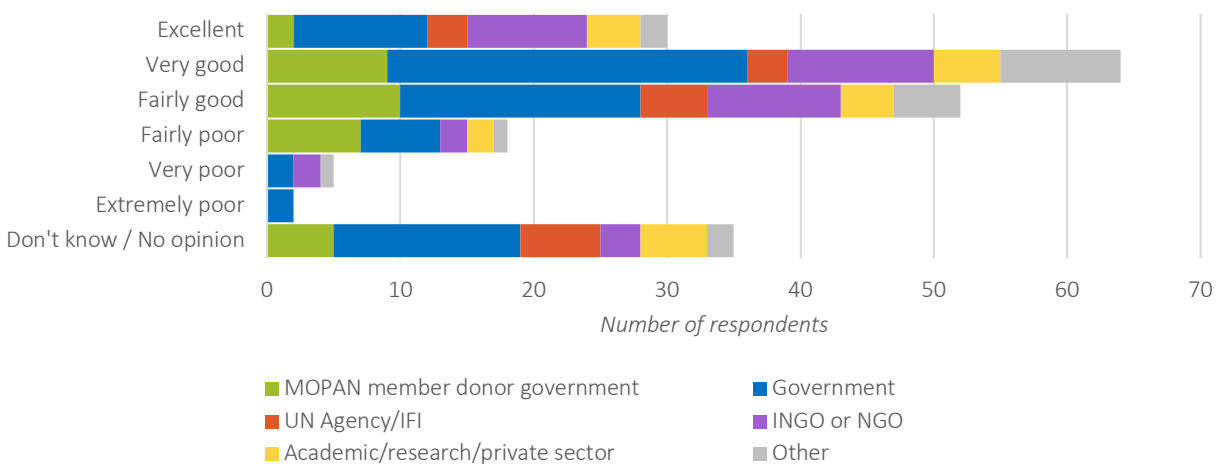


### Managing financial resources

#### FAO provides transparent criteria for financial resource allocation

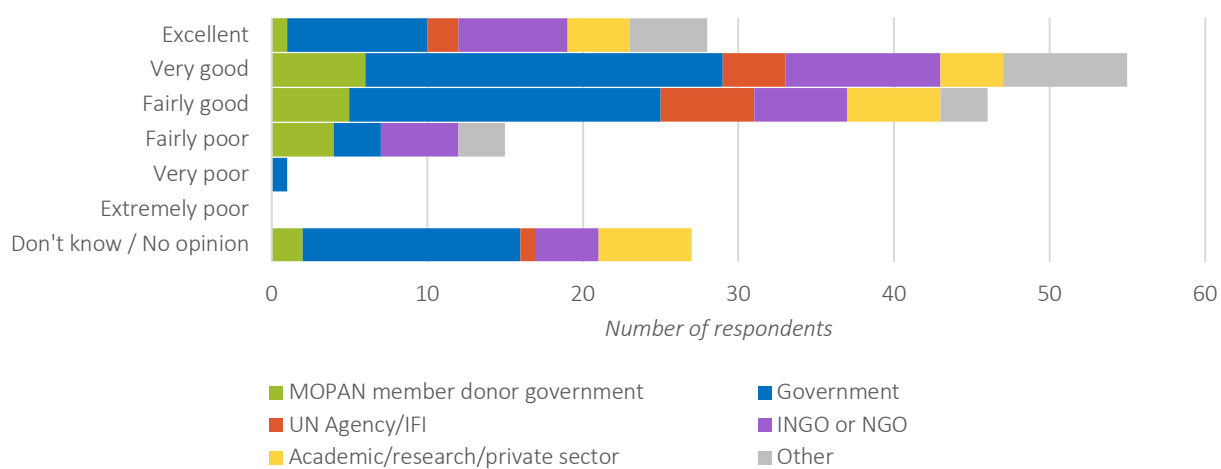


#### FAO provides predictable financial allocations and disbursements

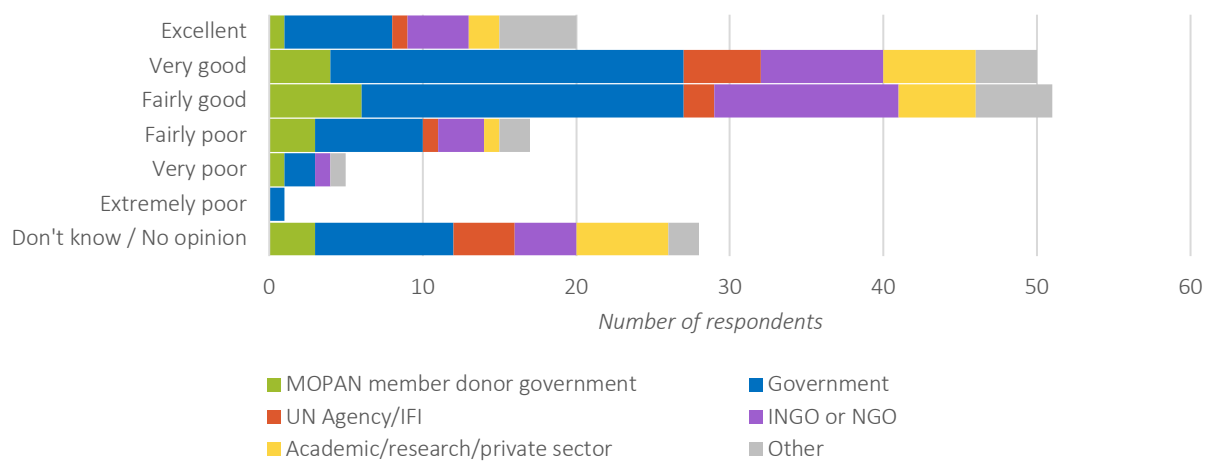




### FAO financial cooperation is coherent/not fragmented

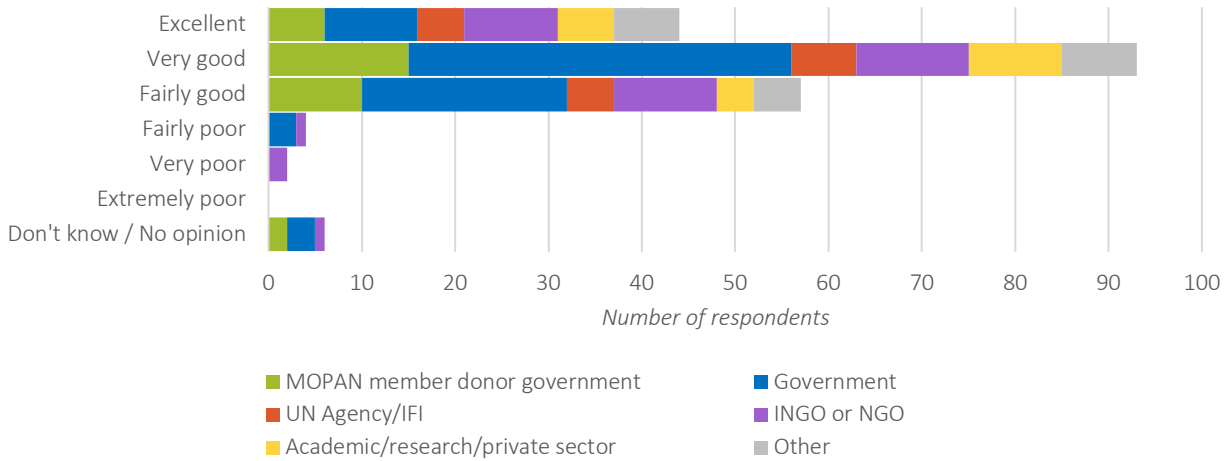


### FAO has flexible resources

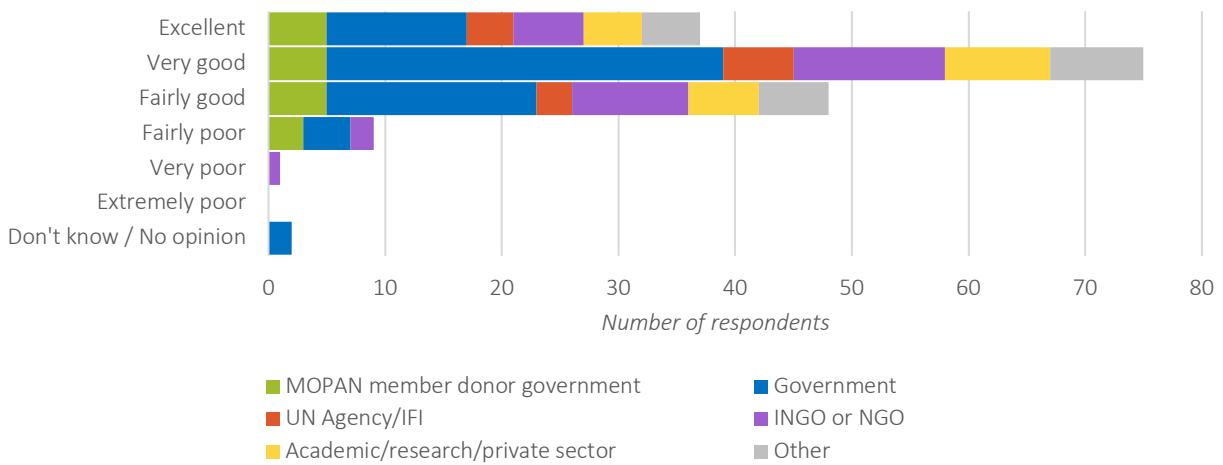


### Interventions (programmes, projects, normative work)

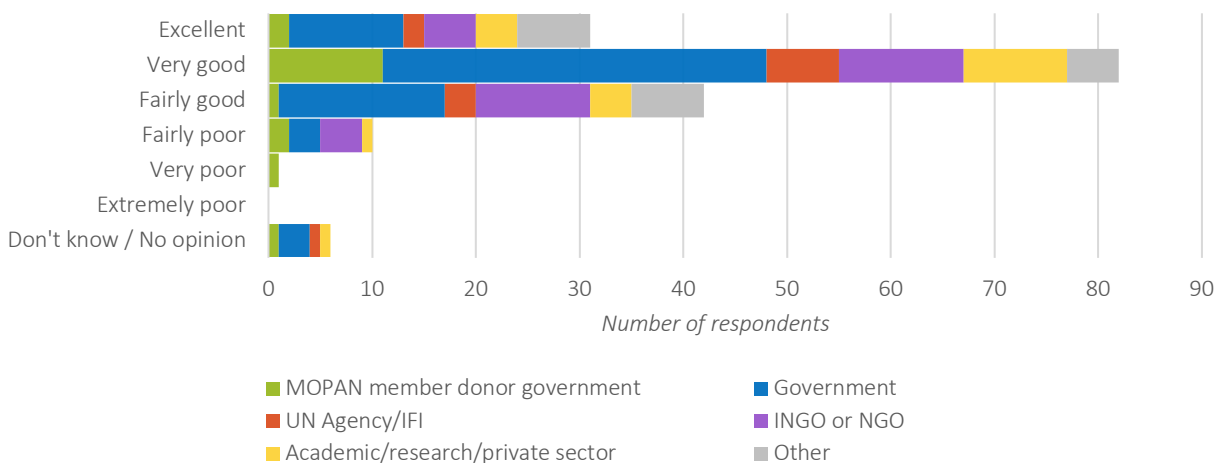
#### FAO interventions are fit national programmes and results of partner countries



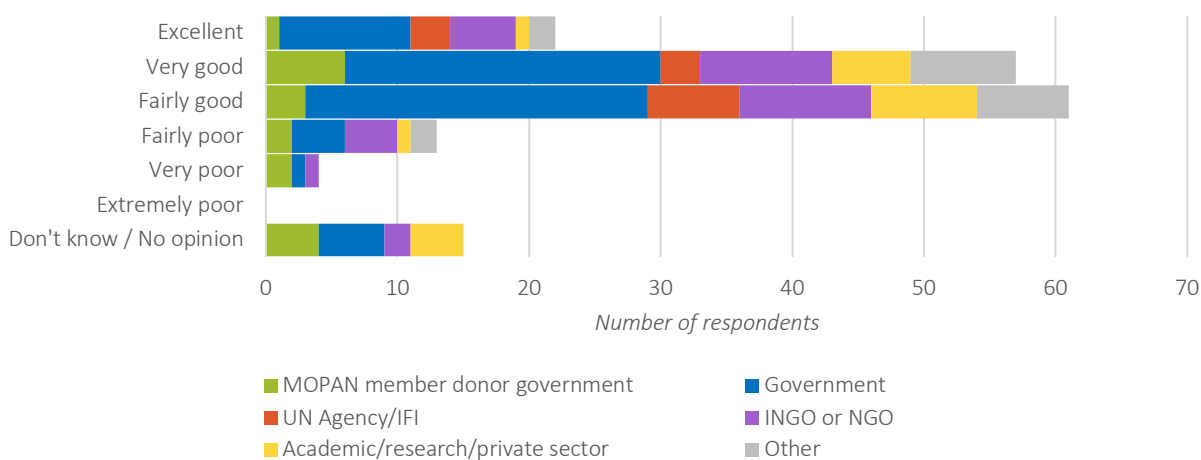
#### FAO interventions are tailored to the needs of the local context



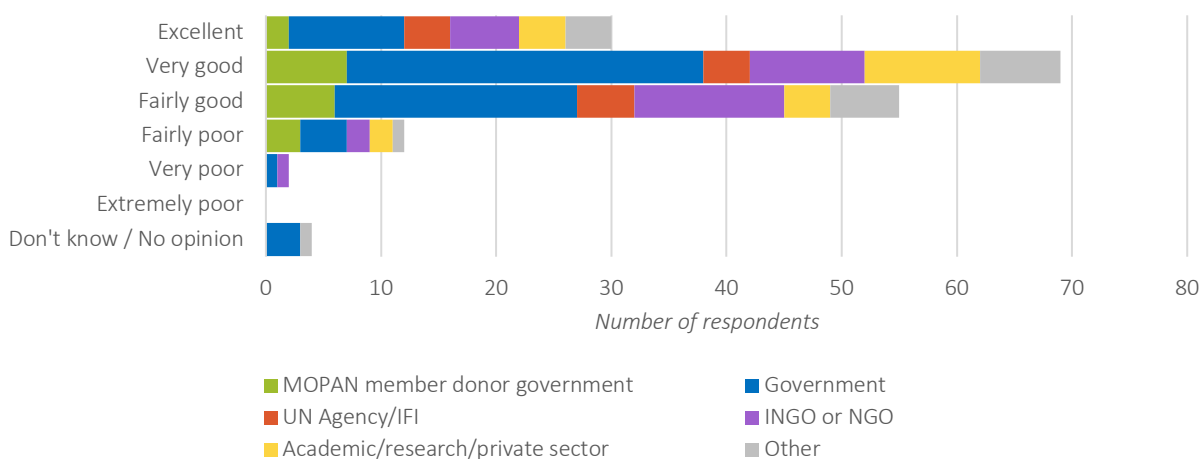
#### FAO interventions are based on a clear understanding of comparative advantage



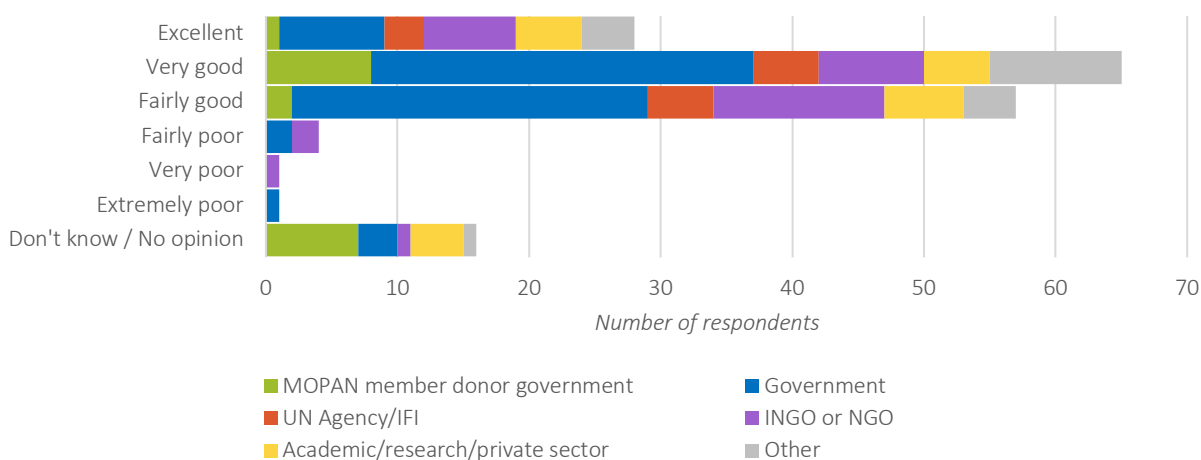
### FAO can adapt or amend interventions to changes in context



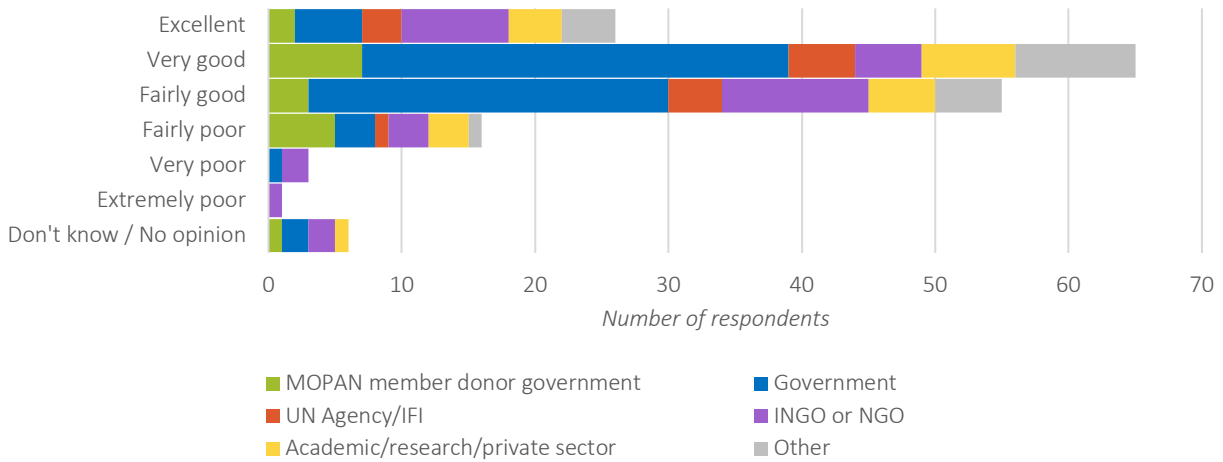
### FAO interventions take in to account realistic assessments of national/regional capacities



### FAO interventions appropriately manage risk in a given context

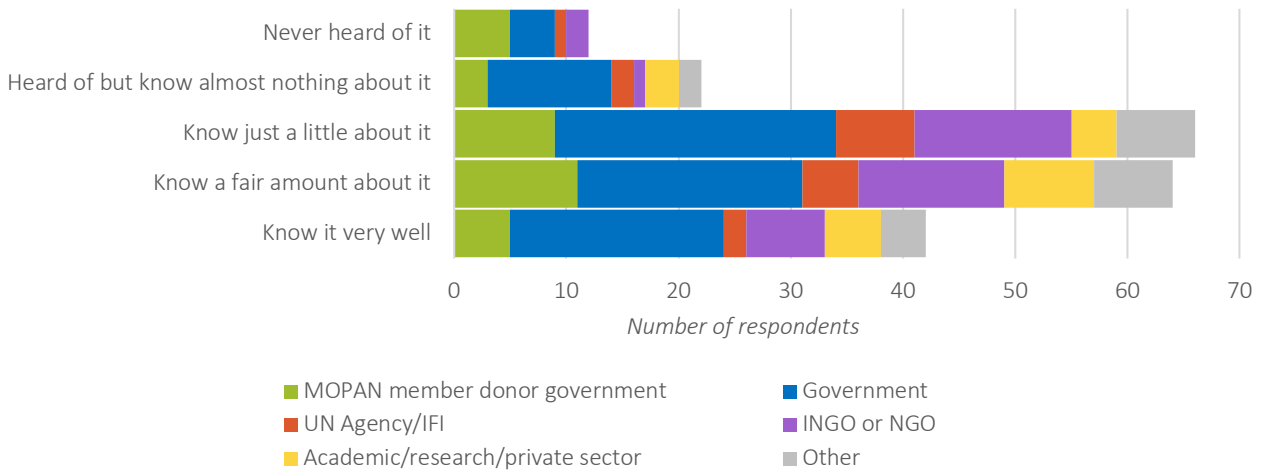


**FAO designs and implements its interventions to sustain effect and impact over time**

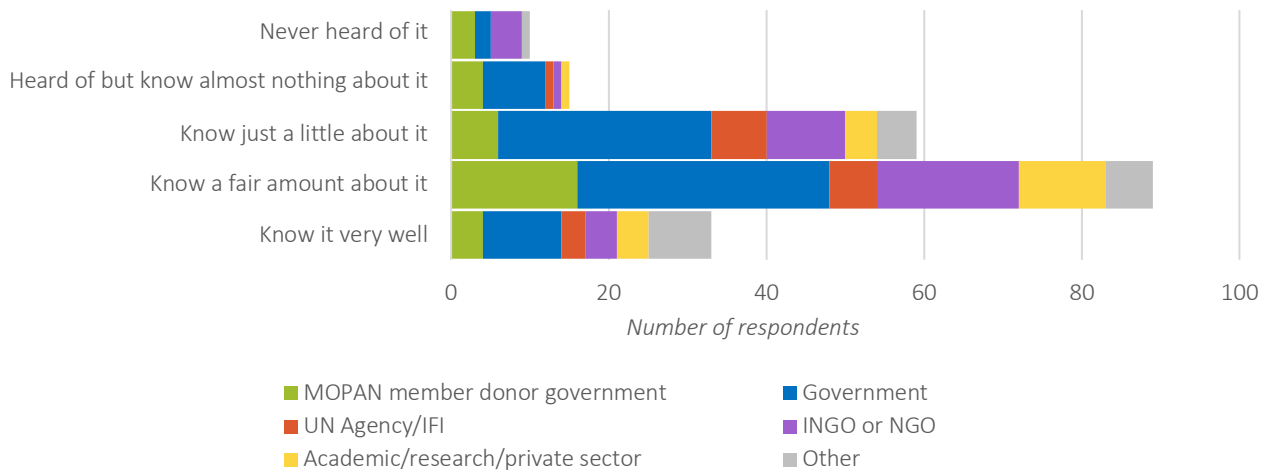


**Interventions (cross-cutting issues)**

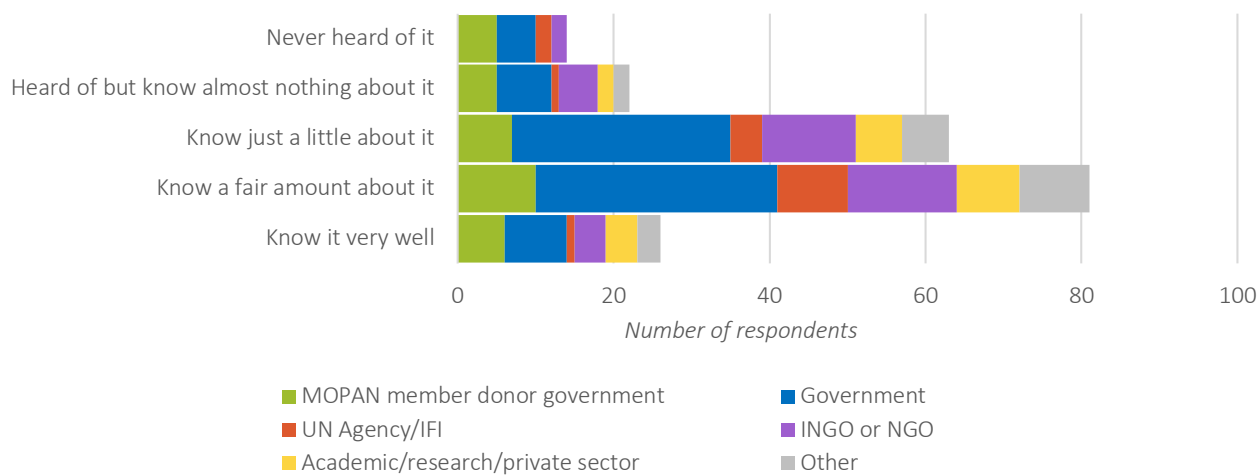
**Familiarity with gender strategy of FAO**



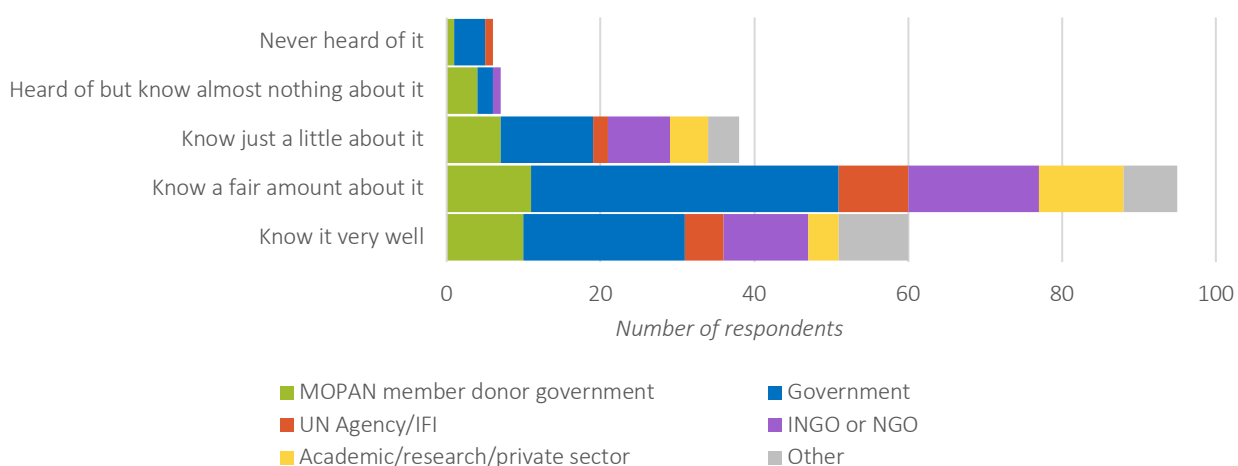
**Familiarity with environmental sustainability strategy of FAO, including addressing climate change**



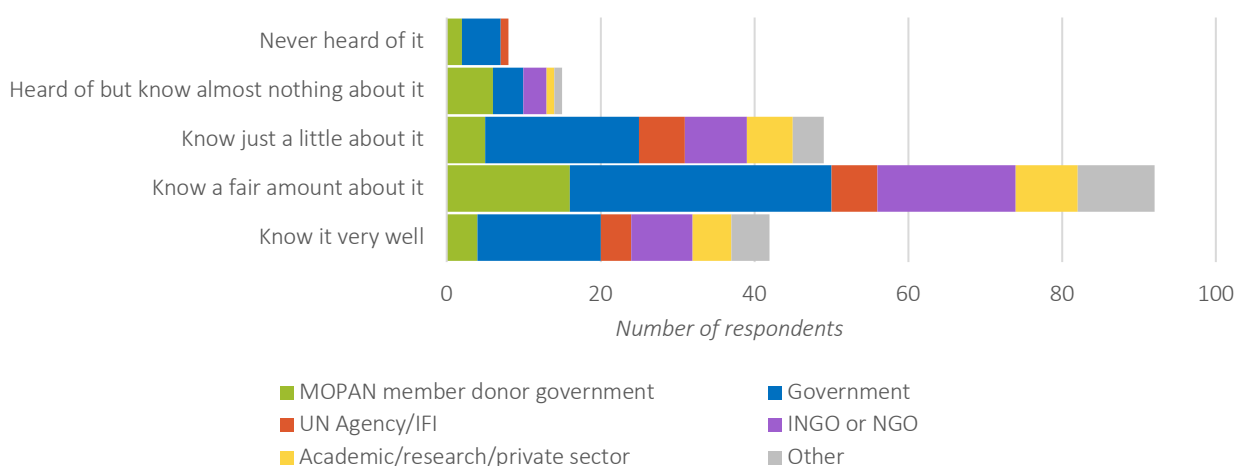
### Familiarity with strategy for setting out how FAO intends to engage with good governance



### Familiarity with strategy for how FAO intends to take forward its policy commitment on human rights

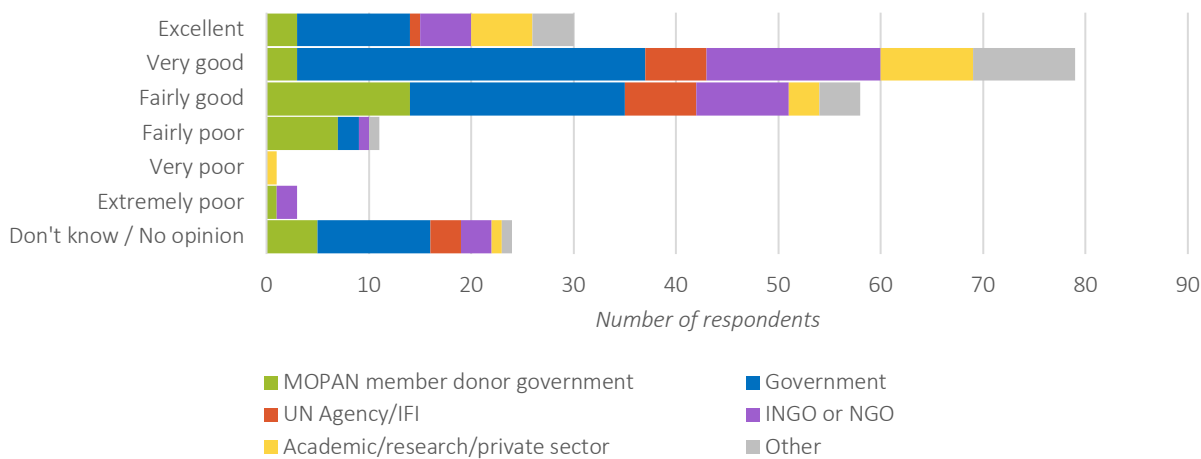


### Familiarity with strategy for how FAO intends to take forward nutrition

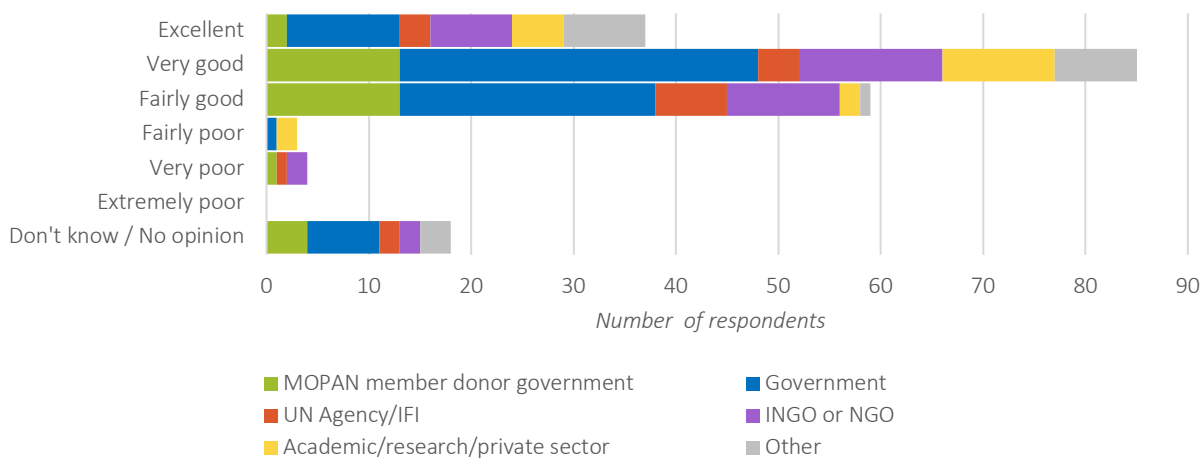


### Interventions (cross-cutting issues, organisational performance)

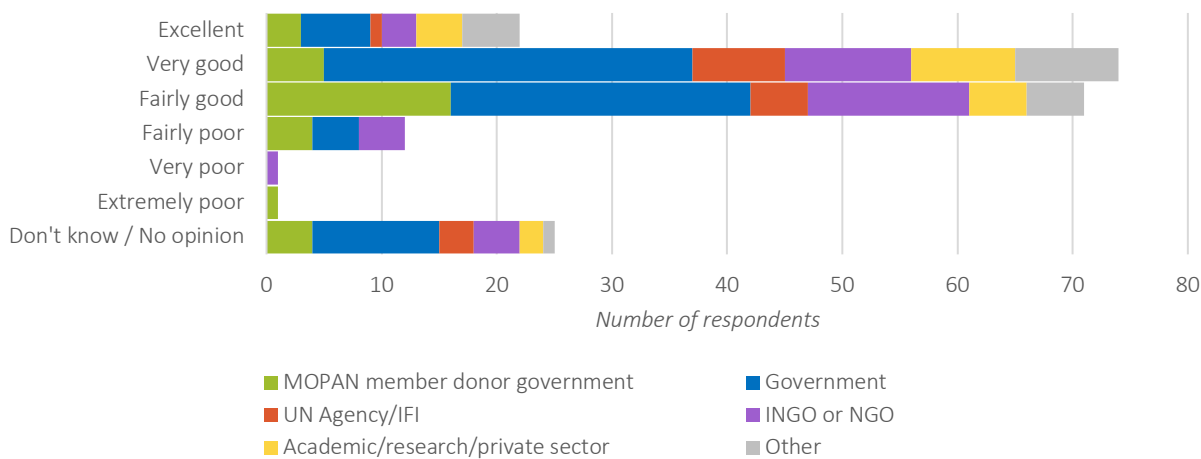
#### FAO promotes gender equality



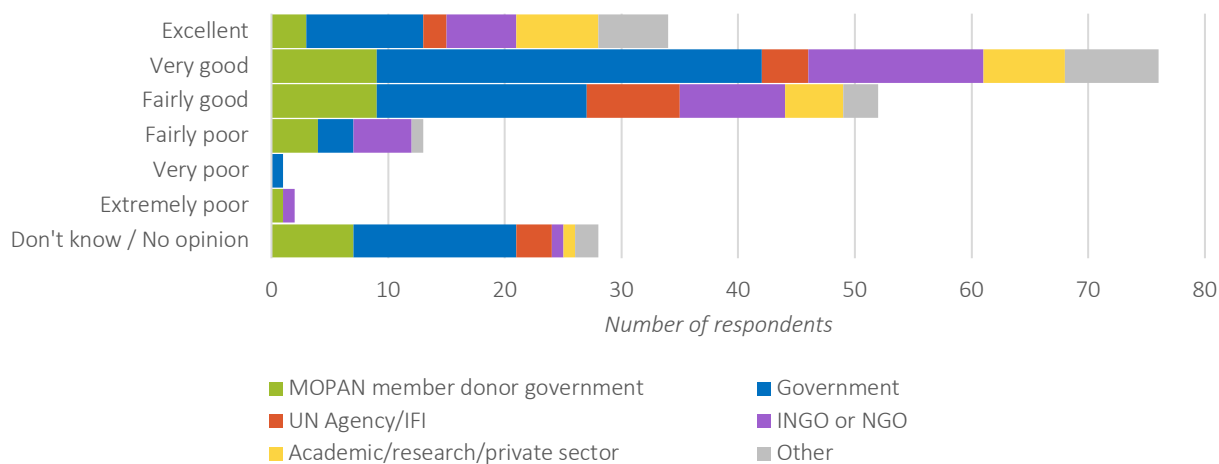
#### FAO promotes environmental sustainability/addresses climate change



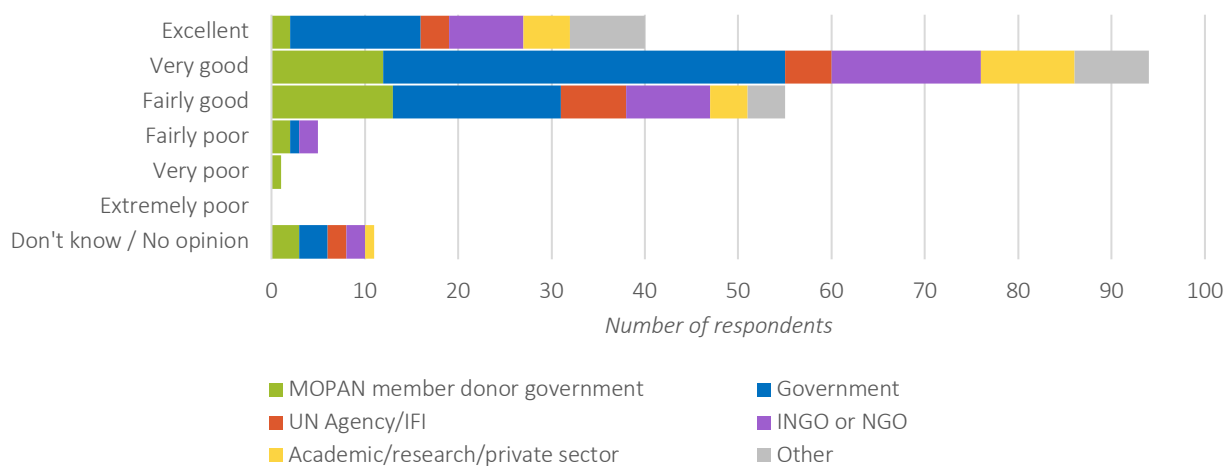
#### FAO promotes principles of good governance



### FAO promotes human rights

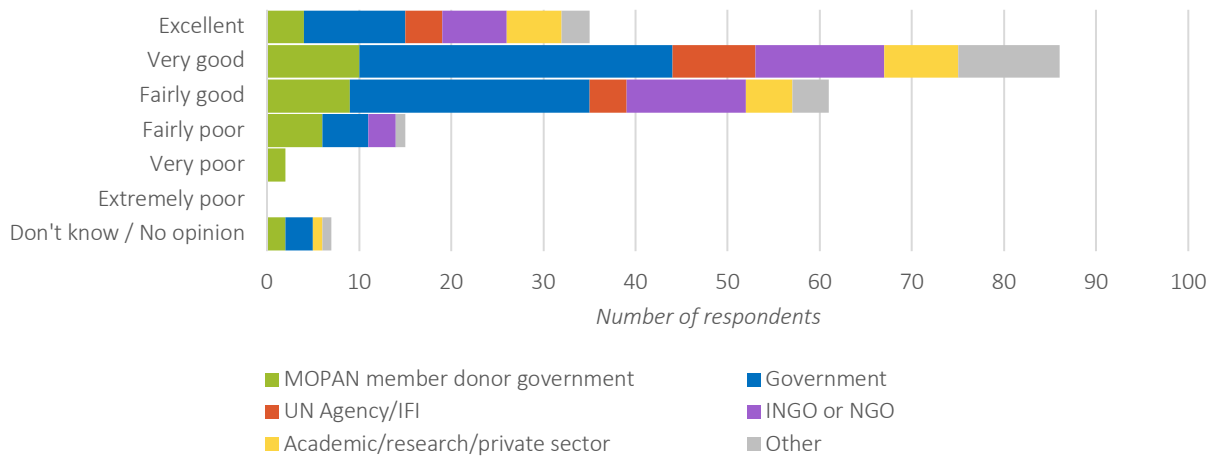


### FAO promotes nutrition

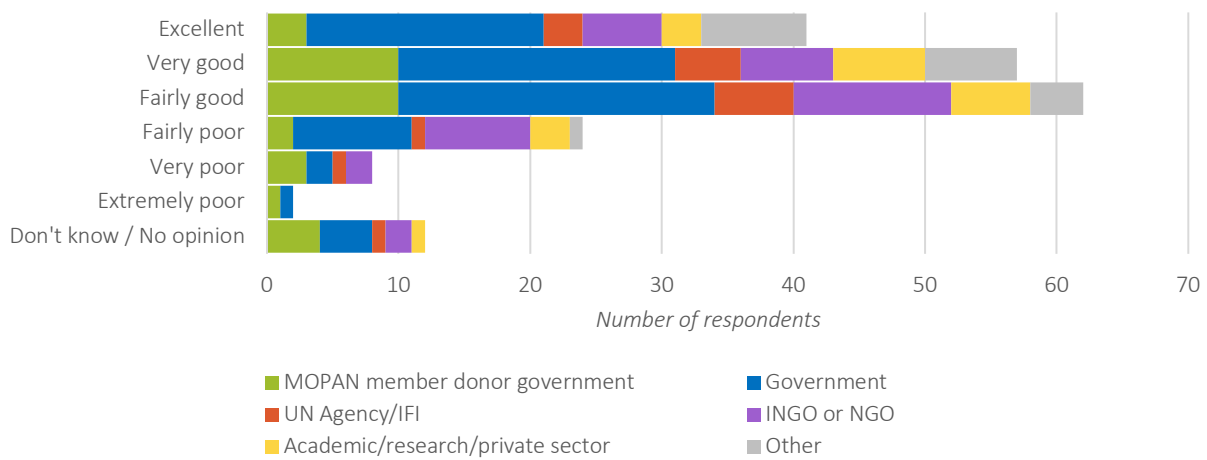


## Managing relationships

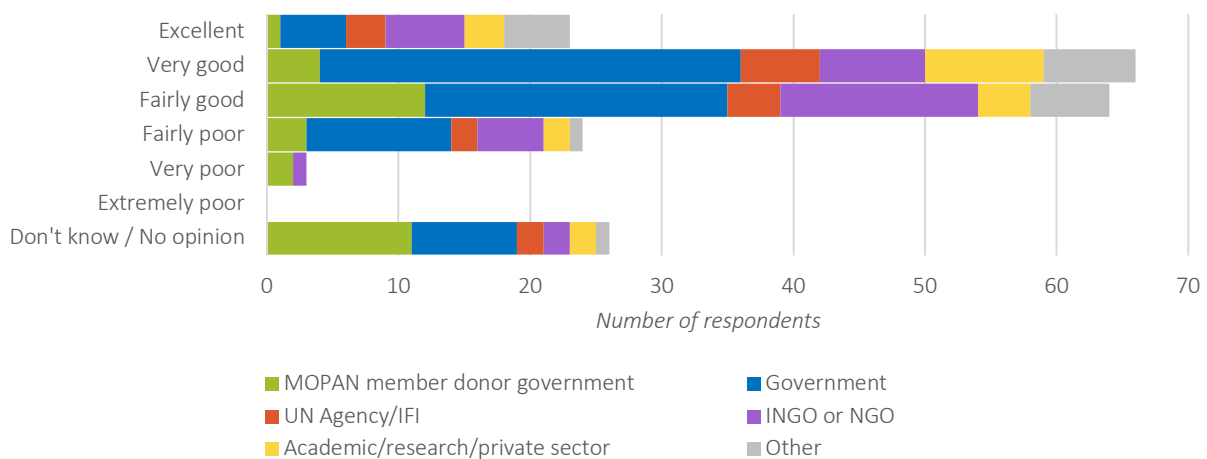
### FAO prioritises working in synergy/partnerships



### FAO shares key information with partners on an ongoing basis

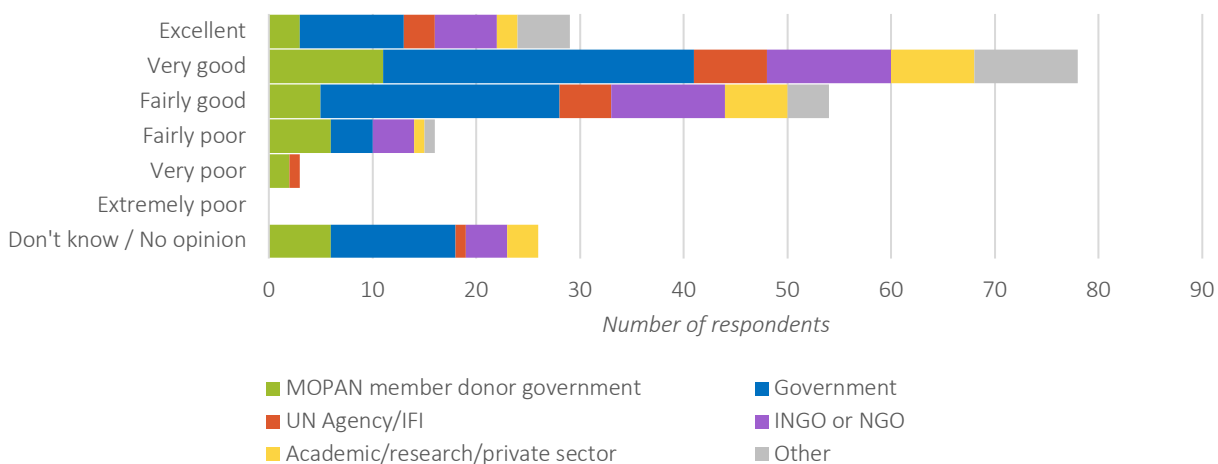


### FAO uses regular review points with partners to identify challenges

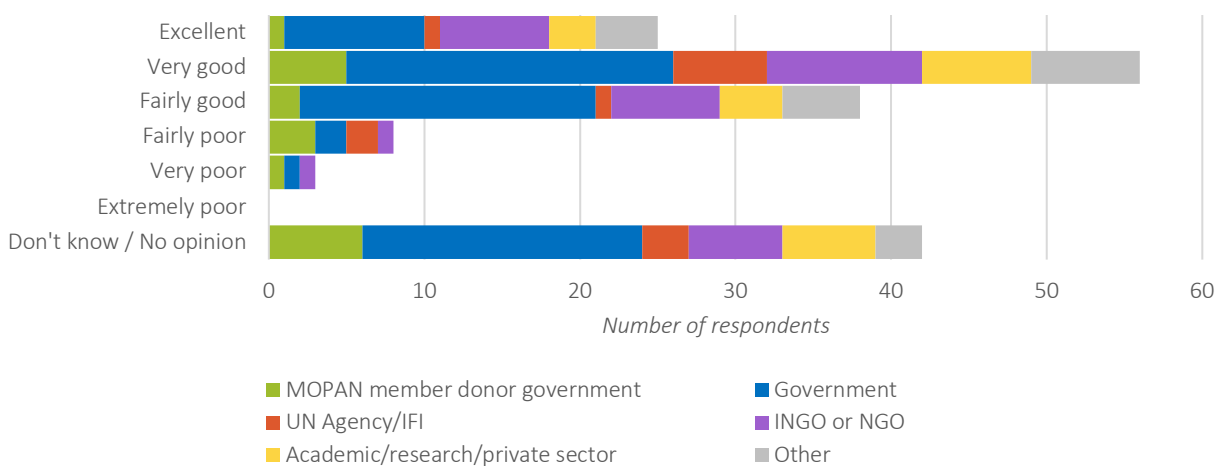




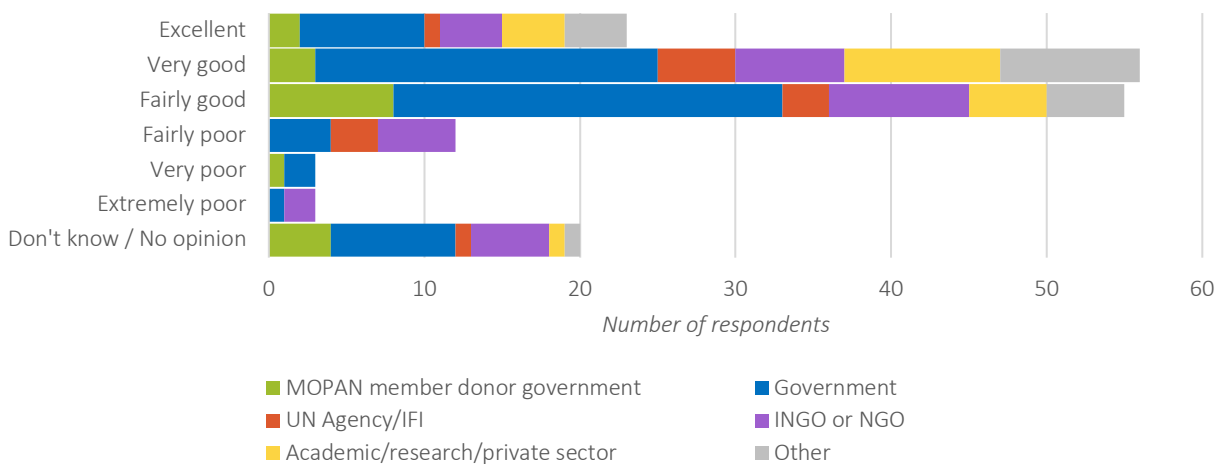
### FAO organisational procedures are synergised with partners



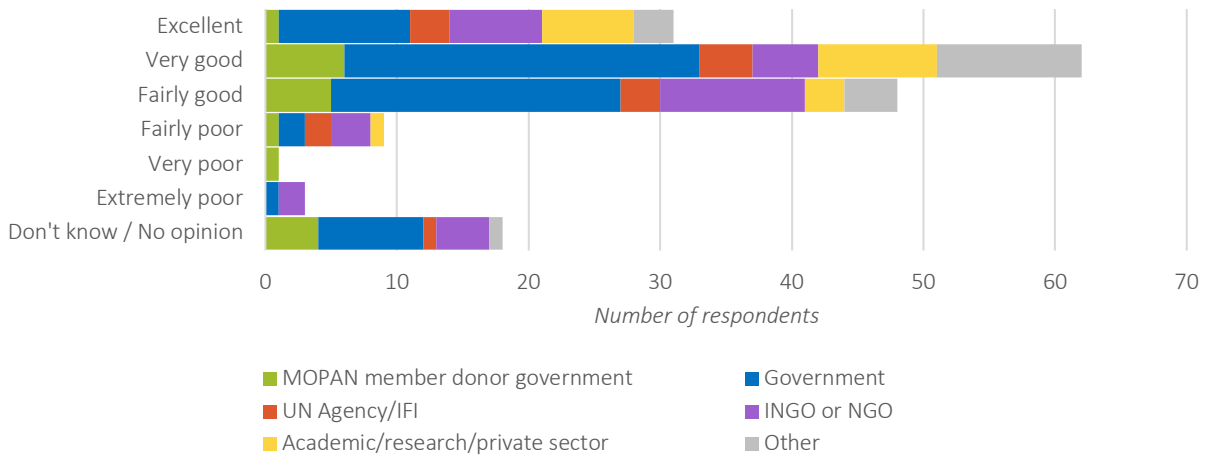
### FAO works well on shared agendas with the other RBAs



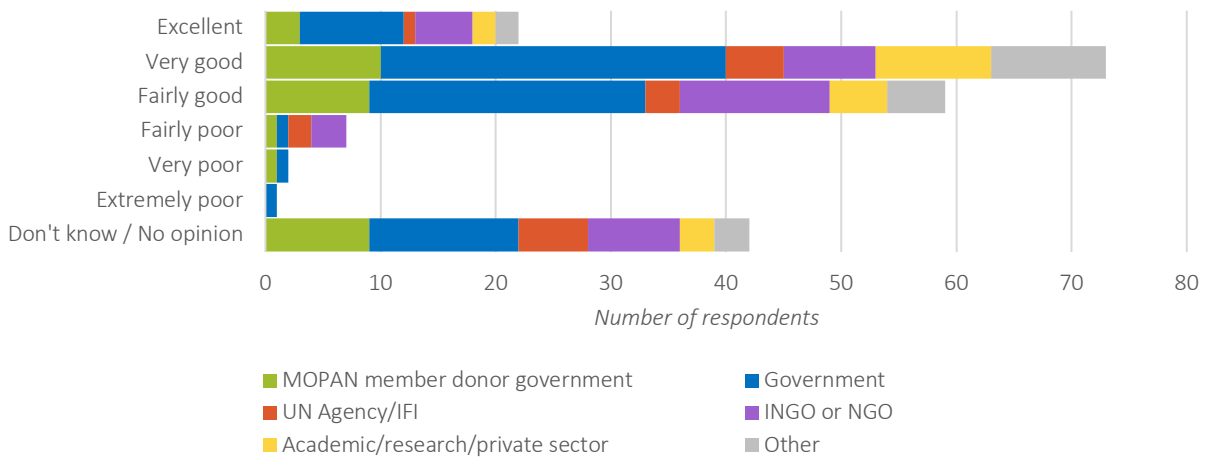
### FAO provides high quality inputs to country dialogue



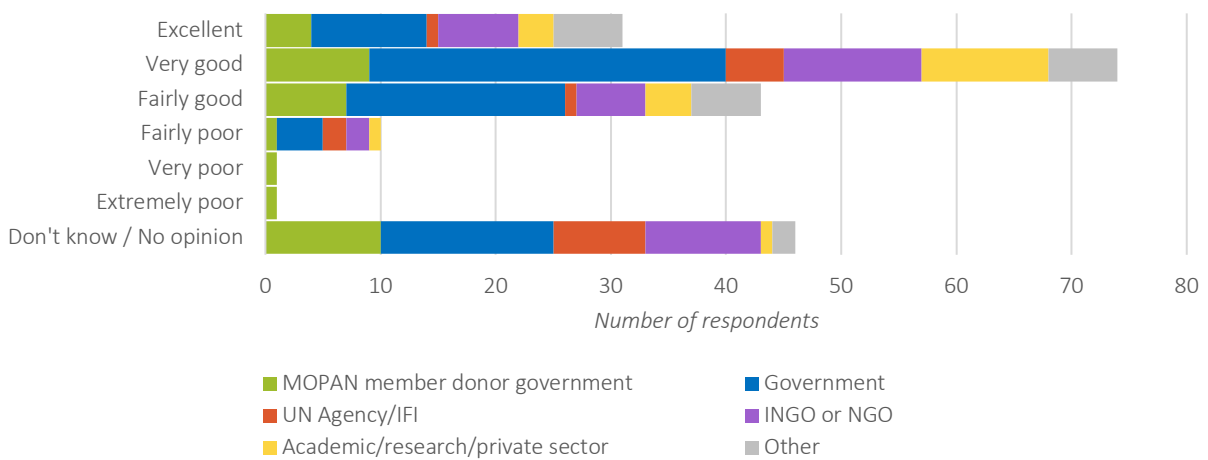
### FAO views are well respected in country policy dialogue



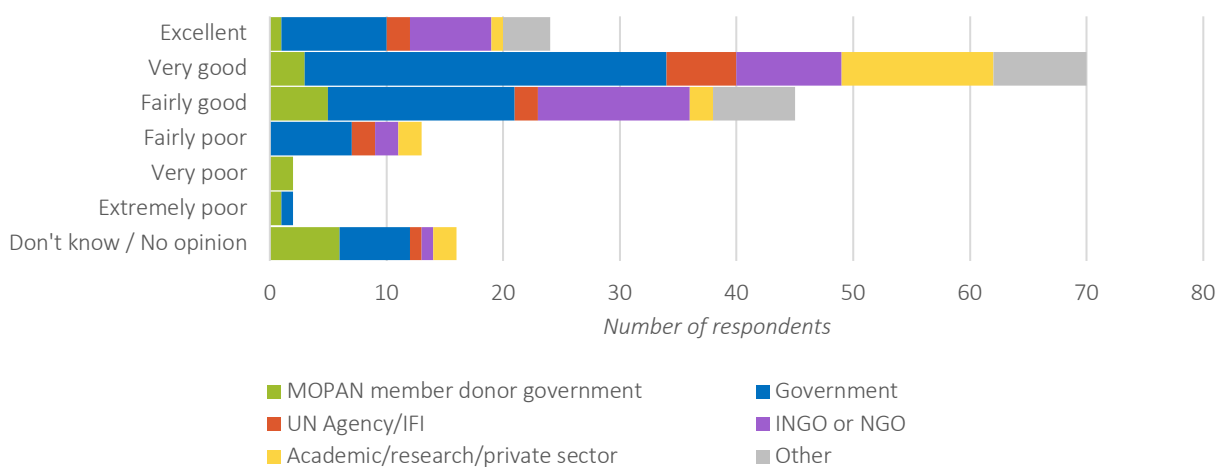
### FAO provides high quality input to regional dialogue



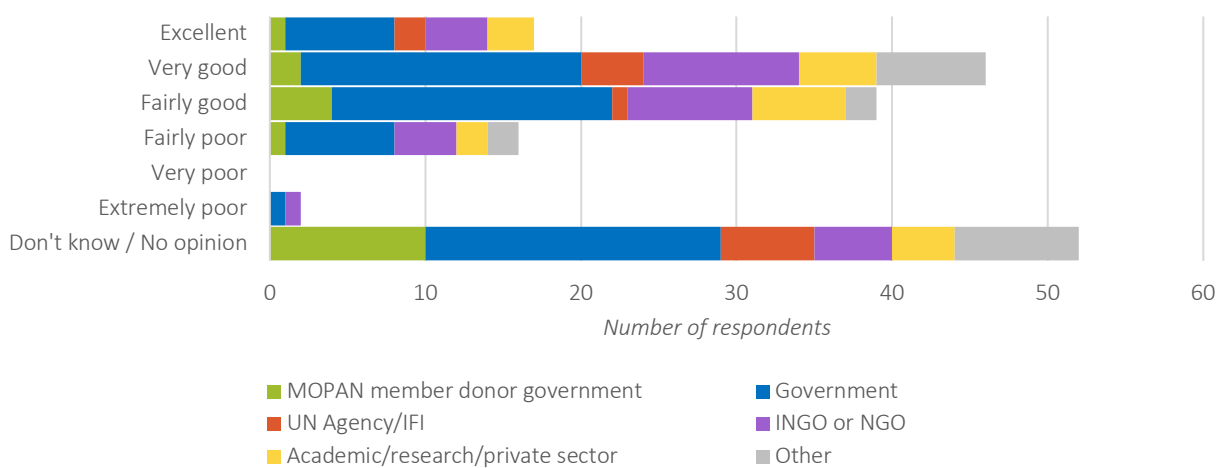
### FAO views are well respected in regional policy dialogue



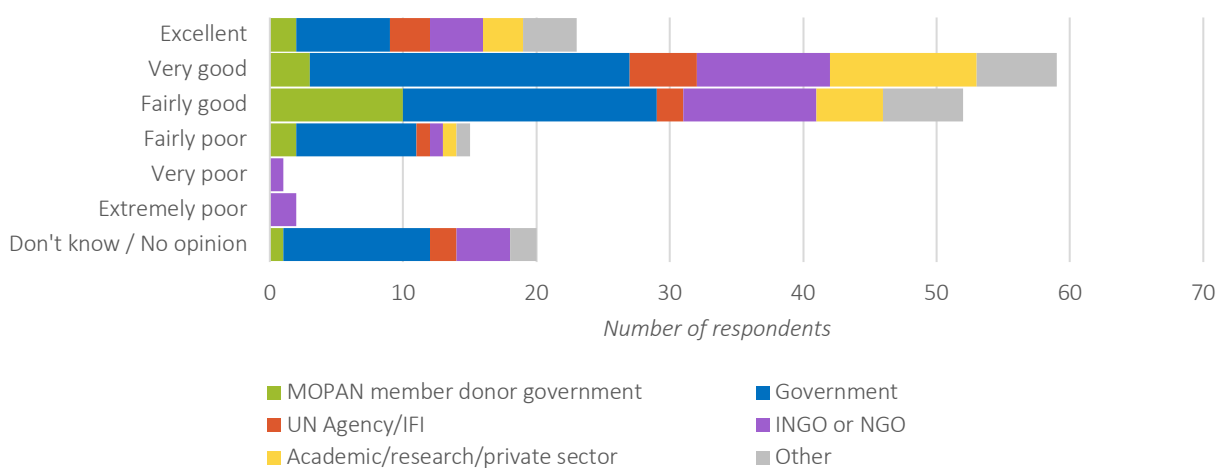
### FAO conducts mutual assessments of progress with national/regional partners



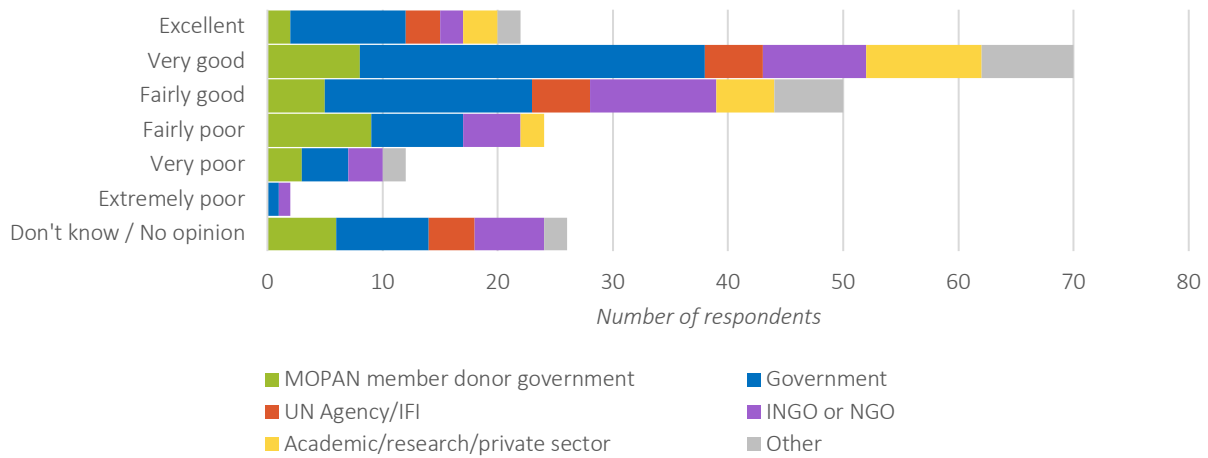
### FAO channels resources through country systems as the default option



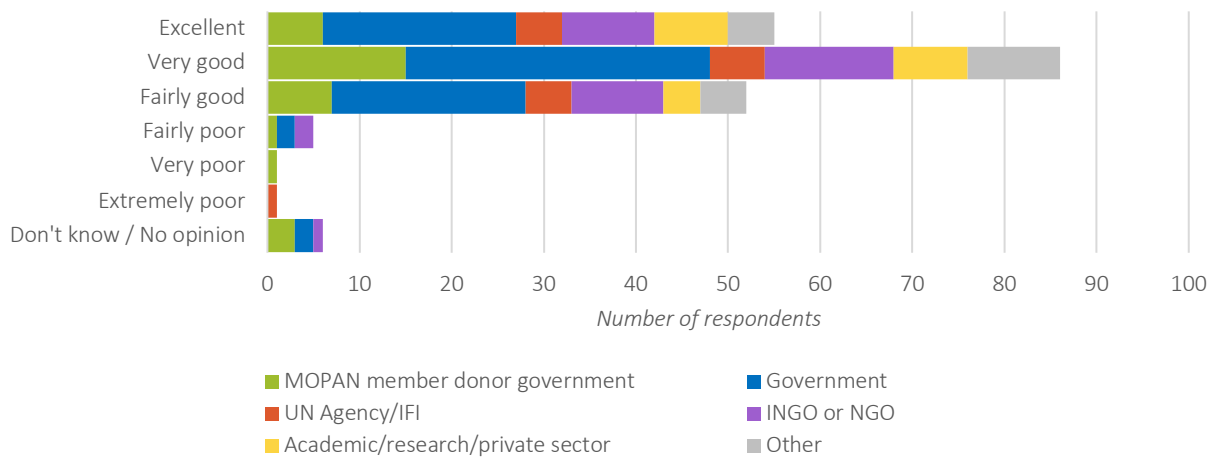
### FAO builds capacity in countries where systems are not up to the required standard



### FAO organisational procedures do not cause delays for implementing partners

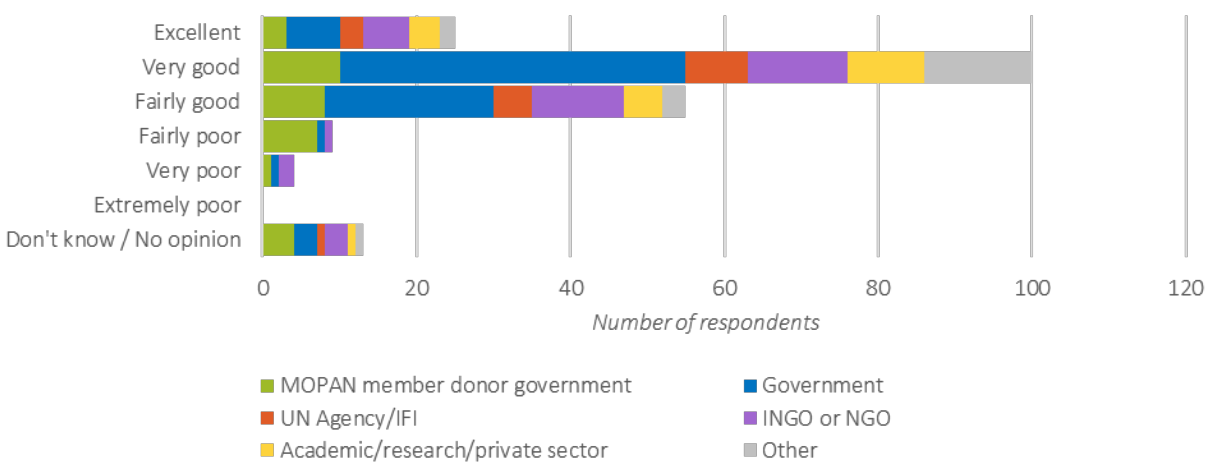


### FAO knowledge products are useful for my work

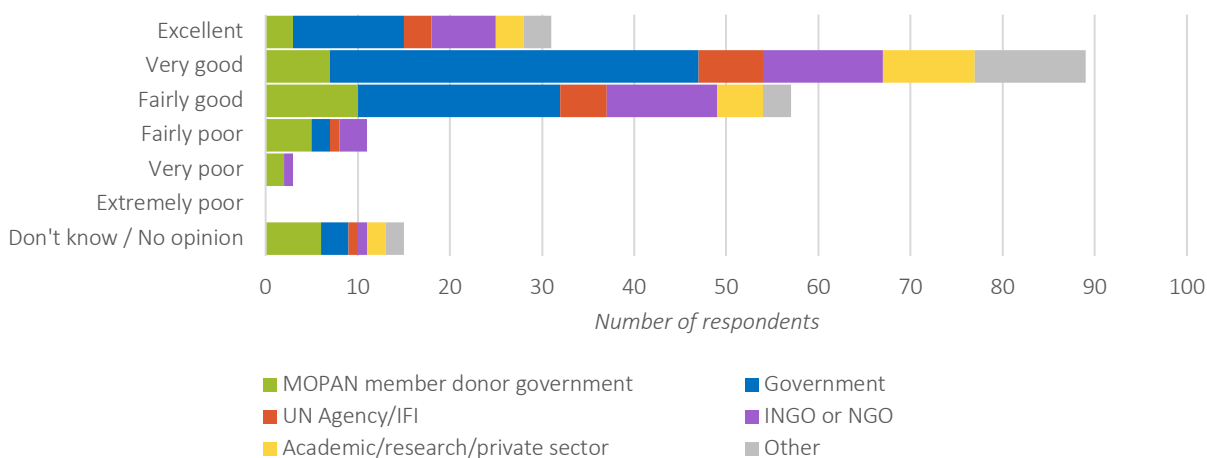


## Performance management

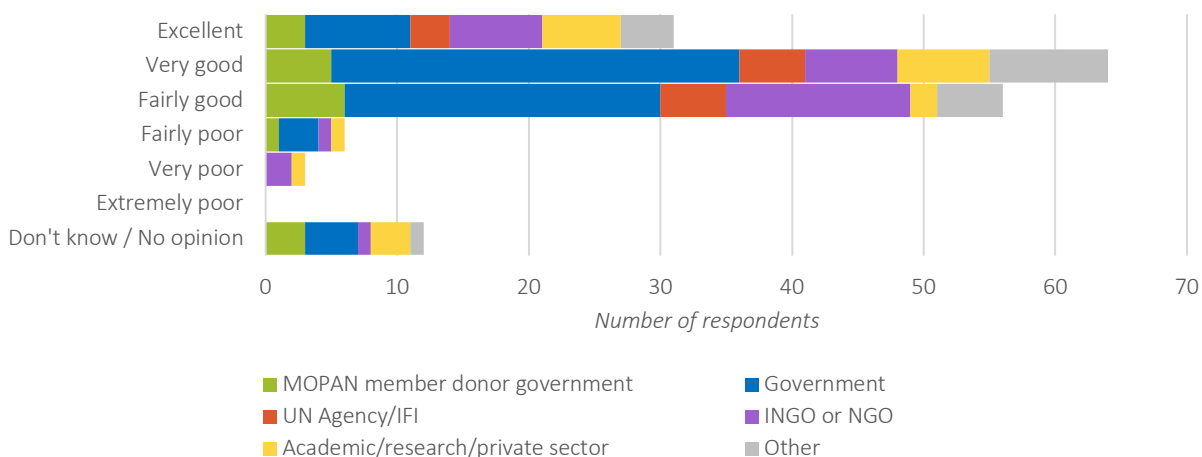
### FAO prioritises as results-based approach



### FAO uses robust performance data when designing and implementing interventions

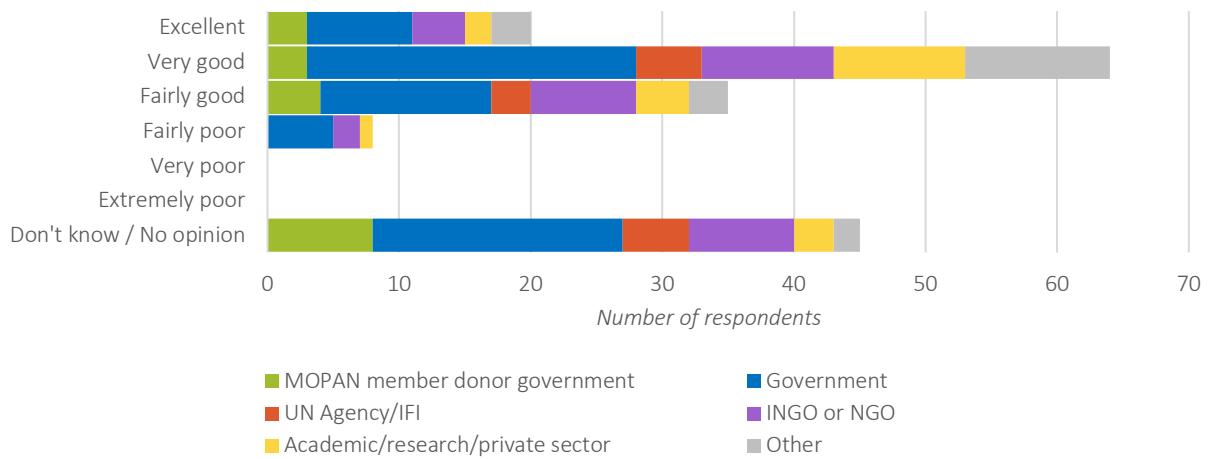


### FAO bases its policy and strategy decisions on robust performance data

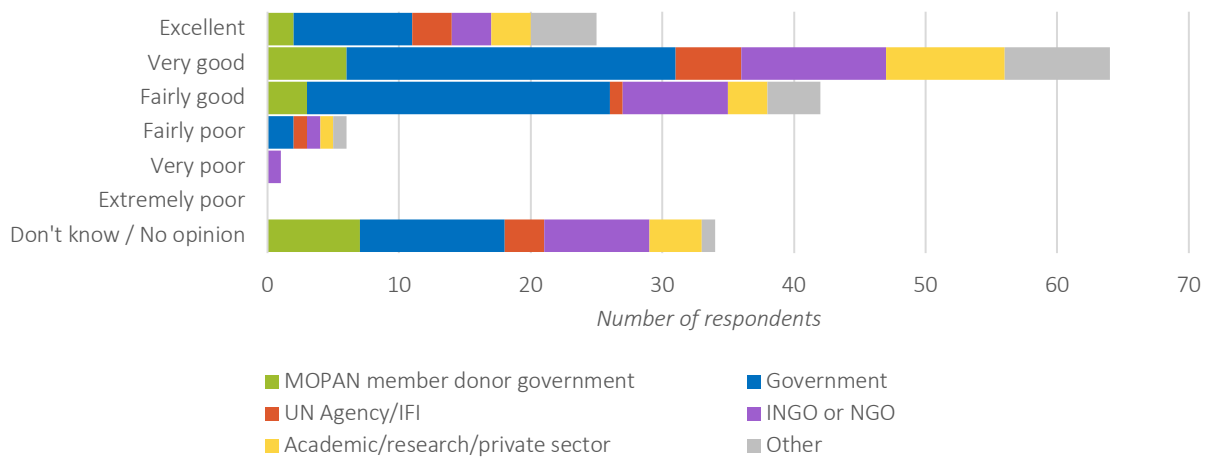


### Evidence base for planning and programming

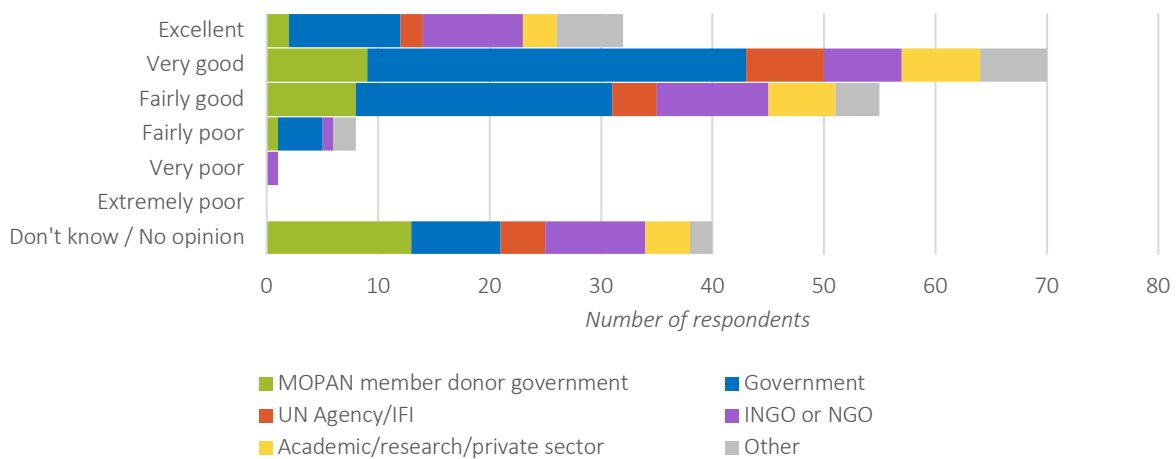
#### FAO has a clear statement on which of its interventions must be evaluated



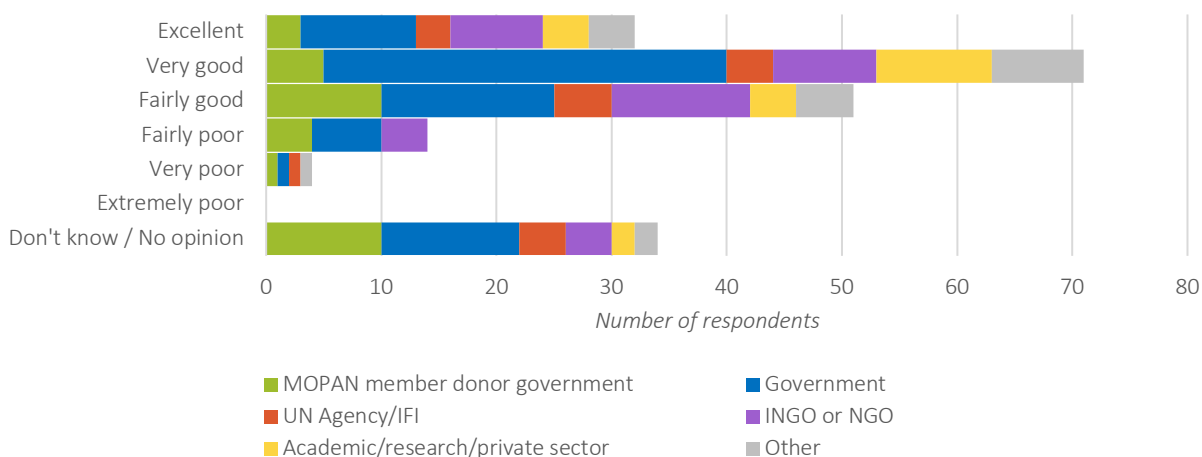
#### Where required, FAO ensures that evaluations are carried out



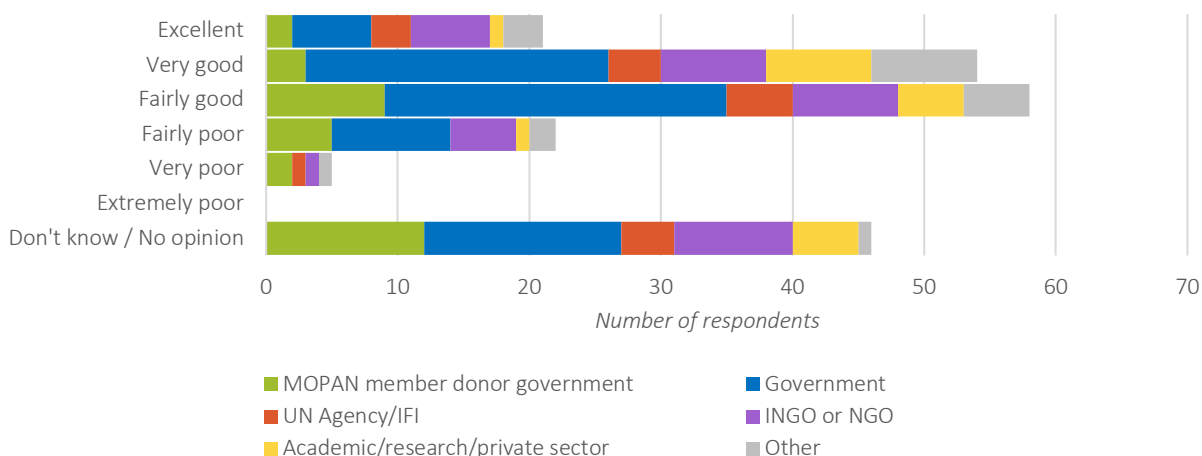
#### FAO participates in joint evaluations at the country/regional level



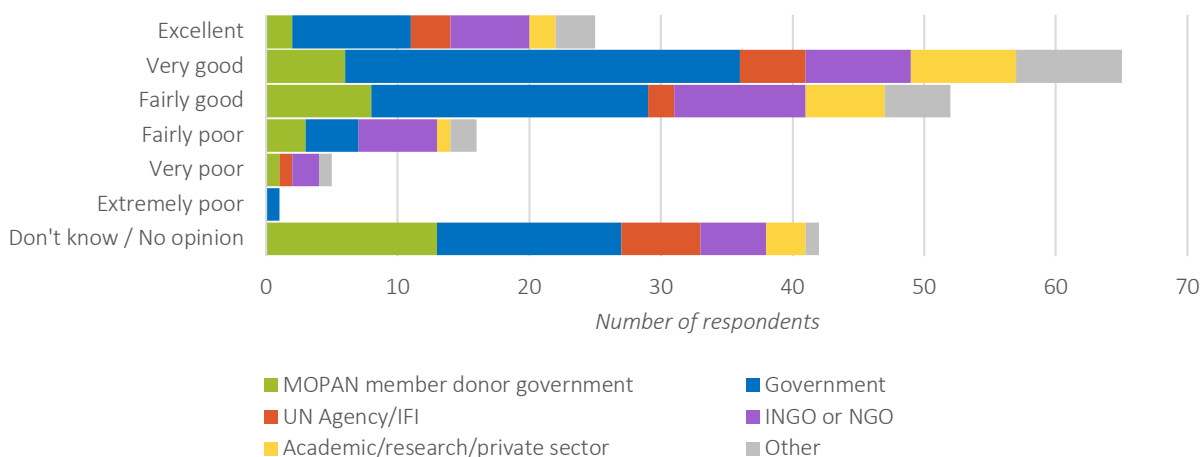
FAO intervention designs contain a statement of the evidence base



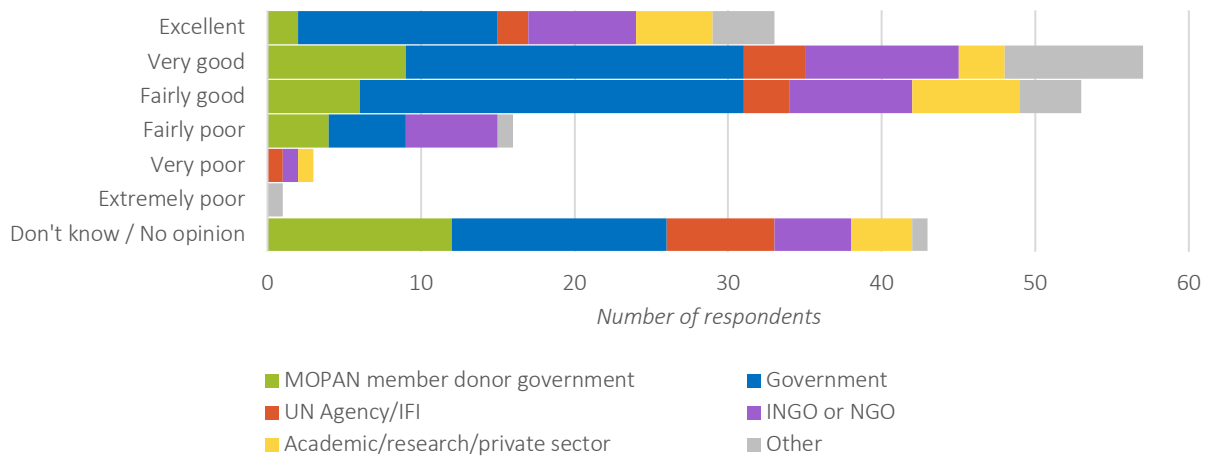
FAO identifies under-performing interventions



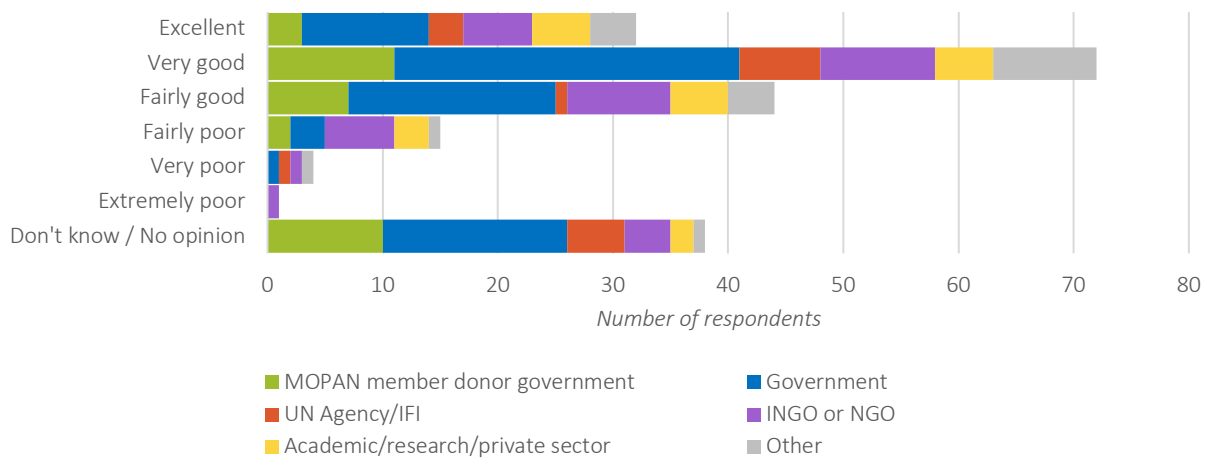
FAO addresses any areas of intervention under-performance



### FAO follows up evaluation recommendations systematically



### FAO learns lessons from experience rather than repeating the same mistakes







For any questions or comments, please contact:

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