

Multilateral Organisation Performance Assessment Network

Organisational Effectiveness Assessment

Food and Agriculture Organization (FAO) of the United Nations

**Volume I
December 2011**



MOPAN

Preface

The Multilateral Organisation Performance Assessment Network (MOPAN) is a network of donor countries with a common interest in assessing the organisational effectiveness of multilateral organisations. MOPAN was established in 2002 in response to international fora on aid effectiveness and calls for greater donor harmonisation and coordination.

Today, MOPAN is made up of 16 donor countries: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, The Netherlands, Norway, Republic of Korea, Spain, Sweden, Switzerland and the United Kingdom. For more information on MOPAN and to access previous MOPAN reports, please visit the MOPAN website (www.mopanonline.org).

Each year MOPAN carries out assessments of several multilateral organisations based on criteria agreed by MOPAN members. Its approach has evolved over the years, and since 2010 has been based on a survey of key stakeholders and a review of documents of multilateral organisations. MOPAN assessments provide a snapshot of four dimensions of organisational effectiveness (strategic management, operational management, relationship management, and knowledge management). MOPAN does not examine an organisation's development results.

MOPAN 2011

In 2011, MOPAN assessed five multilateral organisations: the Food and Agricultural Organization (FAO), the Inter-American Development Bank (IDB), the United Nations Environment Programme (UNEP), the United Nations High Commissioner for Refugees (UNHCR), and the United Nations Relief and Works Agency (UNRWA).

MOPAN Institutional Leads liaised with the multilateral organisations throughout the assessment and reporting process. MOPAN Country Leads monitored the process in each country and ensured the success of the survey.

MOPAN Institutional Leads	Multilateral Organisation
Norway and The Netherlands	Food and Agricultural Organization (FAO)
Spain and Denmark	Inter-American Development Bank (IDB)
Switzerland and United Kingdom	United Nations Environment Programme (UNEP)
Norway and Belgium	United Nations High Commissioner for Refugees (UNHCR)
Sweden and Finland	United Nations Relief and Works Agency (UNRWA)
MOPAN Country Leads	Countries
Canada and Australia	Bangladesh
Switzerland and Denmark	Bolivia
Germany and Spain	Brazil
France	Burundi
Spain	Ecuador
Germany and Finland	Nepal
Germany and Canada	Peru
Canada	Tanzania
Switzerland and Norway	Jordan
Norway and Austria	Lebanon
Ireland and Austria	Palestinian territories
Switzerland and Norway	Syrian Arab Republic

Acknowledgements

We thank all participants in the MOPAN 2011 Common Approach assessment of the Food and Agriculture Organization (FAO) of the United Nations. FAO's senior management and their staff made valuable contributions throughout the survey and document review processes and provided lists of their direct partners in each country where the survey took place. Survey respondents, including FAO's direct partners and MOPAN donors, contributed useful insights and time in responding to the survey. MOPAN Institutional Leads liaised with the FAO throughout the assessment and reporting process. MOPAN Country Leads in each country oversaw the process and ensured the survey's success. Consultants in each country provided vital in-country support by following up with direct partners to ensure adequate survey response rates.

Roles of Authors and the MOPAN Secretariat

The MOPAN Secretariat, led by Germany in 2011, worked in close cooperation with the MOPAN Technical Working Group to launch and manage the survey. MOPAN developed the Key Performance and Micro-indicators, designed the survey methodology, coordinated the development of lists of survey respondents, and approved the final survey questionnaire. MOPAN also directed the design of the approach to document review. MOPAN oversaw the design, structure, tone, and content of the reports.

Universalialia and Epinion developed the survey instrument and carried out the survey and analysis. Universalialia carried out the document review and wrote the reports.

Epinion is a leading consulting firm in Denmark that analyses and evaluates data to support decision making. It conducts specially designed studies for public and private organisations based on data collected among an organisation's employees, members, customers, partners, and other sources. Epinion has 75 employees and 200 interviewers. Website: www.epinion.dk

Universalialia Management Group is a Canadian consulting firm established in 1980 that specialises in evaluation and monitoring for international development. Universalialia has made significant contributions to identifying best practices and developing tools in the fields of organisational assessment; planning, monitoring, and evaluation; results-based management; and capacity building. Website: www.universalialia.com.

Acronyms

FAO	Food and Agriculture Organization
KPI	Key Performance Indicator
MI	Micro Indicator
MOPAN	Multilateral Organisation Performance Assessment Network
NGO	Non-governmental organisation
ODA	Overseas Development Assistance
OECD- DAC	Organisation for Economic Co-operation and Development - Development Co-operation Directorate
RBM	Results-based Management
UNDAF	United Nations Development Assistance Framework
UNEP	United Nations Environment Programme
UNIFEM	United Nations Development Fund for Women
UNRWA	United Nations Relief and Works Agency for Palestinian Refugees

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Executive Summary

This report presents the results of an assessment of the Food and Agriculture Organization of the United Nations (FAO) conducted by the Multilateral Organisational Performance Assessment Network (MOPAN). MOPAN assesses the organisational effectiveness of multilateral organisations based on a survey of stakeholders and a review of documents. MOPAN does not assess an organisation's development results.

The FAO is a specialised agency of the United Nations that leads international efforts to combat hunger. Over the past four years, the FAO has invested in a "Reform with Growth" initiative in response to recommendations of the 2007 Independent External Evaluation. Key elements of the reform include the adoption of a results-based framework, the management of human resources, delegation of decision making, and use of performance information.

In 2011, MOPAN assessed the FAO based on information collected at the organisation's headquarters and in eight countries: Bangladesh, Bolivia, Brazil, Burundi, Ecuador, Nepal, Peru and Tanzania. The survey targeted the FAO's direct partners and MOPAN donors based in-country and at headquarters. A total of 284 respondents participated in the survey. MOPAN's document review assessed the FAO through an examination of publicly available corporate documents and country programming documents from the eight countries selected.

MOPAN assessments provide a snapshot of four dimensions of organisational effectiveness (strategic management, operational management, relationship management, and knowledge management). The main findings of the 2011 assessment of the FAO are summarised below.

Strategic Management

In strategic management, MOPAN established criteria to determine if a multilateral organisation has strategies that reflect good practices in managing for development results. The 2011 assessment found that:

- The FAO is making significant efforts to become a more performance-oriented organisation. As part of its reform initiative, and in response to the recommendations of the 2007 Independent External Evaluation (IEE), it has introduced results-based management across the organisation.
- As in previous assessments of the organisation, the FAO is recognised for having a clear mandate and a strategy that links to that mandate.
- The FAO still has some gaps in its results frameworks: in its definition of outcomes, in its ability to link outputs to outcomes, and in the indicators it uses to measure its progress. Implementation of its results-focused country strategies, which are the building blocks for the FAO to track and report on results, is still in early stages.
- Some organisational stakeholders (especially donors) do not view the FAO's leadership and culture as being fully supportive of results-based management.
- The FAO's strengths in strategic management include its focus on selected thematic priorities, such as the environment and human rights-based approaches, particularly its support for the right to food.
- The FAO is noted for its transparency in making documents available to the public. Key documents, such as the organisation's disclosure policy, are available on the FAO website and many documents are available to users in six language groups.

Operational Management

In operational management, MOPAN established criteria to determine if a multilateral organisation manages its operations in a way that supports accountability for results and the use of information on performance. Overall, the 2011 assessment found that while there is clear evidence that the FAO has embraced reform and developed strategies based on results and performance, the organisation's challenge is to bridge the divide between theory and operational practice.

- The FAO's strongest performance in operational management relates to its adherence to humanitarian principles in delivering emergency assistance. It is also seen to engage in dialogue with its direct partners on the importance of observing these principles.
- Financial accountability practices – in areas such as audit, risk, anti-corruption and procurement – are viewed as appropriate and are generally supported by policies and guidelines.
- The organisation faces some challenges in linking its financial resources to results. While it has developed a framework for managing for results that includes results-based budgeting, there is no evidence that it has linked budget allocations and disbursements to expected results (outputs and outcomes).
- There is limited information available on how the organisation makes choices in the allocation of its aid resources to different results areas, regions or countries.
- The FAO is taking steps to improve its management of human resources, but the new human resources performance evaluation and management system (PEMS) will not become fully operational until 2012. This is reflected in the views of respondents who expressed concerns about FAO's practices in this area.
- The delegation of decision making and the use of performance information are works in progress and the FAO will need to continue its efforts to strengthen these areas.

Relationship Management

In relationship management, MOPAN established criteria to determine if a multilateral organisation is engaging with its partners at the country level in ways that contribute to aid effectiveness. The 2011 assessment found that:

- The FAO works collaboratively with direct partners to assist developing countries and countries in transition to modernise and improve practices in agriculture, forestry and fisheries, and ensure good nutrition for all.
- The FAO's direct partners, more than half of whom are government representatives, commended the FAO for its support for national plans and its contributions to policy dialogue.
- The FAO forms partnerships with governments and the private sector, academic and research institutions, civil society and other UN agencies. It supports inter-agency plans and appeals by participating in joint planning missions and sharing information with other partners.

Knowledge Management

In knowledge management, MOPAN established criteria to determine if a multilateral organisation has reporting mechanisms and learning strategies that facilitate the sharing of information inside the organisation and with the development community. Overall, the 2011 assessment found that the FAO has made progress in evaluating results but faces some challenges with respect to its reporting practices.

- Building on an evaluation function developed over 30 years ago, the FAO Office of Evaluation was established as a direct response to the recommendations of the Independent External Evaluation (2007). It will undergo its first biennial review in 2012, which is an important component of the organisation's approach to ensuring quality in evaluation.
- The FAO's performance reports are now more clearly focused on assessing progress towards results agreed in the Medium Term Plan. The reports are not yet based on the measurement of indicators, nor do they provide sufficient analysis of how FAO's products and services contribute to development results.
- The FAO does not report on its Paris Declaration commitments. There is also some variation in the quality of reporting on programming adjustments at the country level.

Conclusions

The following conclusions of the assessment provide some main messages that can contribute to dialogue between MOPAN, the FAO and its partners.

The FAO is highly valued by its direct partners – In the four key performance areas examined in the MOPAN 2011 assessment, the FAO's direct partners were consistent in providing positive ratings of the organisation, and often rated it as strong.

The FAO is committed to organisation-wide reform and has acted on recommendations of the 2007 Independent External Evaluation (IEE) – The Immediate Plan of Action (IPA) for FAO reform was developed in response to the IEE 2007. The MOPAN assessment noted improvements in several areas identified in the plan of action, including: the strengthening of its evaluation function, the integration of gender equality mainstreaming into its strategic program, and promoting the right to food and human rights-based approaches. FAO's follow-up activity to implement the IPA demonstrates its efforts to incorporate the recommendations in its programming. However, the MOPAN assessment also found that there is still much work to be done to complete the reform process, as reflected in some of the lower ratings in this assessment.

The FAO needs to bridge the gap between strategic documents and program implementation – The FAO has outlined its intentions in several areas of activity in detail (e.g., gender mainstreaming, the environment, human-rights based approaches, and country programming). Although commendable, these are only the first steps in the overall process of reform. They require follow-up action in the form of program design and implementation at the institutional and country levels.

The FAO faces some challenges in implementing results-based management (RBM) – The FAO's strategic documents commit the organisation to the implementation of a revised results-based management framework. However, the implementation of RBM is still a work in progress and results statements, indicators, and country strategies will require fine tuning.

The FAO has enhanced its systems and policies to manage for results, but these are not yet accompanied by a shift in organisational culture – The organisation has revised and established new systems for internal operations as a result of the reform. While systems are being changed, it is not clear if the organisational culture is moving towards embracing both the learning and accountability dimensions of management for results.

FAO approaches at the country level have evolved since 2004 – Since the previous MOPAN assessment, the FAO has improved its potential to align with national institutions through increased support for national plans and by putting in place more complete country programming frameworks. It has made progress in delegating decision making at the country level and in its participation in joint programming. As was the case in 2004, however, the FAO is not well known by donors in-country who report less familiarity and contact with the FAO than other respondent groups.

Overall MOPAN Ratings of the FAO

The chart below shows the ratings on the 21 key performance indicators that MOPAN used to assess the FAO in 2011. These indicators were designed to measure organisational effectiveness (practices and systems), not development results on the ground. The FAO received ratings of adequate on 18 of the 21 key performance indicators assessed by survey respondents, and document review ratings ranging from inadequate to very strong.

STRATEGIC MANAGEMENT

- 1 Providing direction for results
- 2 Corporate focus on results
- 3 Focus on thematic priorities
- 4 Country focus on results

Survey Respondents Document Review

3.79	6
3.66	4
4.16	5
4.37	3

OPERATIONAL MANAGEMENT

- 5 Aid allocation decisions
- 6 Linking aid management to performance
- 7 Financial accountability
- 8 Using performance information
- 9 Managing human resources
- 10 Performance oriented programming
- 11 Delegating decision making
- 12 Adherence to humanitarian principles

3.74	3
3.27	4
3.80	5
3.74	4
3.39	4
3.90	4
4.19	5
4.58	NA

RELATIONSHIP MANAGEMENT

- 13 Supporting national plans
- 14 Adjusting procedures
- 15 Using country systems
- 16 Contributing to policy dialogue
- 17 Harmonising procedures
- 18 Managing the cluster

4.37	NA
3.74	NA
3.89	◇
4.34	NA
4.24	4
3.99	NA

KNOWLEDGE MANAGEMENT

- 19 Evaluating external results
- 20 Presenting performance information
- 21 Dissemination of lessons learned

3.99	4
3.68	3
3.68	4

Legend	
Strong or above	4.50-6.00
Adequate	3.50-4.49
Inadequate or below	1.00-3.49
Document Review Data Unavailable	◇
Not assessed in the document review	NA

1. Introduction

1.1 MOPAN

This report presents the results of an assessment of the organisational effectiveness of the Food and Agricultural Organization (FAO) that was conducted in 2011 by the Multilateral Organisation Performance Assessment Network (MOPAN). In 2011 MOPAN also assessed four other multilateral organisations: the Inter-American Development Bank (IDB), the United Nations Environment Programme (UNEP), the Office of the United Nations High Commissioner for Refugees (UNHCR), and the United Nations Relief and Works Agency (UNRWA).

Background

MOPAN was established in 2002 in response to international fora on aid effectiveness and calls for greater donor harmonisation and coordination. The purpose of the network is to share information and experience in assessing the performance of multilateral organisations. MOPAN supports the commitments adopted by the international community to improve the impact and effectiveness of aid as reflected in the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action. MOPAN's processes and instruments embody the principles of local ownership, alignment and harmonisation of practices, and results based management (RBM).

MOPAN provides a joint approach (known as the Common Approach) to assess the organisational effectiveness of multilateral organisations. The approach was derived from existing bilateral assessment tools and complements and draws on other assessment processes for development organisations – such as the bi-annual Survey on Monitoring the Paris Declaration on Aid Effectiveness and annual reports of the Common Performance Assessment System (COMPAS) published by the multilateral development banks. In the long term, MOPAN hopes that this approach will replace or reduce the need for other assessment approaches by bilateral donors.

MOPAN assesses four dimensions of organisational effectiveness

MOPAN has defined organisational effectiveness as the extent to which a multilateral organisation is organised to contribute to development and/or humanitarian results in the countries or territories where it operates. It does not assess a multilateral organisation's contributions to development results.

Based on a survey of stakeholders and a review of documents, MOPAN assessments provide a snapshot of a multilateral organisation's effectiveness in four dimensions:

- Developing strategies and plans that reflect good practices in managing for development results (strategic management)
- Managing operations by results to support accountability for results and the use of information on performance (operational management)
- Engaging in relationships with direct partners and donors at the country level in ways that contribute to aid effectiveness and that are aligned with the principles of the Paris Declaration (relationship management)
- Developing reporting mechanisms and learning strategies that facilitate the sharing of knowledge and information inside the organisation and with the development community (knowledge management).

Purpose of MOPAN assessments

MOPAN assessments are intended to:

- Generate relevant, credible and robust information MOPAN members can use to meet their domestic accountability requirements, and fulfil their responsibilities and obligations as bilateral donors
- Provide an evidence base for MOPAN members, multilateral organisations and direct partners to discuss organisational effectiveness and in doing so, build better understanding and improve organisational effectiveness and learning over time
- Support dialogue between MOPAN members, multilateral organisations and their partners, with a specific focus on improving organisational effectiveness over time, both at country and headquarters level.

The MOPAN methodology is evolving in response to what is being learned from year to year, and to accommodate multilateral organisations with different mandates. For example, the indicators and approach for the 2011 MOPAN review of humanitarian organisations were adapted to reflect the reality of these organisations.¹

1.2 Profile of the FAO

The FAO is a specialised UN agency with responsibility for leading international efforts to combat hunger. Its mandate is encapsulated in three global goals for: i) the reduction of the absolute number of people suffering from hunger; ii) the elimination of poverty and the driving forward of economic and social progress for all; and iii) the sustainable management and utilisation of natural resources for the benefit of future generations.

The FAO is an international intergovernmental organisation led by an elected Director-General and comprising 191 member nations, one associate member and one member organisation.

It has an established presence in over 130 countries as a decentralised network. The organisation concentrates its programming on the development of rural areas. Through the operations of its seven departments, the FAO performs eight core functions:

- Providing long-term perspectives and leadership in monitoring and assessing trends in food security and agriculture, fisheries and forestry;
- Stimulating the generation, dissemination and application of information and knowledge, including statistics;
- Negotiating international instruments, setting norms, standards and voluntary guidelines, supporting the development of national legal instruments and promoting their implementation;
- Articulating policy and strategy options and advice;
- Providing technical support to: promote technology transfer, catalyse change and build capacity, particularly for rural institutions;

¹ MOPAN recognises the special nature of humanitarian assistance and its focus on saving lives and reducing suffering in natural and conflict-related disasters. The politically and time-sensitive nature of crisis response tends to focus greater attention on maintaining core humanitarian principles and on operational considerations such as speed of response, flexibility, and quality of coordination with other international actors over other development programming considerations such as sustainability and the thoroughness of longer-term planning. The MOPAN 2011 framework for assessing organisational effectiveness was adjusted accordingly.

- Undertaking advocacy and communication, to mobilise political will and promote global recognition of required actions in areas of the FAO's mandate;
- Bringing integrated interdisciplinary and innovative approaches to bear on the organisation's technical work and support services; and
- Working through strong partnerships and alliances where joint action is needed.

Funding to support the FAO's program of work derives from assessed contributions provided by FAO members, and from voluntary contributions provided by members and other FAO partners. The biennial Conference decides the level of the FAO's regular budget and sets the assessed contribution payable by the FAO membership. For 2010-2011, the regular budget was US\$ 1 billion. An estimated US\$ 1.2 billion was also expected from voluntary contributions in 2010-2011. Voluntary contributions have shown an increasing trend; actual delivery of budgetary resources exceeded the forecast delivery between 2006-2007 and 2008-2009. For more information on the FAO, please visit the organisation's website: www.fao.org.

1.3 Previous Assessments

Previous MOPAN Survey (2004)

The FAO was assessed by MOPAN in 2004.² The assessment was conducted in six countries in which the FAO had country offices (Burkina Faso, Kenya, Mali, Rwanda, Sri Lanka and Uganda). Survey findings indicated that the country offices were small and staffed by only a few experts. In addition, no country assistance strategy was available for any of the countries assessed and country offices relied on support from the FAO headquarters and regional offices. A major finding of the 2004 assessment was limited interaction between MOPAN member countries and the FAO. As a result, donors knew little about the FAO and were only partially aware of its activities. Survey findings indicated, however, that the FAO's activities aligned with its organisational mandate as a United Nations agency specialising in the agricultural sector, with food security as its priority.

Independent External Evaluation (2007)

The independent external evaluation (IEE) in 2007 and the FAO's response to it set an important context for the 2011 MOPAN assessment since some of the recommendations of the IEE cover topics that were addressed by MOPAN.

The first independent external evaluation (IEE) of the FAO covered the period 1990 to 2007. It identified a global need for the FAO as the nexus for the fight against hunger and malnutrition, and as the catalyst for managing the contributions of the agricultural sector to economic growth at the country-level. The report was also emphatic, however, in its call for substantive organisation-wide reform and resource development to stem the FAO's foreseen accelerated decline and to increase the capacity of the FAO to continue to provide global leadership in food and agriculture.

The IEE made over 100 recommendations for transformational change across the FAO – to reverse decline and better equip the organisation to exercise global leadership on the new challenges in food and agriculture. In response to the IEE, the FAO instituted a comprehensive program of organisational reform and culture change. It developed a new organisational Strategic Framework³ based on the principles of results-based management (RBM). The new

² Multilateral Organisations Performance Assessment Network. (2005, January). *The MOPAN Survey – Synthesis Report*. Retrieved online 21 June 2011 from <http://www.mopanonline.org/upload/documents/290509MOPAN2004.pdf>

³ Food and Agriculture Organization. (2009, August). *Strategic Framework 2000-2019*. (C 2009/3). Rome: Conference.

Strategic Framework comprises: 3 Global Goals; 11 Strategic Objectives; 2 Functional Objectives; 56 Organisational Results; and 8 Core Functions. The FAO developed basic tools to support the achievement of each organisational result (outcome).

The FAO continues to implement recommendations from the IEE and the organisation's Immediate Plan of Action (IPA). It committed to strengthening its results-based management framework in 2010-2011 through reforms in programming, budgeting and results-based monitoring.⁴ The organisation's efforts include performance measurement at the level of headquarters and decentralised offices, and assessing organisation-wide progress in implementing the Programme of Work and Budget.

Recommendations of the IEE that cover topics addressed by the 2011 MOPAN assessment are referred to in this report where appropriate to illustrate progress made by the FAO in organisation-wide reform.

⁴ Food and Agriculture Organization. (2010). *Results-based Work Planning, Monitoring and Reporting System*. (JM 2010.2/2).

2. MOPAN Methodology – 2011

2.1 Overview

Background

In 2009, MOPAN began to apply a new methodology known as the “Common Approach,” which broadens and extends the reach of the annual assessments that MOPAN has conducted since work began in 2003. The Common Approach draws on a survey of stakeholder perceptions and a review of documents published by the organisations assessed and other sources to examine organisational systems, practices and behaviours that MOPAN believes are important for aid effectiveness and that are likely to contribute to development or humanitarian results in the field.⁵ The assessment is structured around four areas of performance (called quadrants) – strategic management, operational management, relationship management, and knowledge management.

MOPAN’s methodology has changed significantly in the last two years and comparisons of this year’s assessments with previous assessments should take this into consideration. The following is a summary of the MOPAN methodology in 2011.⁶

MOPAN 2011

In 2011, MOPAN assessed the effectiveness of five multilateral organisations: the Food and Agriculture Organization (FAO) of the United Nations, the Inter-American Development Bank (IDB), the United Nations Environment Programme (UNEP), the United Nations High Commissioner for Refugees (UNHCR), and the United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA).

The assessment of the FAO included perception data from MOPAN donors at headquarters and from respondents in the following countries: Bangladesh, Bolivia, Brazil, Burundi, Ecuador, Nepal, Peru, and Tanzania.⁷

Key Performance Indicators and Micro-indicators – Within each performance area, organisational effectiveness is described using key performance indicators (KPIs) that are measured with a series of micro-indicators (MIs). The FAO was assessed using 21 KPIs and 78 MIs.

The indicators were assessed using data from a survey and document review. The survey collected perception data from a variety of stakeholders, which are described in Section 2.2. The review of documents relied on a set of criteria that provided a basis for the assessment of each micro-indicator. The approach to document review is described in Section 2.3.

The survey did not assess all micro-indicators; some were assessed only through document review. Consequently, some charts do not show survey scores for each KPI or MI. The full list of MIs assessed for the FAO is provided in Volume II, Appendix V (KPI and MI Data by Quadrant).

⁵ Whether or not a multilateral organisation contributes to the achievement of results also depends on how it addresses development or humanitarian issues, the instruments it uses, the scale of its interventions, and the country contexts in which it operates.

⁶ The full methodology is presented in Volume II, Appendix I.

⁷ MOPAN criteria for country selection include: presence and availability of MOPAN members, no recent inclusion in the survey, multilateral organisation presence in-country, the need for geographical spread. UNRWA and IDB required special considerations in 2011 because of their regional mandates.

2.2 Survey

MOPAN gathered stakeholder perception data through a survey of MOPAN donors and direct partners as shown in Figure 2.1. MOPAN donor respondents were chosen by MOPAN member countries. The direct partner respondents were identified by the FAO.

Figure 2.1 FAO Survey Respondent Groups

Respondent groups	Description
Direct partners	<ul style="list-style-type: none"> Representatives of NGOs, civil society organisations, and international organisations Government officials from line ministries, other government representatives
Donors at headquarters	<ul style="list-style-type: none"> MOPAN members based at headquarters in the MOPAN country with oversight responsibility for the multilateral organisation MOPAN members based at the permanent mission or executive board office of the multilateral organisation (in Rome)
Donors in-country	<ul style="list-style-type: none"> MOPAN members in country/regional offices (including embassies) who are familiar with the multilateral organisation

The survey was customised for the FAO and could be completed online in English, French, Portuguese, or Spanish or offline (paper, email, or interview) in these same languages and in Bengali. See Volume II (Appendix II) for the FAO survey. Individual responses to the survey were confidential to the independent consultants managing the online survey or collecting data offline in the field.

Respondent Ratings – Survey respondents were presented with statements describing an organisational practice, system, or behaviour and asked to rate the organisation's performance on a scale of 1 to 6 as shown below.

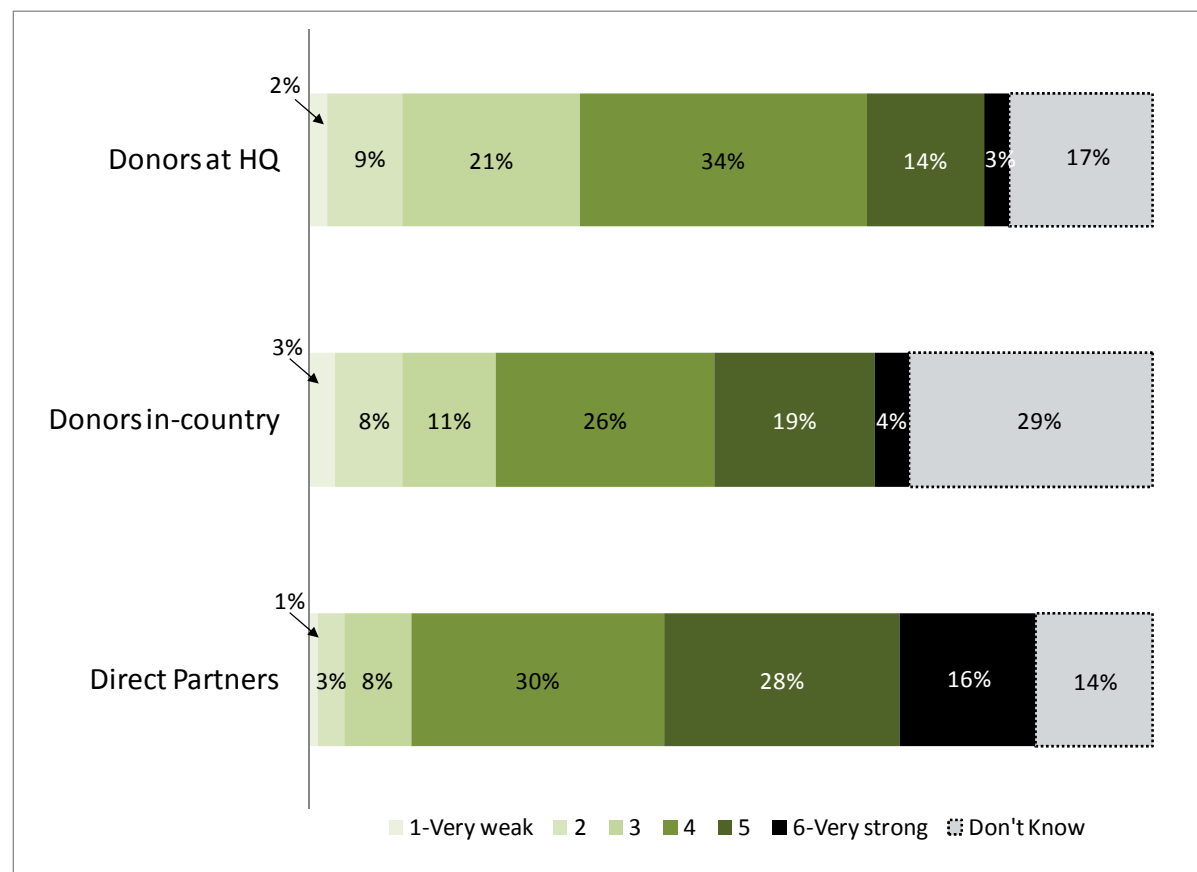
Figure 2.2 Respondent Rating Scale

Score	Rating	Definition
1	Very Weak	The multilateral organisation does not have this system in place and this is a source of concern.
2	Weak	The multilateral organisation has this system but there are important deficiencies.
3	Inadequate	The multilateral organisation's system in this area has deficiencies that make it less than acceptable.
4	Adequate	The multilateral organisation's system is acceptable in this area.
5	Strong	The multilateral organisation's system is more than acceptable, yet without being "best practice" in this area.
6	Very Strong	The multilateral organisation's system is "best practice" in this area.

In some cases, not all survey questions were answered, either because: 1) the individual chose not to answer, or 2) the question was not asked of that individual. In these cases, mean scores were calculated using the actual number of people responding to the question. As noted in the methodology (Volume II, Appendix I), 'don't know' survey responses were not factored into the calculation of mean scores. However, when the proportion of respondents answering 'don't know' was considered notable for a micro-indicator, this is indicated in the report.

The responses of various categories of respondents on the six choices, plus 'don't know' are summarised across all survey questions in Figure 2.3.

Figure 2.3 FAO – Distribution of Responses (n=284) on all Questions Related to Micro-Indicators, by Respondent Group



While there were responses in all six possible choices, relatively few responses overall were at the 'weak' end of the scale. Approximately 30 per cent of the responses from donors in-country were 'don't know,' which implies that at the country level, as in the last MOPAN survey in 2004, this group may have more limited familiarity with the operations of the FAO. Of all respondent groups, direct partners provided the highest level of higher ratings: 44 per cent of their responses were 'strong' and 'very strong'. (More data on distribution of responses for respondents can be found in Volume II, Appendix III.)

Survey Response Rate

MOPAN aimed to achieve a 70 per cent response rate from donors at headquarters and a 50 per cent response rate among the population of respondents in each of the survey countries (i.e., donors in-country, direct partners). The number of respondents targeted in each category (the total population) and the actual response rates are presented in Figure 2.4 below. The FAO survey results reflect the views of 284 respondents.⁸

⁸ In the survey, 97 respondents were direct partners from government (56 per cent of all direct partners who responded to the survey). Of the direct partners from government, 40 per cent were from line ministries, 3 per cent from Ministries of Finance/ Statistics/ Planning/Economics, and 13 per cent from other government agencies.

Figure 2.4 Number of Survey Respondents for the FAO by Country and Respondent Group

Country	Actual Number of Respondents (Total Population)			
	Donors in-country	Direct partners	Donors at headquarters	Total
Bangladesh	8 (12)	18 (20)		26 (32)
Bolivia	7 (9)	30 (32)		37 (41)
Brazil	3 (4)	21 (32)		24 (36)
Burundi	2 (3)	17 (20)		19 (23)
Ecuador	3 (4)	30 (37)		33 (41)
Nepal	4 (8)	19 (21)		23 (29)
Peru	4 (7)	28 (38)		32 (45)
Tanzania	6 (7)	11 (24)		17 (31)
Total	37 (55)	174 (225)	73 (81)	284 (361)
Response Rate	67%	77%	90%	79%

Converting Individual Ratings to Mean Scores

As noted above, individuals responded to survey questions on a six-point scale where a rating of “1” meant a judgment of “very weak” up to a rating of “6” intended to represent a judgment of “very strong.” MOPAN calculated a mean score for each group of respondents (e.g., donors at headquarters). Since the mean score for a group of respondents was not necessarily a whole number (from 1 to 6) MOPAN assigned numerical ranges and descriptive ratings for each range (from very weak to very strong) as shown in Figure 2.5.

Figure 2.5 MOPAN Ranges and Descriptions

Range of the mean scores	Rating
1 to 1.49	Very Weak
1.50 to 2.49	Weak
2.50 to 3.49	Inadequate
3.50 to 4.49	Adequate
4.50 to 5.49	Strong
5.50 to 6.00	Very Strong

Please note that the ranges are represented to two decimal places, which is simply the result of a mathematical calculation and should not be interpreted as representing a high degree of precision. The ratings applied to the various KPIs should be viewed as indicative judgments rather than precise measurements.

Data Analysis

First level survey data analysis included calculations of mean scores, standard deviations, frequencies, ‘don’t know’ responses, and content analysis of open-ended questions. The ‘don’t know’ responses were removed from the calculation of mean scores, but the proportion of respondents choosing ‘don’t know’ was retained as potentially useful data.

A weighting scheme was applied to ensure that no single respondent group or field of operation was under-represented in the analysis. Due to the fact that the numbers of survey respondents differs – both among respondent categories and among survey countries and territories – a weighting factor was applied to the survey data based on the survey response rate. The weighting was designed to give equal weight to: 1) the views of each respondent group, 2) the countries where the survey took place, and 3) donors in-country and direct partners within each country where the survey took place. The mathematical basis for the weighting is described in Volume II, Appendix I.

Second level analysis examined differences in the responses among categories of respondents and when significant differences were found, these are noted in the report.⁹ For a full description of survey data analysis see Volume II, Appendix I.

2.3 Document Review

The document review considered documents provided by the FAO, documents available on its web site, and data provided by FAO for other assessments such as the 2011 OECD Survey on Monitoring the Paris Declaration.¹⁰ For each micro-indicator, a set of criteria were established which, taken together, were thought to represent good practice in that topic area. The rating on any micro-indicator depends on the number of criteria met by the organisation. While the document review assessed most micro-indicators, it did not assign a rating to all of them (when criteria had not been established). Consequently, some charts do not show document review scores for each KPI or MI.

The document review and survey used the same list of micro-indicators, but some questions in the document review were worded differently from those in the survey. The document review and survey also used the same rating scale, but scores are presented separately on each chart in the report to show their degree of convergence or divergence.

2.4 Strengths and Limitations of Methodology

MOPAN continues to improve methodology based on the experience of each year of implementation. The following strengths and limitations should be considered when reading MOPAN's report on the FAO.

Strengths

- The MOPAN Common Approach is based on the core elements of existing bilateral assessment tools. In the long term, MOPAN hopes that this approach will replace or reduce the need for other assessment approaches by bilateral donors.
- It seeks perceptual information from different perspectives: MOPAN donors (at headquarters and in-country), direct partners/clients of multilateral organisations, peer organisations, and other relevant stakeholders. This is in line with the commitments made by donors to the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action regarding harmonisation, partner voice, and mutual accountability.
- It complements perceptual data with document review, thus adding an additional data source. This should enhance the analysis, provide a basis for discussion of agency effectiveness, and increase the validity of the assessment through triangulation of data sources.

⁹ The normal convention for statistical significance was adopted ($p \leq 0.05$).

¹⁰ The OECD Survey on Monitoring the Paris Declaration only provides figures on the UN as a whole. The FAO thus provided its preliminary data for 12 FAO country representations participating in the 2011 survey conducted by the OECD.

- The reports undergo a validation process, including multiple reviews by MOPAN members, and review by the multilateral organisation being assessed.
- MOPAN strives for consistency across its survey questions and document review for each of the multilateral organisations, while allowing for customisation to account for differences between types of multilateral organisations. For the FAO, certain indicators were added or modified to cover its work in emergencies and its normative work. The emphasis is still, however, on the FAO's work in developing countries.

Limitations

Data sources

- The MOPAN Common Approach asks MOPAN members and the organisations assessed to select the most appropriate individuals to complete the survey. MOPAN sometimes discusses the selection with the organisation being assessed; however, MOPAN has no means of determining whether the most knowledgeable and qualified individuals complete the survey.
- As noted in section 2.1, the countries surveyed in the 2011 assessment were selected based on established MOPAN criteria and do not include all of the countries where the FAO operates.

Data Collection Instruments

- Three issues potentially affect survey responses. First, the survey instrument is long and a fatigue factor may affect responses and rates of response. Second, respondents may not have the knowledge to respond to all the questions (e.g., survey questions referring to internal operations of the organisation, such as external and internal audit practices, seem difficult for many respondents, who frequently answered 'don't know.'). Third, a large number of 'don't know' responses may imply that respondents did not understand certain questions.
- The rating choices provided in the MOPAN survey may not be used consistently by all respondents, especially across the many cultures involved in the MOPAN assessment. One potential limitation is 'central tendency bias' (i.e., a tendency in respondents to avoid extremes on a scale). Cultural differences may also contribute to this bias as respondents in some cultures may be unwilling to criticise or too eager to praise.

Triangulation of Data

- The validity of assessments is enhanced when multiple data sources are combined. While the Common Approach combines a stakeholder perception survey and a review of documents that can provide corroborating data (e.g., evaluation reports), it does not include interviews, focus groups, and other data collection methods with the organisation's staff or other respondents that could be helpful in analysing an organisation's current results-oriented behaviours, systems, and procedures.

Data Analysis

- MOPAN's practice of weighting responses according to the number of respondents in each category amplifies the voices of the smaller groups of respondents. The relatively large number of responses of the FAO's direct partners and MOPAN donors at headquarters, in contrast to the smaller number of responses from donors in-country, underscores the need for caution in interpreting comparisons of the scores of different respondent groups.
- While the document review can comment on the contents of a document, it cannot assess the extent to which the spirit of that document has been implemented within the organisation (unless implementation is documented elsewhere).

Basis for judgment

- Although MOPAN used recognised standards and criteria for what constitutes good practice for a multilateral organisation, such criteria did not exist for all of the MOPAN indicators. As a result, many of the criteria used in reviewing document content were developed by MOPAN in the course of the assessment process. The criteria are a work in progress and should not be considered definitive standards.
- In the document review, low ratings may be due to unavailability of organisational documents that meet the MOPAN criteria (some of which require certain aspects to be documented explicitly).
- The Common Approach assessment produces numerical scores or ratings that appear to have a high degree of precision, yet can only provide general indications of how an organisation is doing and a basis for discussion among MOPAN members, the multilateral organisation, and other stakeholders, including recipient governments, direct partners, and peer organisations.

Despite some limitations, the Assessment Team believes that the data generally presents a reasonable picture of systems associated with the internal effectiveness of multilateral organisations.

3. Main Findings

3.1 Introduction

This chapter presents the findings of the 2011 MOPAN assessment of the FAO. Findings are based on respondent survey data and document review.

- Section 3.2 presents overall ratings on the performance of the FAO and summarises respondent views on its primary strengths and areas for improvement;
- Section 3.3 provides findings on each of the four areas of performance (strategic, operational, relationship, and knowledge management).

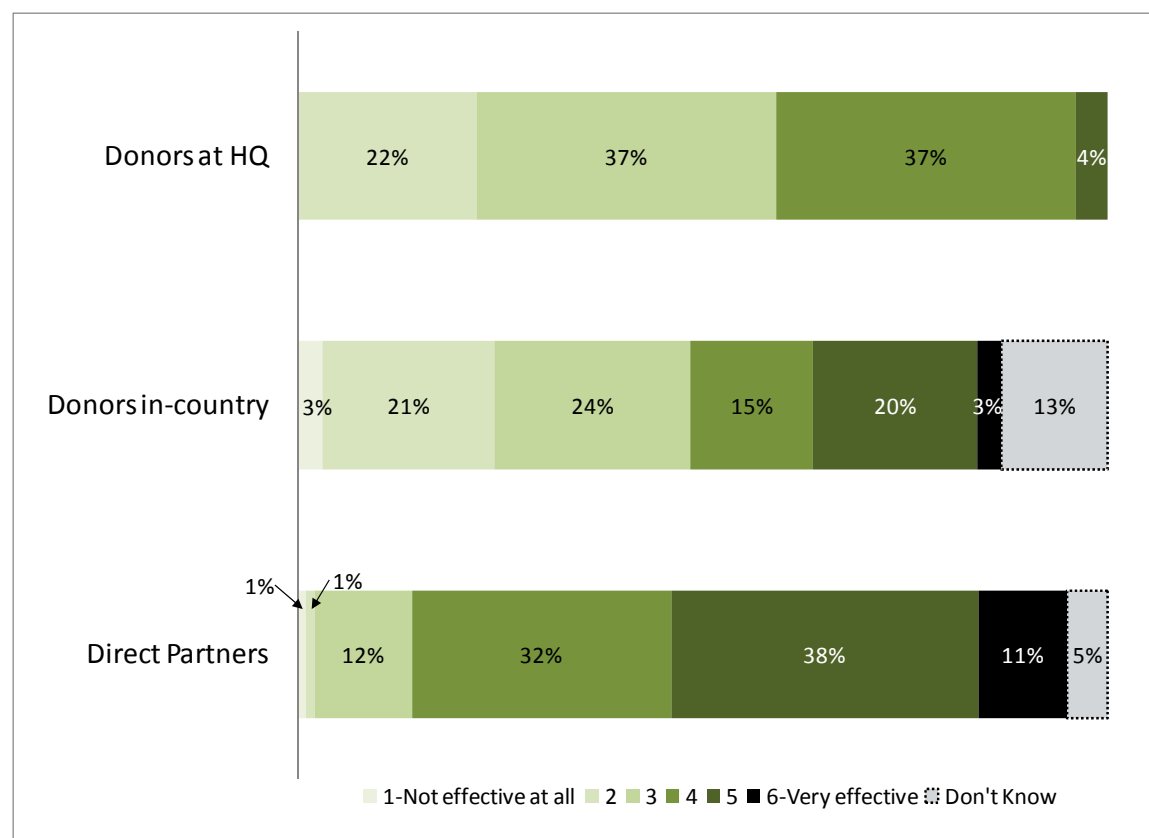
3.2 Overall Ratings

This section provides a summary of overall ratings. It includes: survey respondent ratings of the FAO's overall internal effectiveness, survey respondent views on the FAO's strengths and areas for improvement, and survey and document review ratings for all key performance indicators.

Survey ratings of the FAO's internal effectiveness

MOPAN has defined "internal effectiveness" as the extent to which a multilateral organisation is organised to support direct partners in producing and delivering expected results. Respondents were asked the question: "How would you rate the overall internal effectiveness of the FAO?" As shown in Figure 3.1, the FAO's direct partner respondents gave notably higher ratings on this question.

Figure 3.1 Overall Ratings of FAO Internal Effectiveness by Respondent Group



Respondents' Views on the FAO's Strengths and Areas for Improvement

The survey included two open-ended questions that asked respondents to identify the FAO's greatest strengths and areas of improvement. Out of 284 respondents, 99 per cent (282 respondents) provided responses to the question on strengths and 97 per cent (277 respondents) on areas for improvement.¹¹ The comments are summarised below in order to illustrate the range of perceptions; they have been qualified by the approximate proportion of respondents holding such a view.

Survey respondents thought the FAO's greatest strengths were its extensive support and expertise in core activity areas; its ability to manage, share, and disseminate knowledge; its staff; and its involvement of local institutions in programming processes.

Overall, 34 per cent of survey respondents agreed that the FAO's greatest strength lies primarily in its substantial experience and expertise in various sectors of activity (food security, agriculture, fisheries, forestry, etc.). All respondent groups acknowledged the FAO's knowledgeable pool of experts. A number of donors in-country (27 per cent) and direct partners (19 per cent) applauded the FAO's ability and willingness to consult and collaborate with local institutions (e.g., governments, ministries, civil society organisations and academia) during its programming processes. An additional 36 per cent of donors at headquarters appreciated the FAO's role in standard setting/normative work.

Overall survey respondents suggested that the FAO should improve its capacity in management; streamline administrative procedures to facilitate efficiency; and enhance coordination with partner agencies and local institutions.

Overall, a majority of respondents thought the FAO needs to improve its managerial processes in general, and in particular processes related to the management of different stages of a project or program (monitoring, evaluation and follow up processes).

Survey respondent comments on FAO strengths

"The FAO is one of the specialised organisations of the UN dealing with Agriculture, Fisheries, Forestry and Food Security. As the independent external evaluation points out, if it did not exist, it would have to be reinvented. FAO provides both normative and operational services to its members and possesses excellent expertise in the field of its mandate. One of its strengths is the normative work with its work in the field of CODEX and Phytosanitary standards. Furthermore in fisheries, being the only real international body dealing with it and forestry. The inclusive elaboration with all members and other stakeholders of different types of voluntary guidelines is another point." (Donor at HQ)

"It has a close relationship with government and this has many positives including being able to support and give policy advice without been seen to be imposing or dictating engagement." (Donor at country level)

"In a very important field with plenty of stakeholders they are open for cooperation. That sounds simple, but the UN agencies have a tendency to see mainly themselves and not the impacts of other agencies." (Direct partner)

Survey respondent comments on FAO areas for improvement

"The FAO is undergoing the implementation of the biggest reform of a UN institution...Improvements have to be done in the field work where FAO needs to become more visible by showing results, in the delegation of authorities and responsibilities to the field work which should be in line with the agreed strategic objectives and the newly introduced results-based framework." (Donor at HQ)

"The following will need attention by FAO leadership: 1. Improve on bureaucracy: (...unnecessary delays ... may affect the end results of interventions) 2. Improve on its facilitation role: (...work through partners or government institutions that are close to the community to maximise the return on investments) 3. Work on capacity building for the government institutions. 4. Research: (... scale up its role in agriculture research to maximise chances of modernising the sector) 5. Transition from emergency operations to long term agriculture development...[for] a more sustainable plan)." (Direct partner)

¹¹ Respondents who wrote "no comment" or something similar were filtered out of the analysis.

Respondents also indicated that the FAO could become more efficient in ensuring quick and timely delivery of operations by reducing bureaucratic measures.

Among respondent groups, there was a divergence of opinions about areas where the FAO could improve. Donors at headquarters indicated that several processes introduced through the FAO's reform (decentralisation, prioritisation of country members' needs, and overall organisational restructuring) still require improvement. Country Office representatives and direct partners focused mainly on the need for the FAO to engage more in ensuring coordination with partner agencies and local institutions. Both groups also felt strongly about the FAO's need to improve efficiency by reducing bureaucratic procedures (15 per cent of donors in-country and 14 per cent of direct partners). Direct partners also emphasised that the FAO needs to invest more time in developing local capacities to capitalise on long-term sustainability and appropriation of its operations at country levels.

Overall Ratings of Key Performance Indicators

Figure 3.2 below shows scores from the document review and the survey on key performance indicators (KPIs) in the MOPAN 2011 assessment of the FAO. The grey bar presents the survey score, while the black diamond presents the document review score. For example, on the first indicator, "providing direction for results", the FAO received a score of 3.79 (adequate) in the survey and a score of 6 (very strong) in the document review.

The overall ratings from the survey and document review suggest the FAO performs adequately on most key performance indicators.

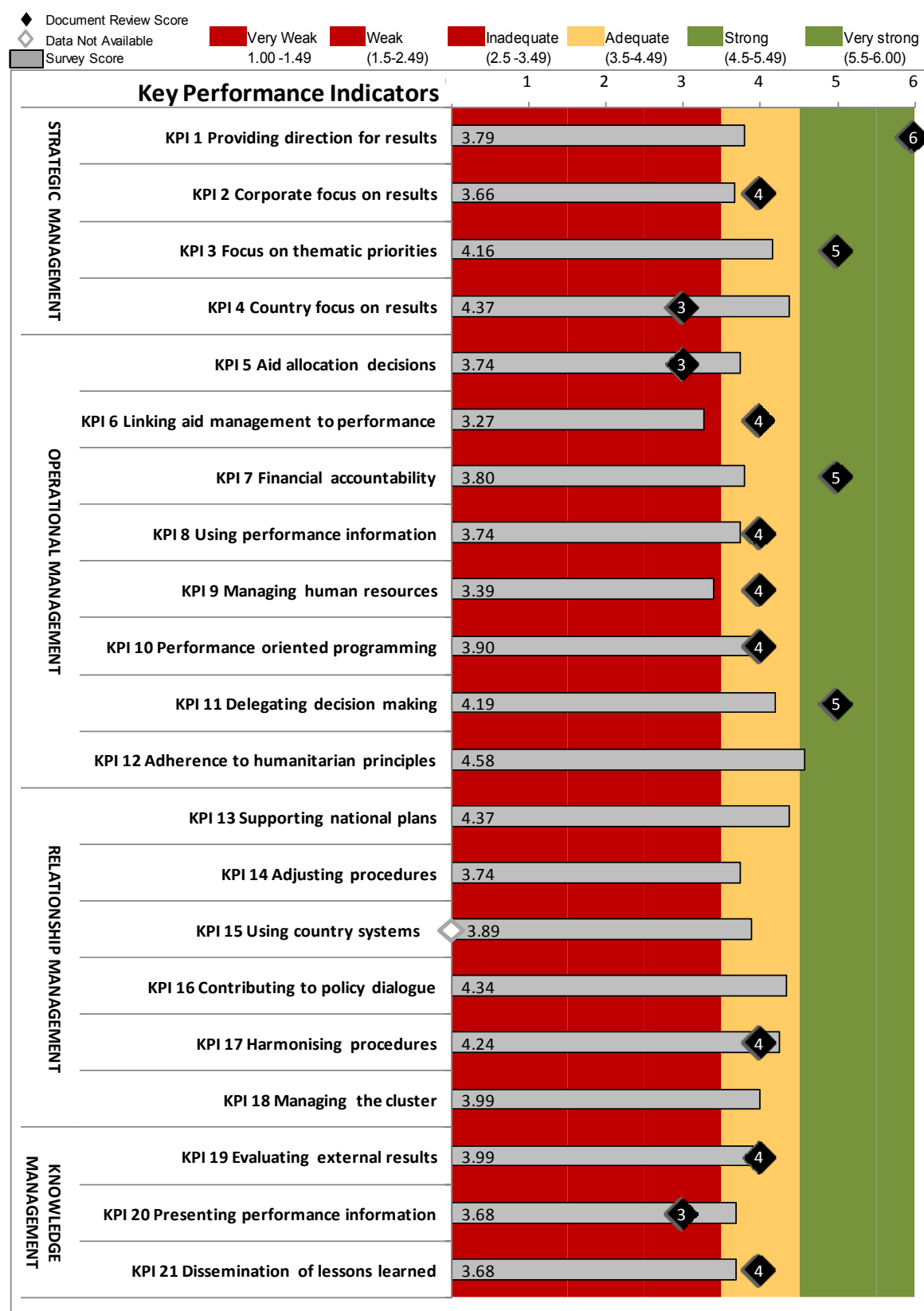
In survey data, the FAO received scores of strong on one KPI, adequate on 18 KPIs, and inadequate on two.

In the document review, the FAO received ratings of adequate or better on 12 of the 15 KPIs assessed.¹²

Overall, the document review rated the FAO higher than survey respondents on six KPIs. In some cases this may indicate that the FAO has the documents and policies in place, but that implementation has not caught up. Conversely, the higher survey ratings on three KPIs may suggest that respondents are aware of impending organisational changes.

¹² The lower number of KPIs assessed through the document review is due to the fact that some KPIs were not intended to be assessed by document review from the outset, such as: adherence to humanitarian principles, supporting national plans, adjusting procedures and managing clusters. The document review for KPI 15 was designed to draw on data from the *2011 Survey on Monitoring the Paris Declaration*. The white diamond indicates that the data required for the assessment was unavailable.

Figure 3.2 Overall Ratings on Key Performance Indicators (mean scores, all respondents and document review ratings)¹³



¹³ The document review for KPI 15 was designed to draw on data from the 2011 Survey on Monitoring the Paris Declaration. White diamonds indicate that the data required for the assessment was unavailable for the FAO.

3.3 The FAO's Performance in Strategic, Operational, Relationship, and Knowledge Management

3.3.1 Overview

This section presents the results of the 2011 MOPAN assessment of the FAO in four performance areas (quadrants): strategic, operational, relationship, and knowledge management. The following sections (3.3.2 to 3.3.5) provide the overall survey and document review ratings for KPIs in each quadrant, mean scores by respondent group, and findings based on an analysis of survey and document review ratings in each quadrant.

Where statistically significant differences among categories of respondents were found, these differences are noted. Divergent ratings between the survey results and document review ratings are also noted.

The survey data for each KPI and MI by quadrant are presented in Volume II, Appendix V. The document review ratings are presented in Volume II, Appendix VI.

3.3.2 Strategic Management

Strategic management is a work in progress for the FAO. It has not yet developed a results-oriented culture and frameworks have not yet been completely institutionalised.

Figure 3.3 below shows the overall survey and document review ratings for the four KPIs in the strategic management quadrant. Survey respondents felt that the FAO performed adequately on all the indicators assessed, thus recognising progress in establishing the foundations for reform. Differences of opinion among respondent groups, and particularly the views of donors at headquarters, suggest that the cultural shift towards managing for results has yet to filter through the organisation. The document review ratings ranged from inadequate to very strong. The organisation received low ratings on its capacity to develop results-focused country strategies (KPI 4). Importantly, however, the results indicate that FAO's strategic reform has incorporated recommendations from the 2007 Independent External Evaluation (IEE), specifically, the integration of the Gender Plan of Action into the FAO's Strategic Framework and the identification of priority technical themes that support the goals of member countries.

Figure 3.3 Quadrant I: Strategic Management – Survey and Document Review Ratings

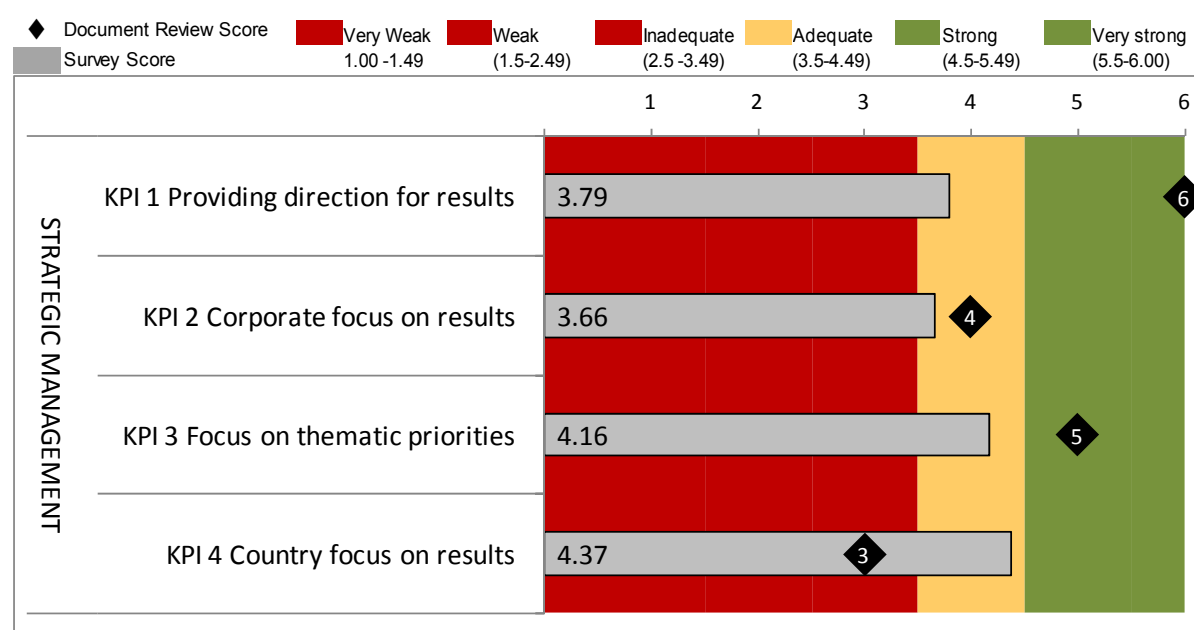
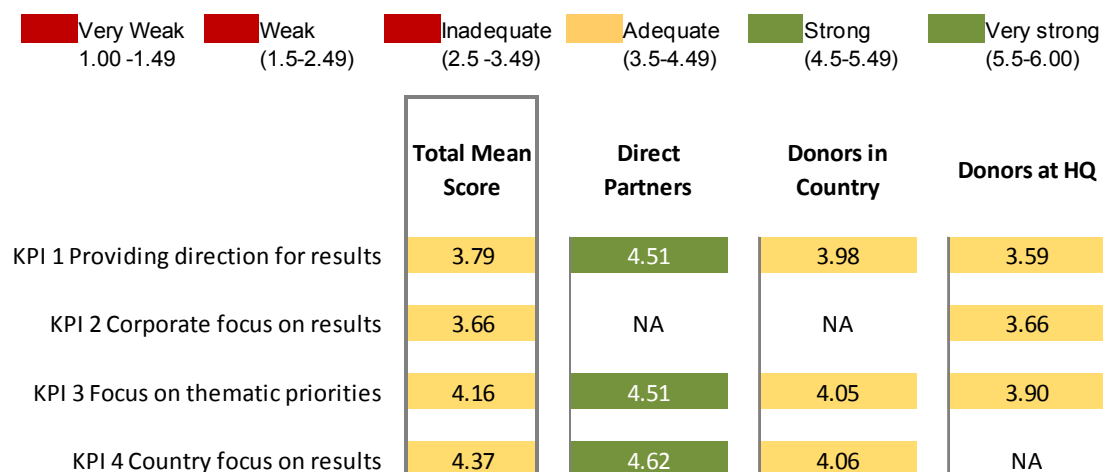


Figure 3.4 shows the mean scores for four KPIs for all survey respondents, and by respondent groups. The ratings provided by the FAO's direct partners are consistently higher than those provided by donor respondents.

Figure 3.4 Quadrant I: Strategic Management, Mean Scores by Respondent Group

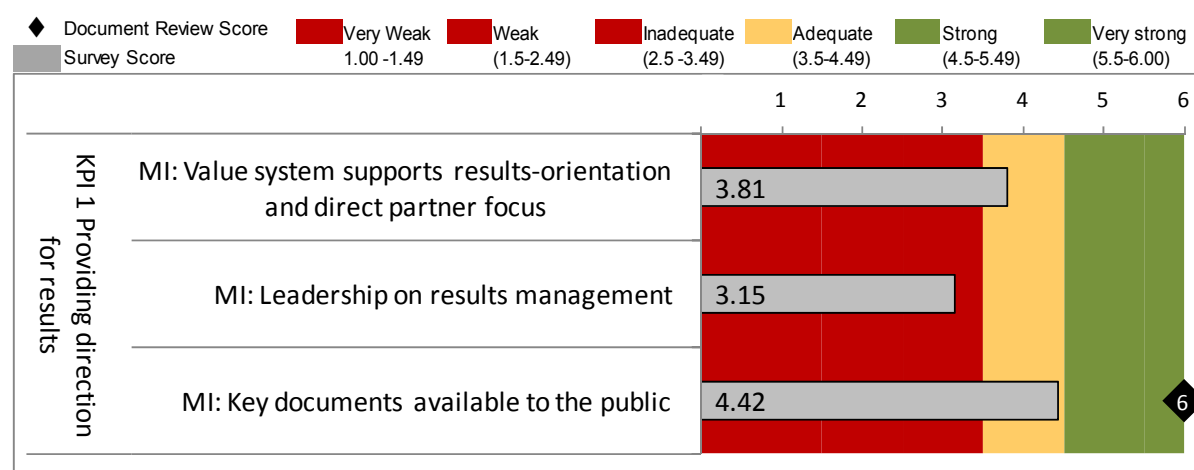


KPI 1: Providing Direction for Results

Finding 1: The FAO's direct partners and donors in-country rated it as adequate overall in providing direction for results, but donors at headquarters were significantly less positive.

The FAO reform process has not only introduced new systems, but has required a fundamental shift in culture within the organisation. The assessment of this key performance area involved three MIs. Overall, survey respondents rated the FAO adequate on two MIs, but inadequate in leadership on results management. Both the document review and survey rated the FAO positively for making documents available to the public.

Figure 3.5 KPI 1: Providing Direction for Results, Ratings of Micro-Indicators



MI 1.1 – Value system supports results-orientation and direct partners

This MI was not assessed by the document review, but was covered by two survey questions on institutional culture. The FAO's direct partners and donors in-country felt that the FAO's institutional culture adequately reinforced a results focus, and provided adequate focus to direct partners. Donors at headquarters were significantly less positive, providing a rating of inadequate for both questions. Differences between respondent groups were statistically significant.

MI 1.2 – Leadership on results management

Donors at headquarters were asked about the extent to which the FAO's senior management showed leadership in results management. The majority of respondents rated the organisation inadequate.

MI 1.3 – Key documents available to the public

Survey respondents consider the FAO adequate in making key documents available to the public, and the document review found FAO very strong in this area. Documents available on the FAO website include the organisation's disclosure policy, strategies, and external evaluation and audit reports. Most documents are available in six languages (Arabic, Chinese, English, French, Russian and Spanish), reflecting the commitment in the FAO's Immediate Plan of Action to make publications available to users in different language groups at the lowest possible cost.

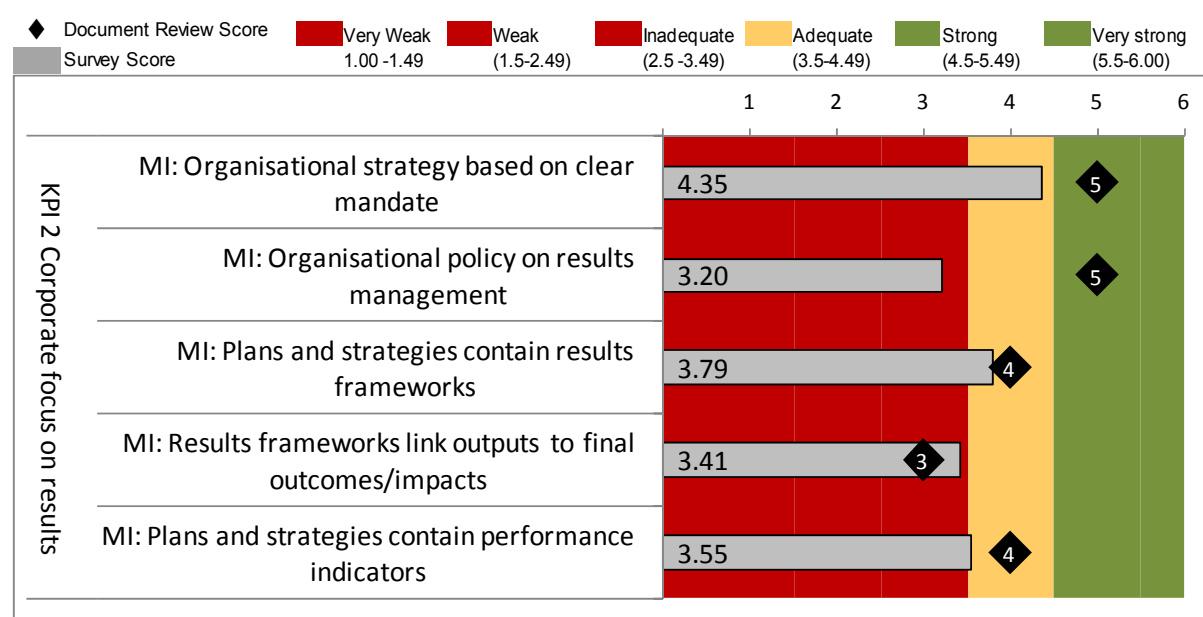
KPI 2: Corporate Focus on Results

Finding 2: While the document review recognised the FAO for developing an organisation-wide results framework, survey responses suggest the need for greater corporate focus on promoting management for results throughout the organisation.

Each MI under this KPI was assessed by survey and document review. The survey was administered to donors at headquarters only.

Overall, donors at headquarters rated the FAO adequate for its results-orientation. The FAO was viewed as performing adequately in developing strategies based on a clear mandate and including results frameworks and performance indicators. However, respondents felt that the FAO's performance was inadequate in ensuring the application of results management across the organisation and ensuring that results frameworks link outputs to final outcomes/impacts

The document review ratings were more positive and noted the FAO's efforts to develop sound results-oriented frameworks, and its commitment to the implementation of the RBM framework through organisation-wide support and capacity-building activities.

Figure 3.6 KPI 2: Corporate Focus on Results, Ratings of Micro-Indicators**MI 2.1 – Organisational strategy based on clear mandate**

Donors at headquarters were asked two questions under this MI: whether the FAO has a clear mandate and whether it has developed strategies that are in alignment with the organisation's mandate. The majority of survey respondents felt that the FAO had a strong mandate and that the alignment of its strategies with the mandate was adequate. FAO received a rating of strong from the document review, based on clarity of the mandate and reasonable linkages between the Strategic Framework 2010-2019 and the mandate.

MI 2.2 – Organisational policy on results management

In this MI, donors at headquarters were asked whether the FAO ensured the application of results management across the organisation. The FAO received a rating of inadequate from a majority of respondents. The organisation received a more positive rating from the document review (strong), based on a review of its policy framework for results-based management. The FAO has a clear RBM framework, which includes guiding principles for its biennial review. Since the adoption of the new RBM-oriented Strategic Framework, the FAO has provided training on RBM and management for development results (MfDR) to its staff, and has supported increased knowledge about the framework's use among its staff and direct partners. The FAO has committed to the organisation-wide implementation of the RBM framework, although as noted below, the framework is still being tested and is not yet fully implemented at the country level. .

MI 2.3 Plans and strategies contain results frameworks

Donors at headquarters rated the FAO's inclusion of results frameworks in organisation-wide plans adequate. More than 60 per cent rated the organisation's performance adequate or higher in developing strategies containing explicit results for the FAO's normative- and standard-setting work, and for the organisation's expected results in development and humanitarian contexts. The FAO was, however, rated inadequate by donors in relation to its expected management results – that is the functional objectives in the Medium Term Plan. The document review rated the FAO adequate on the inclusion of results frameworks in organisational plans and strategies. As further described below, the FAO's Medium-term Plan contains both development and management results (based on functional objectives) to inform program design and implementation, but there is room to improve the quality of its framework.

The 2010 Mid-Term Review recognised, however, that the FAO's results-based management framework is a work in progress subject to further improvements.

MI 2.4 – Results frameworks link outputs to final outcomes/impacts

The majority of donors at headquarters rated the FAO inadequate in using the results framework to create links between outputs and final outcomes/impacts. The review of documents provided a similar assessment.

The organisation has developed and continues to improve its results framework to guide program design and implementation, and to monitor and assess progress at the organisation-wide level. The framework comprises:

- Development results, which are linked to strategic objectives, and that identify primary tools for achieving organisational results (outputs)¹⁴, and link organisational results (outcomes) to impacts on the challenges facing food, agricultural and rural development.
- Management results that track the achievement of the FAO's functional objectives (management goals) by linking outputs to outcomes.

However, noticeably absent in the framework is a plausible link between outputs and final outcomes/ impacts.

MI 2.5 – Plans and strategies contain performance indicators

The majority of donors surveyed at headquarters rated the FAO as adequate for including standard performance indicators in organisation-wide results frameworks. The document review found the FAO adequate in including performance indicators in organisation-wide plans and strategies. The FAO's Medium Term Plan includes indicators for its organisational results (outcomes), but not for its outputs.

The rating recognises both the improvement that FAO has made and the fact that it has been actively engaged in the fine tuning of indicators and collecting baseline information.

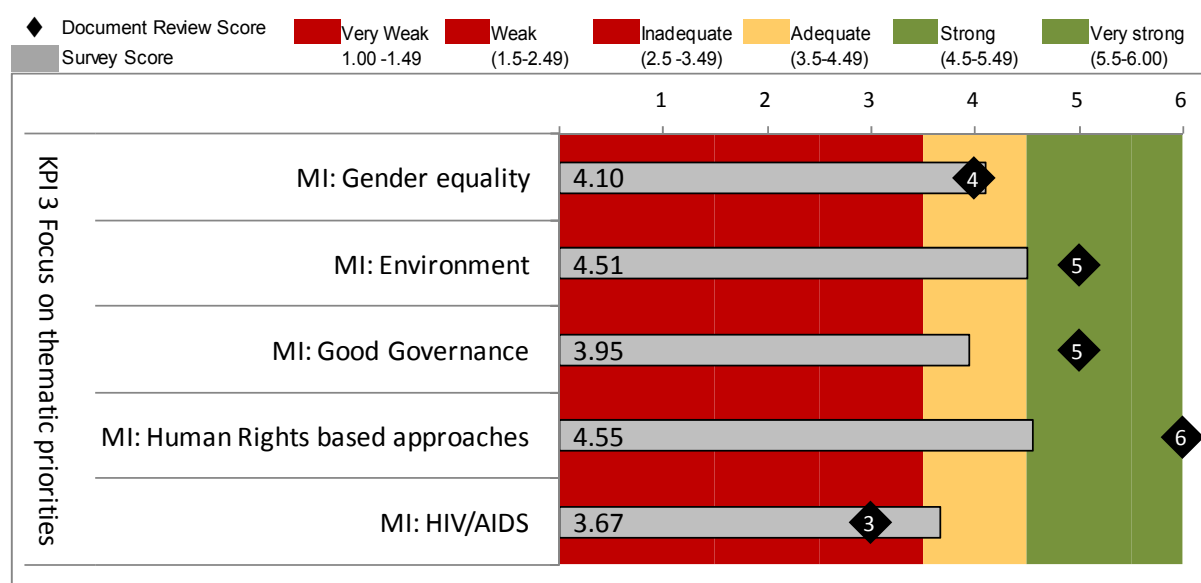
KPI 3: Focus on Thematic Priorities

Finding 3: The FAO was rated adequate or better for mainstreaming thematic priorities in its programming. It is particularly recognised for its work in promoting human rights, with its focus on the right to adequate food.

The assessment focused on five cross-cutting thematic issues identified by MOPAN as priorities, namely: gender equality, the environment, good governance, human rights and HIV/AIDS. These thematic issues are integrated in different ways into the strategy and programming of the organisation. Overall, the FAO was rated strong on this KPI. Ratings from both survey and document reviews suggest that the FAO performs well in thematic areas aligned with its core mandate (environment and human rights-based approach). These priority issues received ratings of strong and very strong.

FAO has given less emphasis to HIV/AIDS in its key strategic documents and this is reflected in the ratings on how it has integrated this area into its strategy and programming. Although HIV/AIDS remains at the forefront of the FAO's work in food security, agriculture and rural programming; the organisation did not identify HIV/AIDS as a priority intervention in the latest strategic framework (2010-2019).

¹⁴ Within the DRF, outputs are referenced as primary tools for the achievement of the organisational result.

Figure 3.7 KPI 3: Focus on Thematic Priorities, Ratings of Micro-Indicators**MI 3.1 – Gender equality**

The FAO has acknowledged gender as “a cross-cutting issue requiring organisation-wide responsibilities¹⁵” and has included gender equality mainstreaming among its strategic objectives. Donors at headquarters and in-country rated FAO’s work in this area as adequate while direct partners rated it strong.

The document review rated the FAO as adequate in its efforts at organisation-wide gender mainstreaming. The 2007 Independent External Evaluation recommended the inclusion of a Gender Development Action Plan as an integral, as opposed to separate, plan of action for gender. The FAO subsequently integrated the Gender Action Plan into its strategic program cycle. However, the 2010 Mid Term Review Synthesis Report indicated a lack of evidence to demonstrate the implementation of policies and programs for mainstreaming gender equality across the FAO and suggested that the FAO requires a long-term strategic approach to gender equality mainstreaming that is supported by human and financial resources. The gender audit being conducted by FAO and UN Women (formerly UNIFEM), to be released in October 2011, is expected to provide further information on the FAO’s performance in this area, as are the findings of the 2010/2011 gender evaluation.

MI 3.2 – The Environment

On this particular MI, survey respondents were asked whether the FAO programs and projects promoted sustainable management of natural resources. Donors at headquarters and in-country were less positive on this point, providing a rating of adequate, while direct partners rated the organisation’s performance as strong. Statistical differences were particularly significant between the views of donors at headquarters and those of direct partners.

The document review indicated that the FAO is strong in its environmental policy and environmental assessment practices at an institutional level. The FAO has committed to environmentally responsible practices in internal management activities. This includes the provision of long-term perspectives and leadership in monitoring and assessing trends in food security and agriculture, fisheries and forestry.

¹⁵ Food and Agriculture Organization, Sustainable Development Department (1997, May). Gender: the key to sustainability and food security. Retrieved online May 26, 011.
<http://www.fao.org/sd/WPdirect/WPdoe001.htm>

MI 3.3 – Good governance

A majority of survey respondents (donors at headquarters and direct partners) rated the FAO adequate on how it promotes good governance in partner countries within the areas of its mandate. The document review rated the FAO strong in this area. This reflects the observation that good governance in certain sectors (such as right to food, property rights, responsible fisheries, safe use of pesticides, etc.) is at the heart of the FAO's assistance to countries for the integration of standards and guidelines in their national policy and legislative frameworks, as well as their support to capacity-building for the implementation process.

MI 3.4 – Human Rights-based approaches

The FAO's support for human rights-based approaches, particularly the right to food, received a rating of strong from survey respondents and very strong from the document review. The document review found the FAO strong in its efforts and tools to strengthen capacities in monitoring the human right to adequate food, conducting right to food assessments, and in establishing a dedicated unit to support this process.

MI 3.5 – HIV/AIDS

When asked whether the FAO sufficiently mainstreamed HIV/AIDS in its programs, the majority of survey respondents (48 per cent overall) answered 'don't know.' Documentation shows that the FAO has invested in preventing an HIV/AIDS pandemic over the years as part of its capacity-building programs for institutions, government and communities. The FAO's staff explained that the Strategic Framework 2010-2019 superseded a draft Strategic Framework on AIDS and Other Diseases on Poverty (2005-2015) with regards to identifying priority areas for intervention. The organisation did not make HIV/AIDS a priority in the new Strategic Framework, as members did not specifically mention it during the framework-defining process.¹⁶

The FAO notes that at this stage of the epidemic's evolution, prevention and mitigation work may be more effectively managed by better resourced sister agencies in the UN system, such as the WHO, UNAIDS, and UNFPA. Nevertheless, the organisation continues to cover work in HIV/AIDS in some technical areas, primarily at the country and regional level, in response to demand from members.

KPI 4: Country Focus on Results

Finding 4: The FAO's activity in the area of results-based management at the country-level is still in a testing phase. While survey responses ranged from adequate to strong, the document review rated the FAO inadequate with reference to country focus on results.

Overall the FAO received a rating of strong from direct partners and a rating of adequate from donors in-country on this key performance indicator.

The review of documents included National Medium-Term Priority Frameworks (NMTPFs) from 2006 to 2010 in eight countries (Bangladesh, Bolivia, Brazil, Burundi, Ecuador, Nepal, Peru and Tanzania).

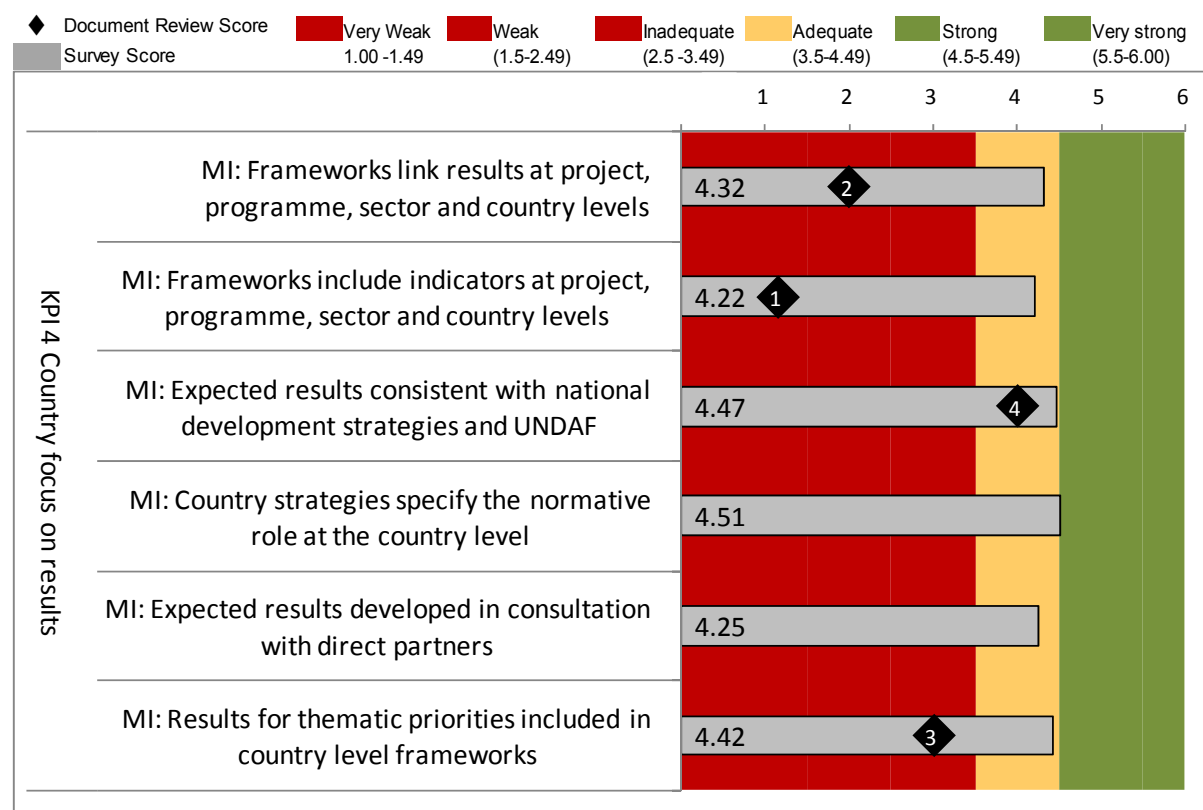
The KPI received an overall rating of inadequate in the document review, which acknowledged the FAO's inclusion of results consistent with UNDAF and national development strategies in its country frameworks, but noted shortcomings in linking results or performance indicators at the project, program, sector and country levels.

In order to better reflect the on-going changes in country programming at the FAO, the assessment team also reviewed the new Country Programming Framework (CPF) and Country

¹⁶ HIV/AIDS was integrated in previous strategic documents such as the Strategic Framework 2000-2009 and Programme of Work and Budget 2008.

Work Plans (CWPs) currently being tested under pilot in India. The FAO has committed to replacing current NMTPFs with CPFs by 2012 as a direct response to the recommendations of the IEE (2007). The new CPF guidelines should help to address the gaps identified once the approach is fully rolled out.

Figure 3.8 KPI 4: Country Focus on Results, Ratings of Micro-Indicators



For MIs 4.1 through 4.6 (discussed below) there were statistically significant differences in the views of donors in-country and those of direct partners of the FAO. Donors in-country were the least positive, providing an overall rating of adequate on the FAO's performance at country level, while direct partners of the FAO were the most positive, providing an overall rating of strong. Interestingly, the survey data also suggests that donors at country offices were the least familiar with the FAO's performance in the areas assessed.

MI 4.1 – Frameworks link results at project, program, sector and country levels

Almost one-third (30 per cent) of the donors in-country were unfamiliar with the FAO's performance in this area. The document review rated the FAO's performance as weak in ensuring that country programming frameworks link results from project/programme, sector and country levels, based on the review of the NMTPFs. It is important to note that these documents were formulated before the FAO's new programming approach at the country level was defined. That new approach has not yet been fully implemented.

MI 4.2 – Frameworks include indicators at project, program, sector and country levels

When asked whether the FAO's results frameworks included indicators at the appropriate level (country, sector and project/program), survey respondents rated the FAO as adequate. However, 33 per cent of donors in country offices surveyed answered 'don't know.' The document review rated this MI very weak. The lack of indicators to measure performance at the country-level in the National Medium Term Policy Framework (NMTPF) reviewed was a factor here.

MI 4.3 – Expected results consistent with national development strategies

The document review and survey rated the FAO adequate in developing expected results consistent with those in national development strategies, as well as with the United Nations Development Assistance Framework (UNDAF). The 2010 strategic evaluation of FAO country programming noted that only half of the NMTPFs that were reviewed had explicit links with the UNDAF. It was therefore recommended that the planning cycle for the NMTPFs should be aligned with that of the host country, as well as the new UNDAF cycle.

MI 4.4 – Country strategies specify normative role /mandate

In this MI, survey respondents were asked whether the FAO's programming frameworks (NMTPFs) included results that build on and are related to the FAO's global information, knowledge and standards setting work. Direct partner respondents rated the organisation as strong, while donors in country offices rated FAO as adequate. More than one-third (35 per cent) of donors in-country indicated that they were not familiar with the FAO's performance in this area.

MI 4.5 – Expected results developed in consultation with direct partners

Although it is rated as adequate overall, direct partners of the FAO rated the organisation's performance as strong when asked about whether the FAO consulted with them prior to developing its expected results.

MI 4.6 – Results for thematic priorities included in country level frameworks

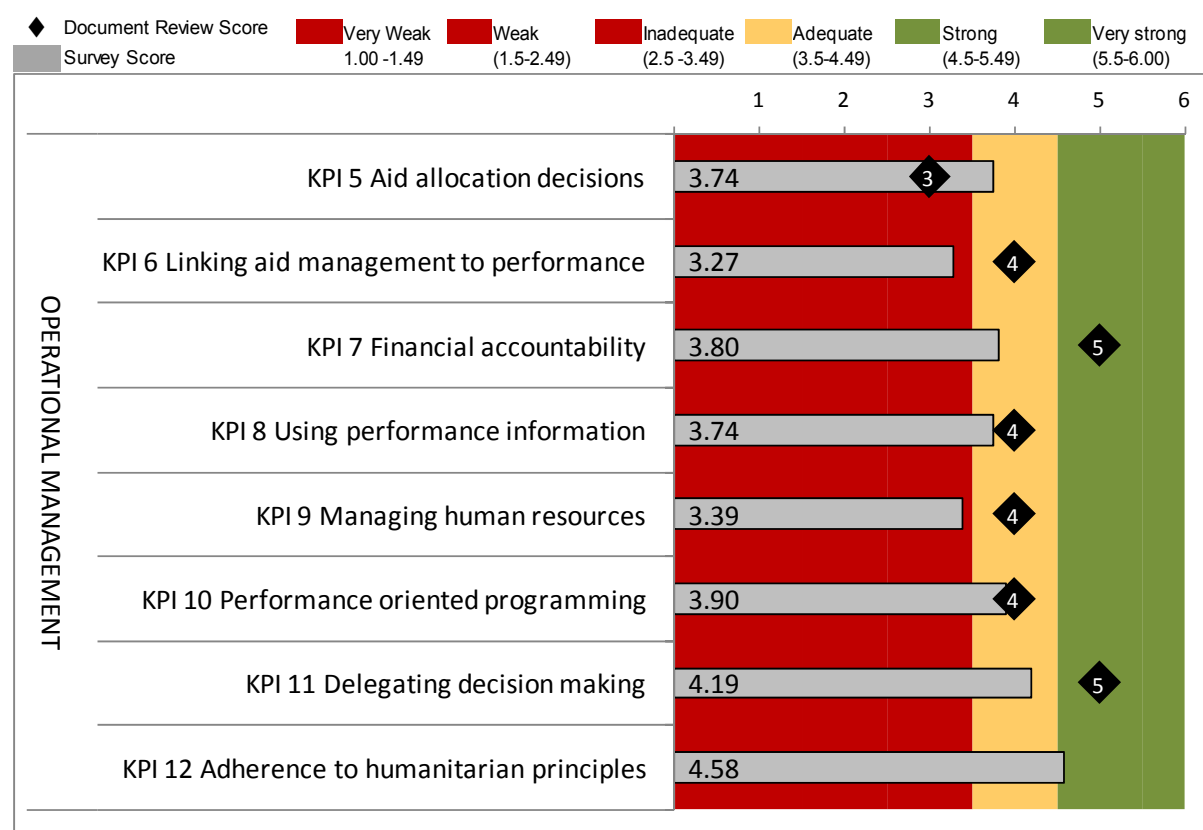
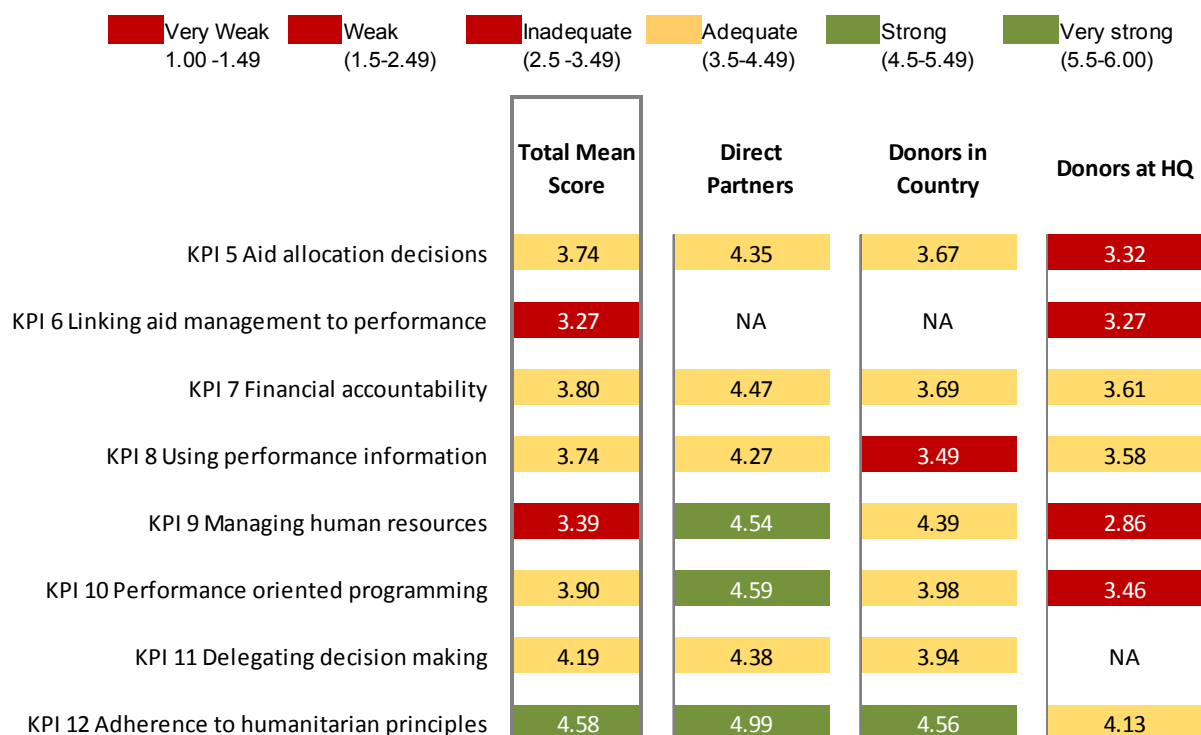
When asked whether the FAO's programming frameworks included results related to cross-cutting priorities, such as gender or natural resources management, survey respondents rated the FAO as adequate. Of note however is that in-country donors seemed the most unaware of the FAO's performance in this area. The document review on the other hand, rated the FAO's activity in this area inadequate.

3.3.3 Operational Management

The FAO adheres strongly to humanitarian principles in facilitating policy dialogue with its direct partners and in respecting humanitarian principles while providing emergency assistance. The organisation has gaps in its criteria for allocating aid resources, its capacity to link aid to performance, and in the area of human resource management.

The FAO was rated as adequate overall on the eight KPIs assessed in operational management.

The results of the survey indicated that the FAO is strong in its adherence to humanitarian principles. Based on the review of documents, the FAO was also rated strong in the area of financial accountability and in delegating decision-making authority at the regional, sub regional and national levels. The FAO's reforms in human resource management are evident in its documentation but have not yet filtered down to the organisation's management of staff performance. The FAO has also delegated decision-making authority at the country level, in response to the IEE recommendation that the balance between headquarters and the field should be restored in respect of decision-making processes.

Figure 3.9 Quadrant II: Operational Management - Survey and Document Review Ratings**Figure 3.10 Quadrant II: Operational Management - Mean Scores by Respondent Group**

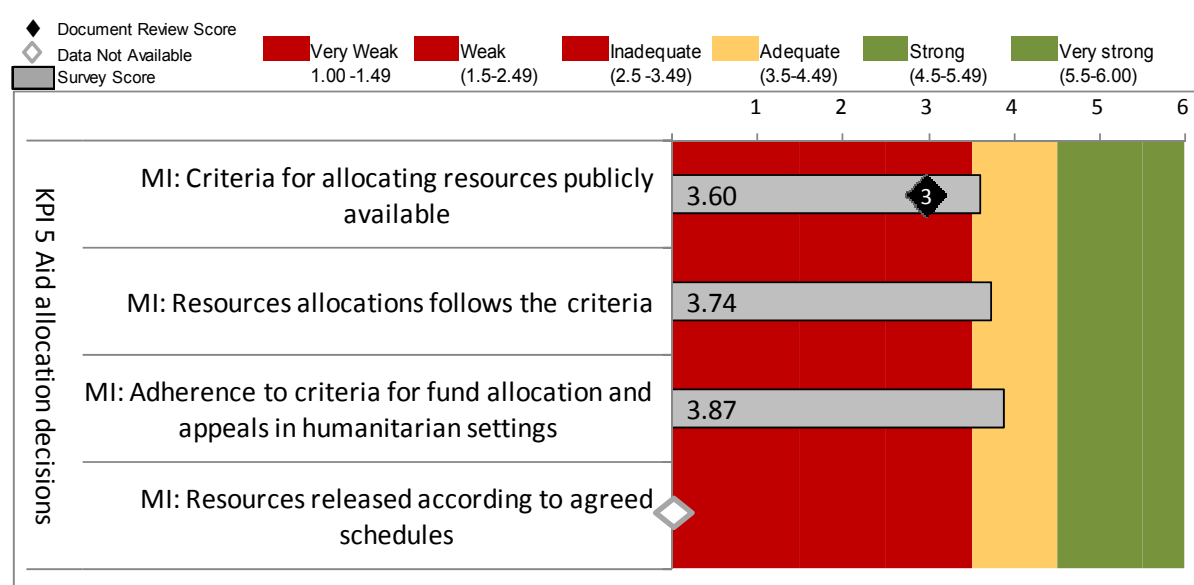
KPI 5: Aid-allocation Decisions

Finding 5: Survey respondents provide mixed views on the transparency of the criteria used by FAO to make aid allocations. The review of documents also found little information on FAO's criteria for allocating resources.

Four MIs were assessed under this KPI. Two were assessed through survey only and one MI by both document review and survey. While the document review rated the FAO's performance inadequate under this KPI, survey responses provided ratings of adequate.

FAO's direct partners were significantly more positive on these questions while donors at headquarters were significantly more negative. In-country donors appeared unfamiliar with the FAO's performance in making aid-allocation decisions, providing an average of 42 per cent of 'don't know' responses to questions under this KPI.

Figure 3.11 KPI 5: Aid Allocation Decisions, Ratings of Micro-Indicators¹⁷



MI 5.1 – Criteria for allocating resources publicly available

When asked to rate the FAO's performance in making criteria for fund allocations readily available, donors in-country and the FAO's direct partners rated the organisation adequate. In contrast, donors at headquarters rated the organisation's performance inadequate. Donors in-country were unfamiliar with the FAO's performance in this area, as indicated by 42 per cent 'don't know' responses. The document review rated the FAO inadequate. FAO follows a complex process for resource allocation that draws on the Immediate Plan of Action for FAO Renewal, the organisation's Medium Term Plan, and input from its stakeholders (including the Regional Conferences). There is little specific information available, apart from what has been prepared for Technical Cooperation Programming (TCP), on the criteria for making choices in the allocation of resources to different results areas, regions or countries. However, the FAO is developing a clearer resource allocation mechanism for un-earmarked voluntary contributions that should be in place by the end of 2011.

¹⁷ The document review was designed to draw data from the *2010 Survey on Monitoring the Paris Declaration*. White diamonds indicate that data was unavailable for the FAO.

MI 5.2 – Resources allocations follow the criteria

MI 5.2 was assessed by survey only and was administered to all respondent groups. Overall, donors in-country and at headquarters perceived the FAO's allocation of budget resources according to published criteria as inadequate. Direct partners rated the FAO as adequate in this area. The difference in ratings between survey respondent groups was statistically significant, specifically between those of donors at headquarters and the FAO's direct partners. As above, donors in-country had a high level of 'don't know' responses on this question.

MI 5.3 – Adherence to criteria for fund allocation and appeals in humanitarian settings

This MI was assessed by survey only, which was administered to donors at headquarters and donors in-country. Both groups rated the FAO adequate, although 41 per cent of donors in-country appeared to be less knowledgeable about the FAO's performance in this area.

MI 5.4 – Resources released according to agreed schedules

This indicator is based on Indicator 7 of the Paris Declaration. Although the FAO provided responses to the donor questionnaire for 12 of its country offices participating in the 2010 Survey to Monitor the Paris Declaration, the Paris Declaration indicator also draws on data from the government questionnaire, which was not available for review.

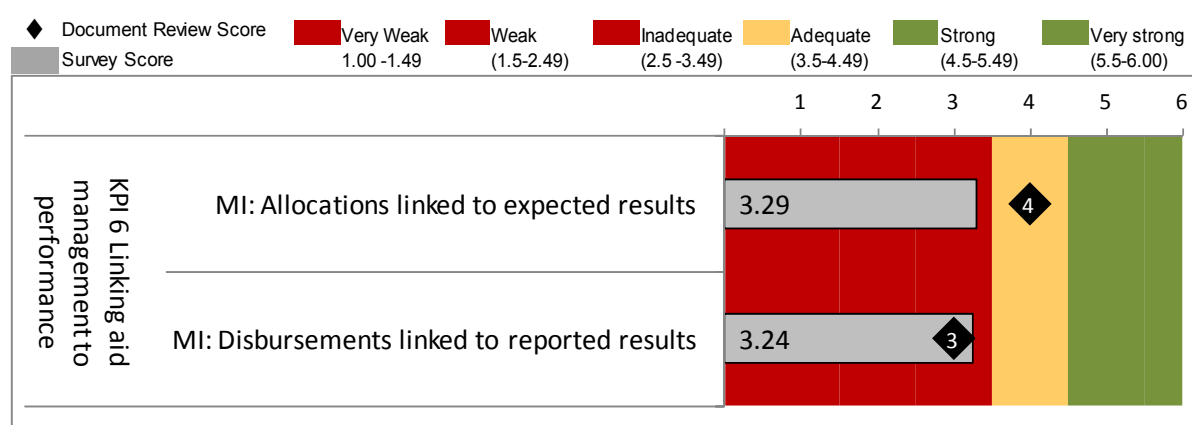
KPI 6: Linking Aid Management to Performance

Finding 6: Donors at headquarters felt that the FAO's general performance in linking aid management to performance was inadequate. The review of documents suggests that progress has been made in allocating resources by results, but that reports on expenditures are not yet linked to results.

Donors at headquarters were the only respondents asked to assess the FAO's performance under this KPI. In general, the organisation was rated as performing inadequately, both in terms of linking budget allocations to expected results and linking disbursements to expected results.

In contrast, the document review suggested the FAO has made progress in linking budget allocations and expected results in 2010-11 and 2012-13, but its reports are not yet showing how resources used (expenditures or disbursements) are linked to results achieved.

Figure 3.12 KPI 6: Linking Aid Management to Performance, Ratings of Micro-Indicators



MI 6.1 – Allocations linked to expected results

Donors at headquarters found the FAO inadequate in linking aid allocations to expected results. In contrast, the document review rated the FAO as adequate in this area. The FAO has linked aid allocations to the broad categories of results outlined in the strategic and functional objectives, as opposed to specified/ expected results.

MI 6.2 – Disbursements linked to reported results

When asked to rate the FAO's performance in linking aid disbursements to reported results, donors at headquarters rated the organisation inadequate. The document review also rated the FAO's performance in this area as inadequate. The organisation began to develop a results-based budgeting process in 2010-11 to create an identifiable link between resource allocations and disbursements and its specific measurable results. The process thus far has focused on the alignment of programming and resources with the strategic objectives.

KPI 7: Financial Accountability

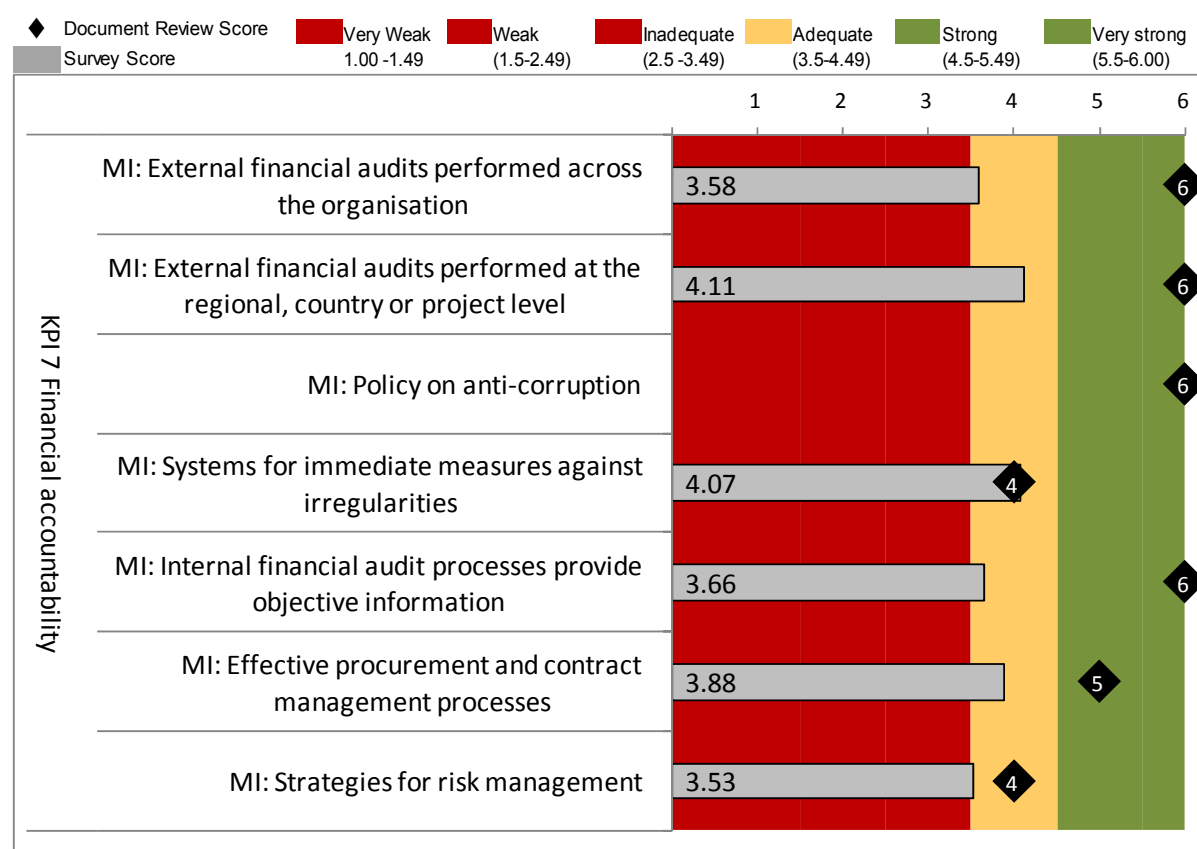
Finding 7: Surveyed stakeholders believe that the FAO has generally adequate processes, systems and policies for financial accountability. The review of documents identified strengths in FAO's audit practices and approach to fight corruption.

Of the seven MIs assessed under KPI 7, six were assessed by the document review and the survey, and one was assessed by the document review only.

Overall, survey respondents considered the FAO's establishment of policies and processes for organisation-wide financial accountability adequate. The document review rated the organisation's performance in this area as strong.

Donors in-country frequently answered 'don't know' (51 per cent) for all MIs assessed under this KPI.

Figure 3.13 KPI 7: Financial Accountability, Ratings of Micro-Indicators



MI 7.1 – External financial audits performed across the organisation

Donors at headquarters (the only group asked about this indicator) rated the FAO adequate in conducting external audits that meet donor needs. An independent external audit is conducted on the FAO annually, in accordance with International Standards on Auditing. The document review rated the FAO as very strong.

MI 7.2 – External financial audits performed at the regional, country or project level

On this MI, the survey was administered to donors in-country and to the FAO's direct partners. Both groups rated the FAO's performance adequate. The document review rated the FAO very strong, given that the FAO conducts audits across the organisation, at headquarters and at its decentralised offices.

MI 7.3 – Policy on anti-corruption

This MI was assessed through document review only, which rated the FAO very strong for its anti-corruption policy. In 2004, the FAO developed a policy statement on fraud and the improper use of the organisation's resources. The Terms of Reference governing external audit also outlined a list of matters that should be referred to the Finance Committee for investigation, including cases of fraud or presumptive fraud and expenditures not in conformity with the authority which governs them.

MI 7.4 – Systems for immediate measures against irregularities

The FAO was rated adequate by the survey and document review on this MI. In the survey, statistically significant differences existed across respondent groups. The FAO's direct partners rated the organisation strong in establishing appropriate policies and/or guidelines to follow up on financial irregularities and corruption. Donors at headquarters and in-country perceived the FAO's performance as adequate. More than half of the donors in-country indicated "don't know" on this question. The document review rated the FAO as adequate, as the documents reviewed provided general information on financial audits, such as the role of the Office of the Inspector General and the scope of the audit. While they did not provide detailed information about the process to be followed in the case of irregularities, the FAO has indicated that detailed audit and investigation manuals are used within the Audit Office. FAO management conducts follow-up action to review and implement audit recommendations, and has established secure mechanisms to allow staff to report financial irregularities. The FAO has also indicated that there is a well-documented process set out in the FAO Administrative Manual by which disciplinary actions are initiated and brought to a conclusion, inclusive of specified response times.

MI 7.5 – Internal financial audit processes provide objective information

Donors at headquarters (the only respondent group surveyed for this MI) rated the FAO's activity in this area adequate. The document review provided a higher score for this MI, rating the FAO very strong based on evidence of consistent internal audit processes. The Charter for the Office of the Inspector General is an organisation-wide policy for internal financial audits. The Office of the Director General approved the use of this document for independent audits that are separate from the FAO's programming areas. The internal audit function reports directly to the FAO Executive. A copy of the report goes to the Director-General, the External Auditor and the Audit Committee.

MI 7.6 – Effective procurement and contract management processes

Survey respondents from each of the three respondent groups rated the FAO adequate on this MI, but donors at headquarters seemed unclear about the FAO's processes in procurement and contract management. The document review rated the FAO procurement and management contract processes for providing goods and services strong. The FAO has developed organisation-wide guidelines and instructions on its procurement process that can be accessed by vendors on the FAO website, as well on UN Global Marketplace, the vendor registration portal. The FAO has indicated that it has taken significant concrete actions to address

weaknesses in procurement and contract management that were identified by the Independent External Evaluation (2007) and Audit observations. These actions have been incorporated into the Immediate Plan of Action and are part of the FAO's reform activities.

MI 7.7 – Strategies for risk management

Donors at headquarters were asked to assess the appropriateness of the FAO's strategies for risk management. A majority rated the FAO's performance adequate. The document review rated the FAO's approach to risk management as adequate, given the work that is currently reported to be underway. In its mid-term review of the 2010-2011 Programme of Work and Budget, the FAO indicated that strategy teams and unit managers need to take a more systematic approach to risk management. The FAO has committed to increase the availability of tools for managers during 2011 in a pilot Enterprise Risk Management (ERM) program.

KPI 8: Using Performance Information

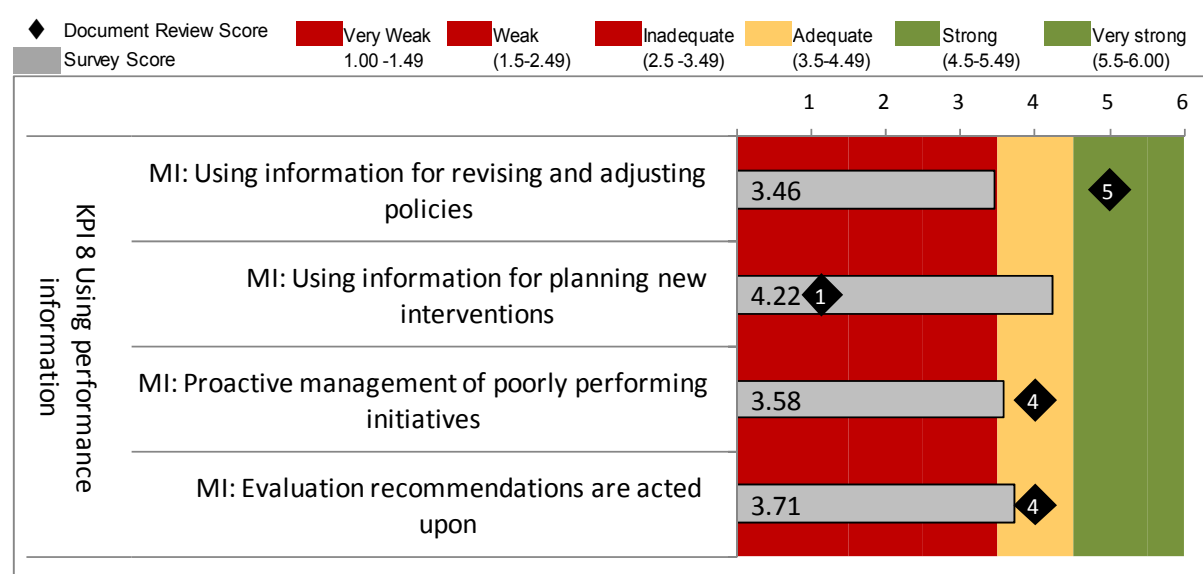
Finding 8: Overall, the FAO was rated adequate in its use of performance information but needs to invest further in the use of performance information to support planning of new initiatives at the country level.

Four MIs were assessed under this KPI by survey and document review. Ratings provided by the FAO's direct partners were generally higher than those of donors in-country. Donors in-country appeared least familiar with the FAO's use of performance information to guide programming (with an average of 35 per cent of 'don't know' responses).

The document review ratings varied from very weak to strong across the MIs assessed. The KPI received an overall rating of adequate by document review.

In order to capture and disseminate key lessons learned from programming, the FAO has incorporated three monitoring and reporting elements into the new RBM framework: i) monitoring of Country Work Plans (CWPs); ii) Mid-Term Review (MTR); and iii) the End-of-Biennium assessment. FAO introduced both the CWP and MTR processes in 2010 and reported on the first mid-term review in 2010, following implementation of the new Results-based Management System. The FAO has been using findings from the combined monitoring and reporting activity to inform and adjust program implementation and planning across the organisation.

Figure 3.14 KPI 8: Using Performance Information, Ratings of Micro-Indicators



MI 8.1 – Using information to revise and adjust policies

This MI focused on the FAO's use of performance information at the organisational level to revise corporate strategies. The survey was administered to donors at headquarters only. A majority of respondents (approximately 70 per cent) provided ratings of adequate or lower which resulted in an average score of inadequate.

The document review rated the FAO strong in using information to revise and adjust policies and strategies. The FAO has developed a system that entails producing annual performance reports for use in revisiting and refining its strategic plan, programs, and policies. The Independent External Evaluation (2007) and the Strategic Evaluation of FAO Country Programming (2010) were key sources of performance information that were used to inform revisions to strategy and policy.

MI 8.2 – Using information for planning new interventions

Donors in-country and the FAO's direct partners were asked to comment on the FAO's use of performance information to plan new interventions at country level. Direct partners rated the FAO strong, while donors in-country rated it adequate (although 30 per cent answered 'don't know'). The differences were statistically significant. The document review rated the FAO very weak on this MI. The National Medium Term Policy Framework (NMTPF) for each country reviewed did not include information on achievements and lessons learned from previous cycles. The new Country Programming Frameworks (CPFs), which are still being tested, call for more explicit identification of what has worked well and not so well in past programming at the country level. Furthermore, the CPF is expected to include the development of country work plans, implying revision of policies, procedures and instruments to track progress at the country level.

MI 8.3 – Proactive management of poorly performing initiatives

There were statistically significant differences between responses of donors in-country and those of direct partners on this MI. While direct partners rated FAO performance adequate in the proactive management of poorly-performing initiatives, donors in-country rated the organisation's performance inadequate (although 40 per cent responded 'don't know'). The FAO received a rating of adequate from the document review, which noted that the FAO is in the process of implementing a four-step performance review of its programming. The mid-term review of the 2010-11 Programme of Work and Budget has underscored the importance of work plan monitoring. Frank reporting on the status of implementation supports proactive management of any emergent problems.

MI 8.4 – Evaluation recommendations are acted upon

Donors at headquarters felt that the FAO adequately tracks implementation of evaluation recommendations reported to the Board. This rating concurred with that of the document review, which rated the FAO as adequate. The document review found evidence of reporting on the implementation of evaluation recommendations, such as the submission of progress reports to the FAO Programme Committee. The FAO's evaluation policy requires a management response to all evaluations conducted by the FAO as well as follow up reporting on implementation of accepted recommendations. In 2011, FAO clarified and published its procedures for management responses and for ensuring follow-up reports on evaluations.

FAO. (2010). Mid Term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11). Food and Agriculture Organization. (p.4)

KPI 9: Managing Human Resources

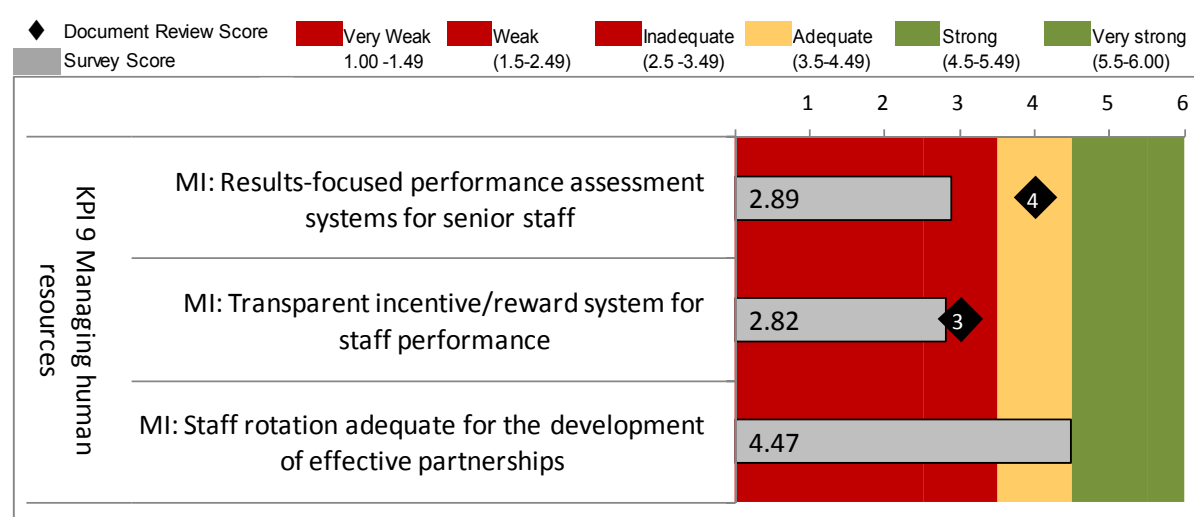
Finding 9: The FAO's reforms in human resource management, which are evident in its documentation, are not yet evident to survey respondents in the organisation's management of staff performance.

This KPI assessed whether FAO manages human resources using methods to improve organisational performance. Overall, survey respondents rated the FAO as inadequate on two of the micro-indicators related to its performance assessment systems and the link between staff performance and incentives/rewards.

The document review, which assessed only two MIs, provided ratings ranging from inadequate to adequate in this area.

At the time of the assessment, the FAO was undertaking major reforms of its human resource policy and procedures. Although it has adopted a new Performance Evaluation and Management System (PEMS) as part of the reform of its HR strategy, this system is in its first year of implementation and is due to become fully operational in 2012 – which may explain some of the low ratings from both survey respondents and the document review.

Figure 3.15 KPI 9: Managing Human Resources, Ratings of Micro-Indicators



MI 9.1 – Performance assessment systems for senior staff

When asked about the FAO's use of results-focused performance assessment systems to evaluate senior staff, donors at headquarters rated it inadequate. In contrast, the document review rated the FAO adequate in this area. Following the 2007 independent evaluation recommendation that the FAO revise its performance assessment system, the organisation launched a Performance Evaluation and Management System (PEMS) in 2010. The PEMS aimed to "hold managers and staff accountable for results and the achievement of performance standards"¹⁸ across the organisation. Under the PEMS, the assessment system applies to FAO staff at all levels.

¹⁸ Food and Agriculture Organization. (2009). PEMS Workshop Participants Guide. 2009-2010 PEMS Training. Retrieved 21 May 2011 from <http://www.fao.org/docrep/012/i1458e/i1458e00.pdf>.

MI 9.2 – Transparent incentive/ reward system for staff performance

Donors at headquarters rated the FAO inadequate in its use of a transparent system for managing staff performance. This MI also received a rating of inadequate from the document review. A key component of the FAO's revised performance assessment system has been a Rewards and Recognition scheme for staff, with promotion guidelines that "define in detail what objective ratings and level of competency proficiency are expected for promotion to a particular level."¹⁹ The low rating of this MI is due to delayed implementation of the system.

MI 9.3 – Staff rotation is adequate for development of effective partnerships

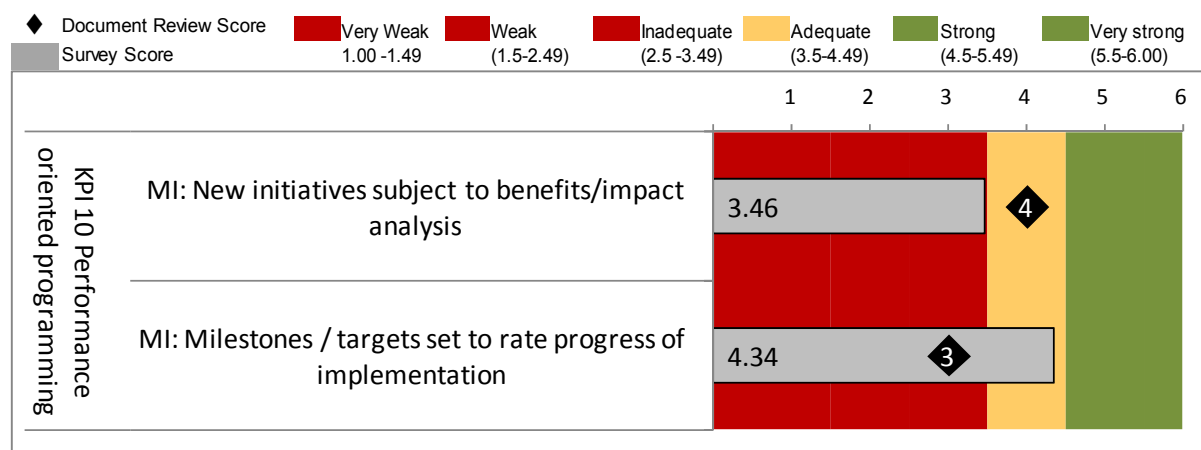
This MI was assessed by survey only. FAO's direct partners and donors in-country were asked whether the FAO deployed international staff in country offices for a time sufficient to maintain effective partnerships at country level. While direct partners rated the organisation strong in this area of activity, donors in-country rated it adequate.

KPI 10: Performance-oriented Programming

Finding 10: Survey and document review ratings suggest the FAO has room to improve quality in the design and monitoring of its projects.

This KPI involved the assessment of two MIs by survey and document review. Survey ratings suggest that the FAO performed inadequately in conducting benefit/ impact analyses of new initiatives. Survey respondents felt the FAO's performance was adequate, however, in monitoring progress at the country level. Conversely, the document review suggested that the FAO performed adequately and inadequately, respectively, in these two areas. Donors in-country and at headquarters seemed uninformed about the FAO's activities in each area.

Figure 3.16 KPI 10: Performance-oriented Programming, Ratings of Micro-Indicators



MI 10.1 – New initiatives are subject to benefits/ impact analysis

Donors at headquarters rated the FAO as inadequate in conducting impact analysis of new initiatives (although 33 per cent responded 'don't know'). The document review rated the FAO adequate. FAO's approach to ensuring quality in its projects and programs is based on the Standard Project Document (SPD), which provides guidelines for assessing each initiative prior to project development and implementation. The SPD includes a rationale for identifying problems/ issues to be addressed, stakeholders and target beneficiaries, and developing the project justification. It also reviews previous work conducted by the FAO on the specific project

¹⁹ ibid

issue, and outlines the comparative advantage of investment. Importantly, the SPD also outlines procedures for exploring the project impact, outcome and outputs, sustainability, and associated risks and assumptions. While adequate guidelines for ensuring project quality are in place, the extent of their application is less clear in the documentation reviewed.

MI 10.2 – Milestones/ targets set to rate progress of implementation

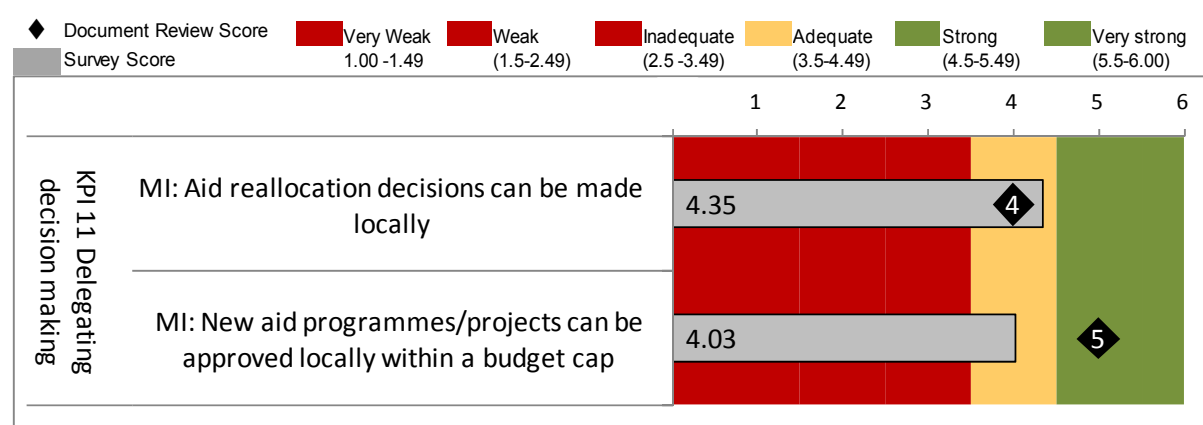
Donors in-country and the FAO's direct partners were asked to assess this MI. Direct partners rated the FAO's performance as strong, while donors in-country rated it adequate, and the difference was statistically significant; 40 per cent of donors in-country answered 'don't know'. The document review, which assessed project documents for the eight countries assessed this year, rated FAO inadequate. This rating resulted from a lack of evidence that the FAO had established targets to rate the progress of implemented projects/ programs.

KPI 11: Delegation Decision-making

Finding 11: Decentralisation across the FAO is still a work-in-progress. Although decision-making authorities have yet to receive full delegation at country and regional levels, respondents and the review of documents considered that progress has been made (with ratings of adequate or strong).

Two MIs were assessed under this KPI. Overall survey respondents felt that the FAO delegated decision-making authorities at country or other levels adequately. As in other areas of the assessment, direct partners were significantly more positive than donors in-country. The donors also indicated that they were the least knowledgeable about the organisation's performance in this area (an average of 41 per cent 'don't know' responses).

Figure 3.17 KPI 11: Delegation Decision-making, Ratings of Micro-Indicators



MI 11.1 – Aid reallocation decisions can be made locally

When questioned about the FAO's ability to manage projects/programs at a country level, direct partners were significantly more positive and rated the organisation strong while donors in-country rated it adequate. The document review rated the FAO adequate on this MI. The Independent External Evaluation (2007) was highly critical of the lack of decentralised decision-making, and recommended "further decentralisation of functions and authority from headquarters to the field ...[and] effective delegation of authority."²⁰ As part of the comprehensive program of organisational reform and culture change begun in 2008, the FAO

²⁰ Christoffersen, Leif E. et al (2007, September). *FAO: The Challenge of Renewal*. Report of the Independent External Evaluation of the Food and Agriculture Organization of the United Nations (C2007/7A.1-Rev.1). (p.142).

authorised delegation of authority at the regional, sub-regional and national levels for non-emergency programming. The FAO has made progress in this respect.

MI 11.2 – New programs/ projects can be approved locally within a budget cap

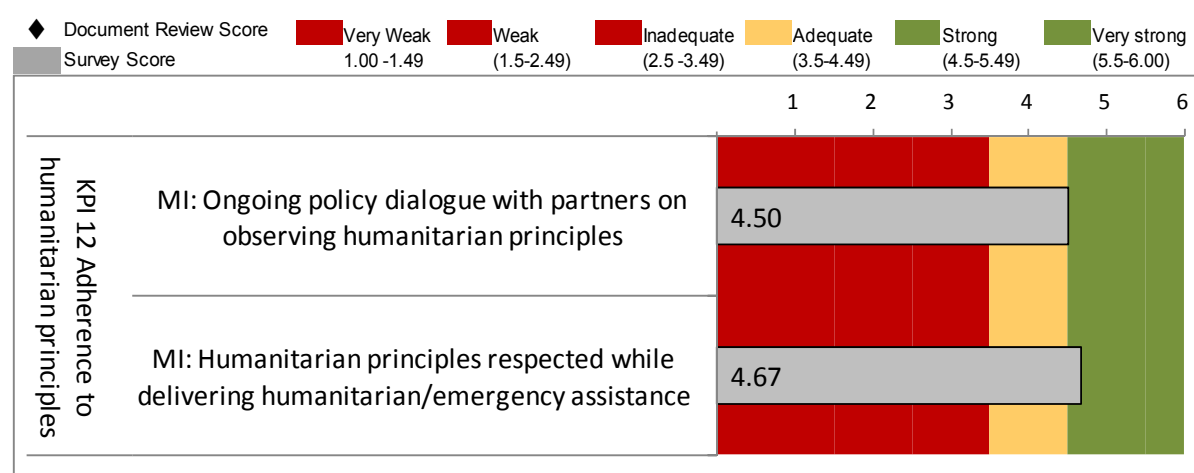
Both the FAO's direct partners and donors in-country rated this MI adequate, while 51 per cent of donors in-country answered 'don't know.' The FAO received a strong rating from the document review. According to the Technical Cooperation Programme (TCP) Manual, locally-based FAO personnel received the FAO's go-ahead to approve non-emergency TCP programs and projects up to a margin of US\$ 500,000. The TCP is one of FAO's core areas of activity.

KPI 12: Humanitarian Principles

Finding 12: Survey respondents identified the ability to adhere to humanitarian principles while delivering emergency assistance as one of the FAO's strengths. They also perceived the organisation's ongoing dialogue with direct partners as another of its stronger areas of activity.

This KPI was assessed by survey only, administered to all respondent groups. Overall, survey respondents rated FAO as strong in both MIs. Donors in-country were the least familiar with FAO's adherence to humanitarian principles (35 per cent responded 'don't know').

Figure 3.18 KPI 12: Humanitarian Principles, Ratings of Micro-Indicators



MI 12.1 – On-going policy dialogue with partners on observing humanitarian principles

This MI assessed the FAO's ability to maintain ongoing policy dialogue with its direct partners on the importance of observing humanitarian principles in delivering emergency assistance, particularly in cases of protracted crises and complex emergencies. While direct partners rated FAO's performance as strong, donors at headquarters and in-country rated it adequate.

MI 12.2 – Humanitarian principles respected while delivering humanitarian/emergency assistance

In the survey, both direct partners and donors in-country thought the FAO's respect for humanitarian principles while delivering emergency assistance was strong. FAO received a rating of adequate from donors at headquarters.

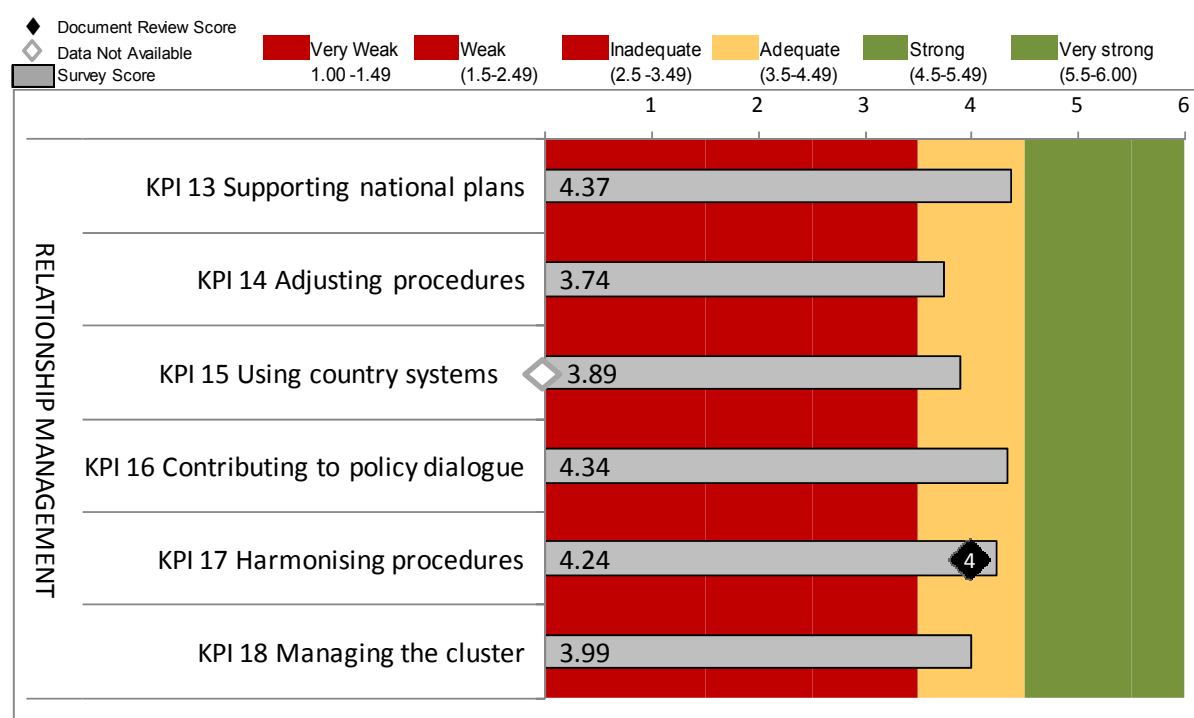
3.3.4 Relationship Management

Survey ratings suggest that the FAO performs adequately in the area of relationship management. The document review only assessed FAO's performance with regard to harmonising procedures, where it is rated adequate.

In this quadrant MOPAN assessed the FAO's relationship with its direct partners and other stakeholders. Many of the indicators reflect the areas addressed by the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action.

Figure 3.19 below shows the overall survey and document review ratings for the six key performance indicators. The FAO is perceived by survey respondents to be adequate on all indicators in this area. The review of documents, which drew on data provided by some of FAO's country offices for the 2011 Survey on Monitoring the Paris Declaration, rated the FAO as adequate in harmonisation of procedures. However, there was insufficient data to provide a rating on the key performance indicator on use of country systems.

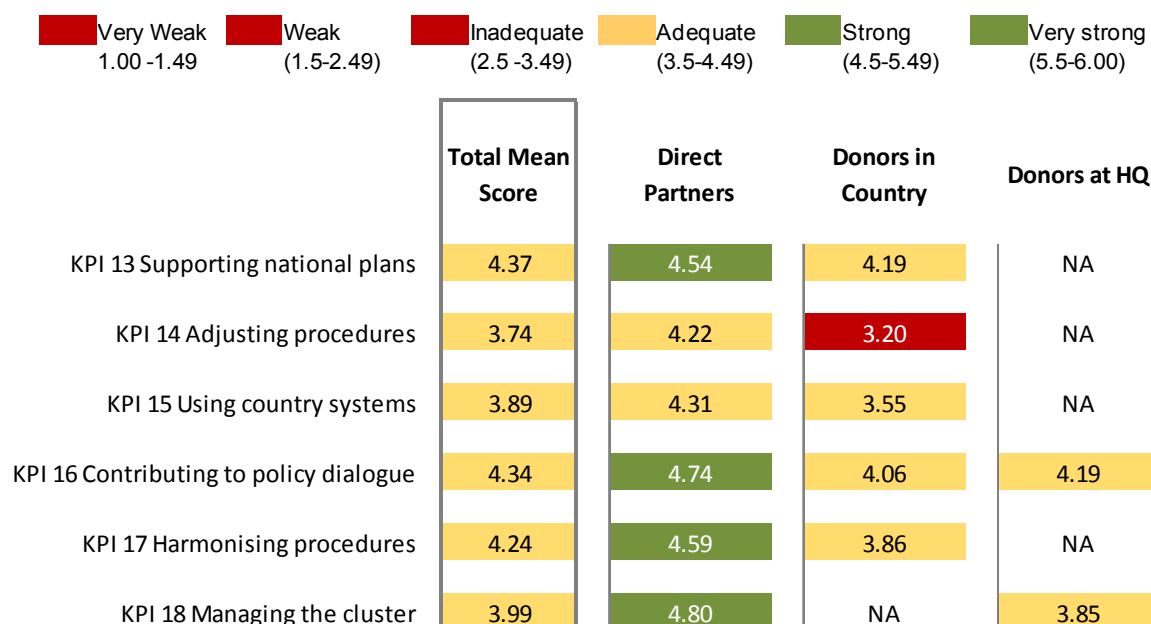
Figure 3.19 Quadrant III Relationship Management - Survey and Document Review Ratings²¹



²¹ The document review for KPI 15 was designed to draw on data from the *2011 Survey on Monitoring the Paris Declaration*. The white diamond indicates that the data required for the assessment was unavailable for the FAO.

Figure 3.20 highlights a pattern observed in all quadrants, where direct partners of the FAO tend to rate the organisation's performance more positively than other survey respondent groups. Of note are the statistically significant differences between respondents' views within all KPIs (with the exception of KPI 13). Donors in-country and at headquarters tended to rate the FAO as adequate, while direct partners leaned towards strong ratings.

Figure 3.20 Quadrant III Relationship Management - Mean Scores by Respondent Group

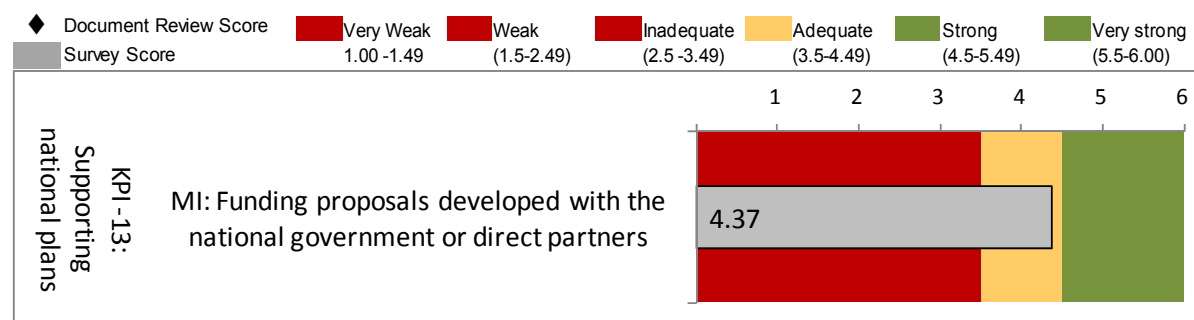


KPI 13: Supporting National Plans

Finding 13: Overall, the FAO is perceived to be adequate in coordinating and directing its programming at the country-level in support of national plans. This rating is based on the FAO's approach to developing proposals in collaboration with direct partners.

This KPI was assessed by the survey only, administered to donors in-country and FAO's direct partners. Responses from donors in-country suggest that the FAO is adequately providing programming support, based on proposals developed with its partners at the country level. Direct partners of the FAO rated the organisation's performance as strong.

Figure 3.21 KPI 13: Supporting National Plans, Ratings of Micro-Indicators



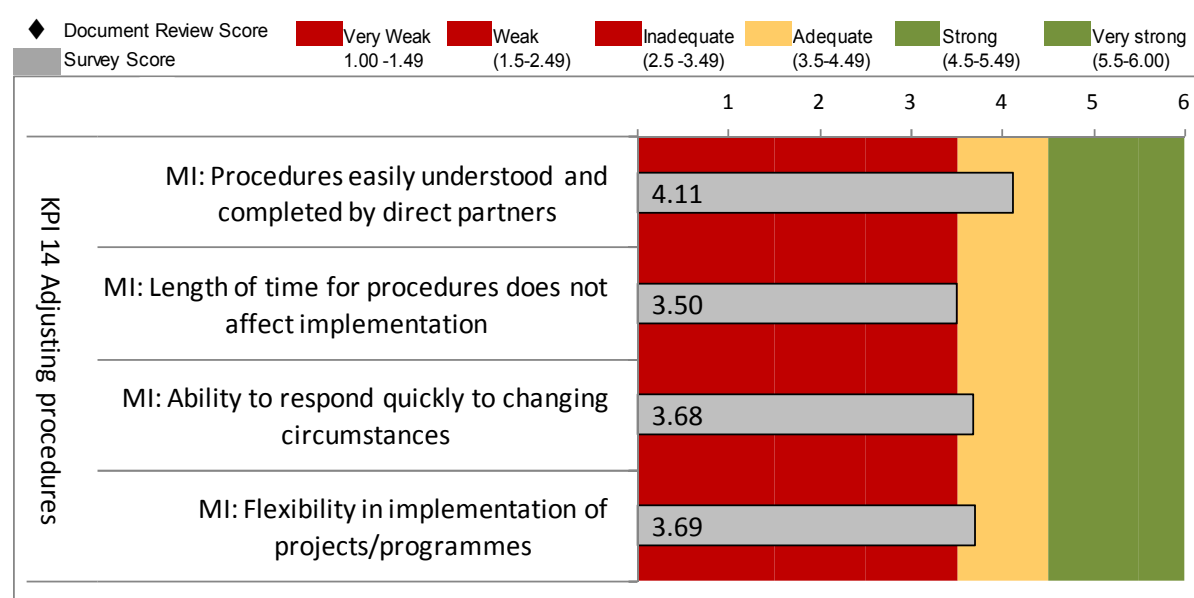
KPI 14: Adjusting Procedures

Finding 14: Direct partners rated the FAO as strong in having procedures that can be easily understood and followed. However, the length of time required to complete procedures is an issue. The FAO is seen as generally adequate in its flexibility to adapt and adjust its programming.

KPI 14, comprising four MIs, was assessed by survey only. Donors in-country and FAO's direct partners were asked to comment on the procedures used by the organisation, in order to determine whether the FAO took local conditions and capacities into account prior to making decisions. The FAO received an overall rating of adequate on all four MIs but there were statistically significant differences between respondent groups on three MIs.

While direct partners felt FAO procedures adequately took local conditions and capacities into account, donors in-country found FAO's procedures inadequate, although they also admitted to being unfamiliar with the FAO's performance in this area.

Figure 3.22 KPI 14: Adjusting Procedures, Ratings of Micro-Indicators



MI 14.1 – Procedures easily understood and completed by direct partners

Asked whether the FAO used procedures easily understood and followed by direct partners, donors in-country rated FAO performance adequate, while direct partners rated it strong.

MI 14.2 – Length of time for procedures does not affect implementation

Differences in survey responses were statistically significant regarding the FAO's performance on this MI. Donors in-country felt that the length of FAO's procedures impeded the implementation of project/programs as they rated the organisation's performance as inadequate in this area. Direct partners gave FAO's performance a rating of adequate.

MI 14.3 – Ability to respond quickly to changing circumstances

The FAO received an overall score of adequate. Direct partners rated the organisation adequately, and were significantly more positive in their rating. Donors in-country, however, felt the FAO performed inadequately. Some 31 per cent of donors based in-country responded 'don't know'.

MI 14.4 – Flexibility in implementation of projects/ programs

Although this MI received an overall score of adequate, there were statistically significant differences across survey respondent groups. Direct partners felt the FAO showed adequate flexibility in adjusting implementation of individual projects and programs as learning occurs. In contrast, donors in-country rated the FAO's performance inadequate.

KPI 15: Using Country Systems

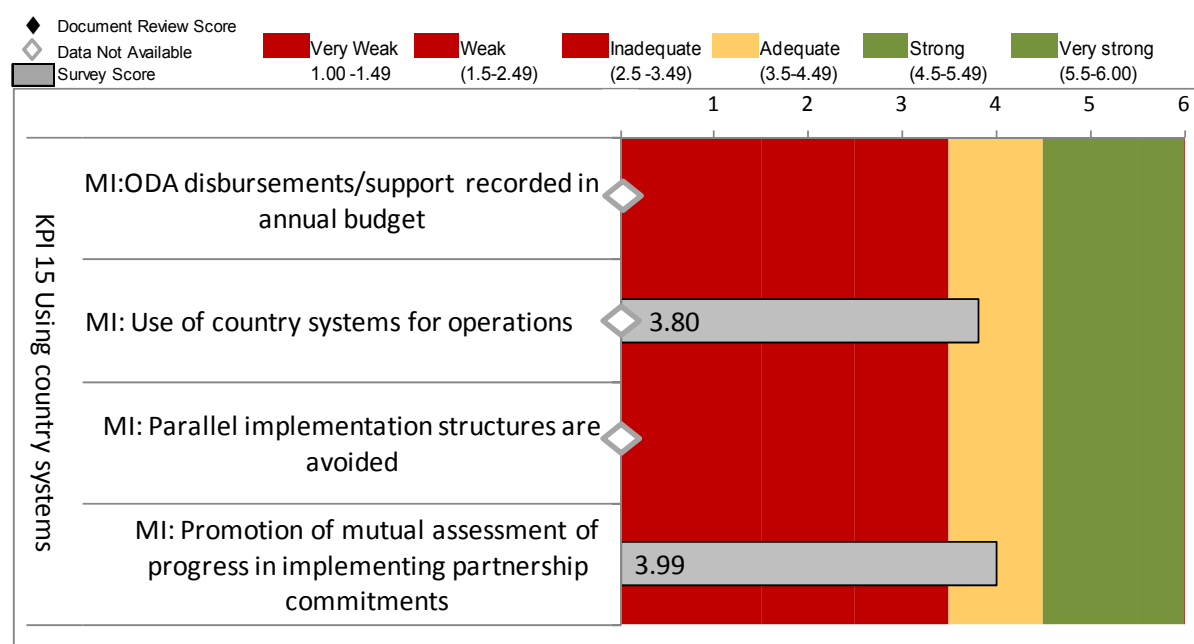
Finding 15: In-country donors and direct partners rated the FAO's use of country systems as adequate. The review of documents was constrained by limitations in the data.

Four MIs were assessed under this KPI of which two by survey. Donors in-country offices and direct partners were the only respondent groups asked to assess the FAO's performance in using country systems for disbursement and operations.

Both respondent groups rated the FAO as adequate, but were unfamiliar (direct partners in particular) with the FAO's use of country systems for operations, and its promotion of mutual assessment of progress in implementing partnership commitments.

The document review was constrained by the unavailability of data/ documents to assess MIs on ODA support recorded in annual budgets, use of country systems, and use of parallel implementation structures.

Figure 3.23 KPI 15: Using Country Systems, Ratings of Micro-Indicators²²



²² The document review for this KPI was designed to draw on data from the *2011 Survey on Monitoring the Paris Declaration*. White diamonds indicate that the data required for the assessment was unavailable for the FAO.

MI 15.1 – ODA disbursements/ support recorded in annual budget

This indicator is based on Indicator 3 of the Survey on Monitoring the *Paris Declaration*. Although the FAO provided their responses to the donor questionnaire for 12 countries participating in the 2011 Survey on Monitoring the Paris Declaration, the indicator also draws on data from the government survey, which was not available for review.

MI 15.2 – Use of country systems for operations

Direct partners rated the FAO's performance as adequate and donors in-country considered the FAO inadequate. A significant proportion of both groups were unfamiliar with FAO's performance in this area (35 per cent of donors in-country and 31 per cent of direct partners responded "don't know" to this question).

This indicator is based on Indicators 5a and 5b of the Survey on Monitoring the Paris Declaration. Data provided by the FAO about its use of national systems and procedures in 12 countries suggest that only 5 per cent or less of the organisation's support for the government sector in these countries uses public financial management systems (budget execution, national financial reporting and audit procedures) or procurement systems. Given that much of FAO assistance is for technical cooperation, the nature of its activities in some countries may not lend themselves to the use of national systems.

MI 15.3 – Parallel implementation structures are avoided

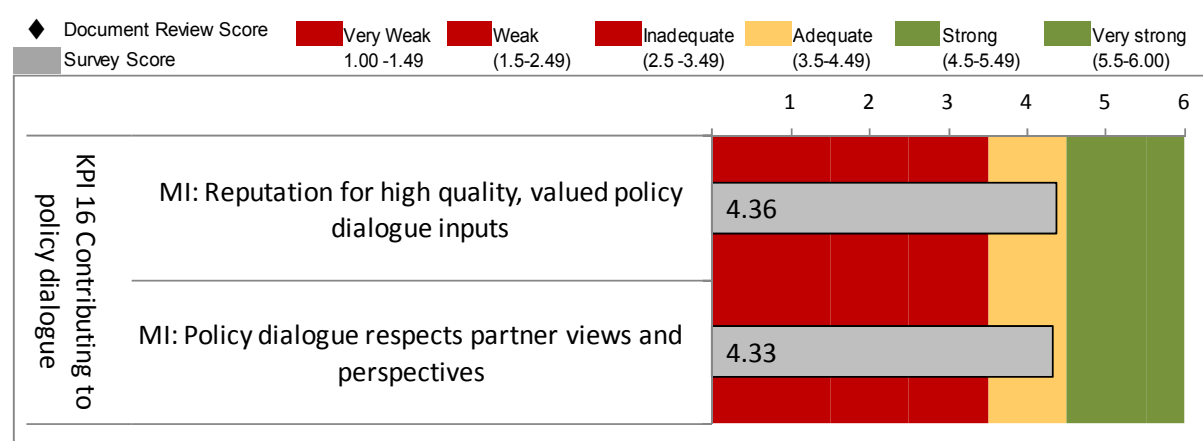
This indicator draws on Indicator 6 of the Paris Declaration. The preliminary data provided by 12 FAO country representations suggests an average of less than one parallel Project Implementation Unit (PIU) per country (10 parallel PIUs reported over 12 countries). The extent to which the FAO has reduced its use of parallel PIUs (Indicator 6) cannot be determined based on available data (which also requires organisation-specific data from the 2008 Survey on Monitoring the Paris Declaration).

MI 15.4 – Promotion of mutual assessment of progress in implementing partnership commitments

This MI was assessed by survey only. Although differences in opinion were statistically significant between survey respondent groups, FAO's performance was rated adequate by donors in-country and direct partners alike. Some 43 per cent of the FAO's direct partners admitted unfamiliarity with the organisation's promotion of mutual accountability assessment, as described in the Paris Declaration and Accra Agenda for Action commitments.

KPI 16: Contributing to Policy Dialogue**Finding 16: The FAO's policy dialogue with partners was considered strong by direct partners and adequate by donors in-country and at headquarters.**

KPI 16 was not assessed by document review, but was addressed by two questions in the survey. The first question enquired about the FAO's performance in terms of providing inputs into policy dialogue; and the second whether policy dialogue conducted by the FAO respected partner views and perspectives. The FAO's performance was rated as adequate overall but there were statistically significant differences in responses to both questions. While donors in-country and at headquarters rated the FAO's performance adequate, direct partners rated it strong.

Figure 3.24 KPI 16: Contributing to Policy Dialogue, Ratings of Micro-Indicators**MI 16.1 – Reputation for high quality, valued policy dialogue inputs**

Asked whether the FAO provided valuable inputs to policy dialogue, donors at both headquarters and in-country found FAO's performance adequate. Direct partners thought the FAO's performance strong. Differences in responses between donors in-country and those of direct partners were statistically significant.

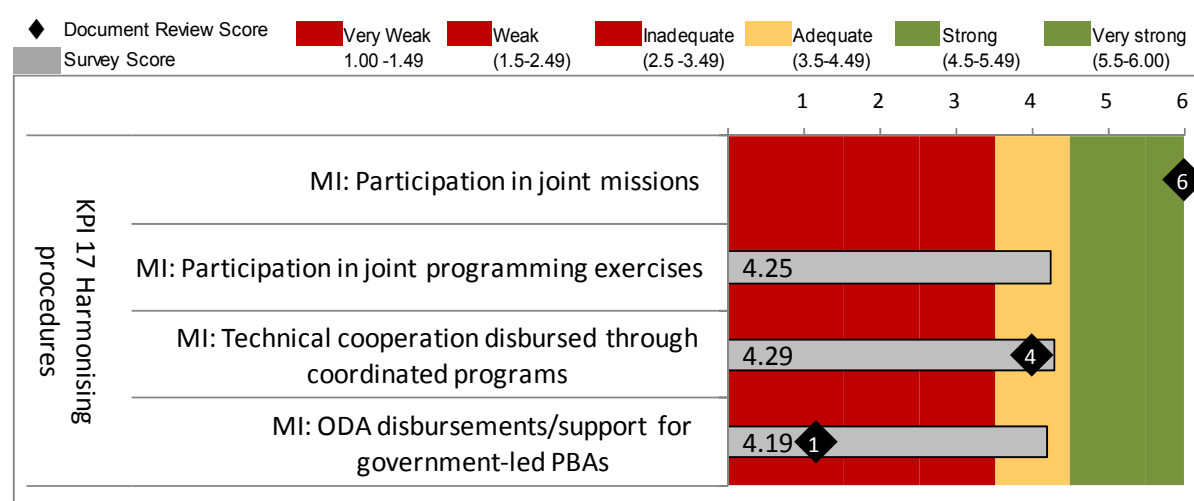
MI 16.2 – Policy dialogue respects partner views and perspectives

Although this MI received an overall score of adequate, direct partners rated the FAO's performance strong while donors at both headquarters and in-country rated the organisation's performance adequate. These differences were statistically significant.

KPI 17: Harmonising Procedures

Finding 17: Survey findings suggest the FAO harmonises procedures adequately. The document review gave the FAO a strong rating on its efforts to harmonise by using joint missions, and a rating of inadequate on its use of program-based approaches.

Four MIs were assessed in this KPI; three through document review and survey and one by document review alone. Overall, survey respondents (donors in-country and the FAO's direct partners) rated the FAO's performance adequate on all three MIs. Response differences between groups were statistically significant. Direct partners rated the FAO strong on all three MIs, while donors in-country offices rated it adequate. The document review, which drew on the data provided by the FAO for the 2011 Survey on Monitoring the Paris Declaration, gave it mixed ratings.

Figure 3.25 KPI 17: Harmonising Procedures, Ratings of Micro-Indicators**MI 17.1 – Participation in joint missions**

This indicator, based on Indicator 10a of the Paris Declaration, seeks to assess the extent to which FAO participates in missions with other donors or carries out a mission on behalf of another donor organisation. The preliminary data provided by 12 FAO country representations suggest that approximately 55 per cent of missions are conducted jointly. Given that the Paris Declaration target for 2010 (Indicator 10 a) is 40 per cent, FAO was rated very strong.

MI 17.2 – Participation in joint programming exercises

When asked about whether FAO often participates in joint programming exercises, respondents gave ratings of adequate or higher. Direct partners were significantly more positive than donors in country and provided a rating of strong.

MI 17.3 – Technical cooperation disbursed through coordinated programs

When asked whether FAO technical assistance was provided through coordinated programs supporting capacity development, donors in-country rated the FAO adequate and direct partners rated it strong. Differences in responses between groups were statistically significant. In the document review, this indicator draws on Indicator 4 of the Paris Declaration. The preliminary data provided by FAO show that 48 per cent of the technical cooperation disbursed by the FAO in a sample 12 countries was disbursed through coordinated programs supporting capacity development in the calendar year 2010. Given the 50 per cent target for 2010 set by the Paris Declaration (Indicator 4), the FAO's progress was rated adequate.

MI 17.4 – ODA disbursements/ support for government-led PBAs

Survey respondents were asked about the extent of FAO's participation in Program-based Approaches (PBAs). As above, FAO's direct partners were significantly more positive than the MOPAN donors in-country. In addition, almost one-third of the donors responded 'don't know' to this question.

Based on preliminary data provided by FAO, approximately 4 per cent of ODA disbursed by FAO in 2010 (in a 12-country sample) was channelled through PBAs. This percentage is far short of the 2010 target of 66 per cent set by the Paris Declaration for Indicator 9. The document review rated the FAO's performance as very weak in this area. However, the level of funding provided by FAO at the country level may be a limitation to becoming a more active participant in PBAs

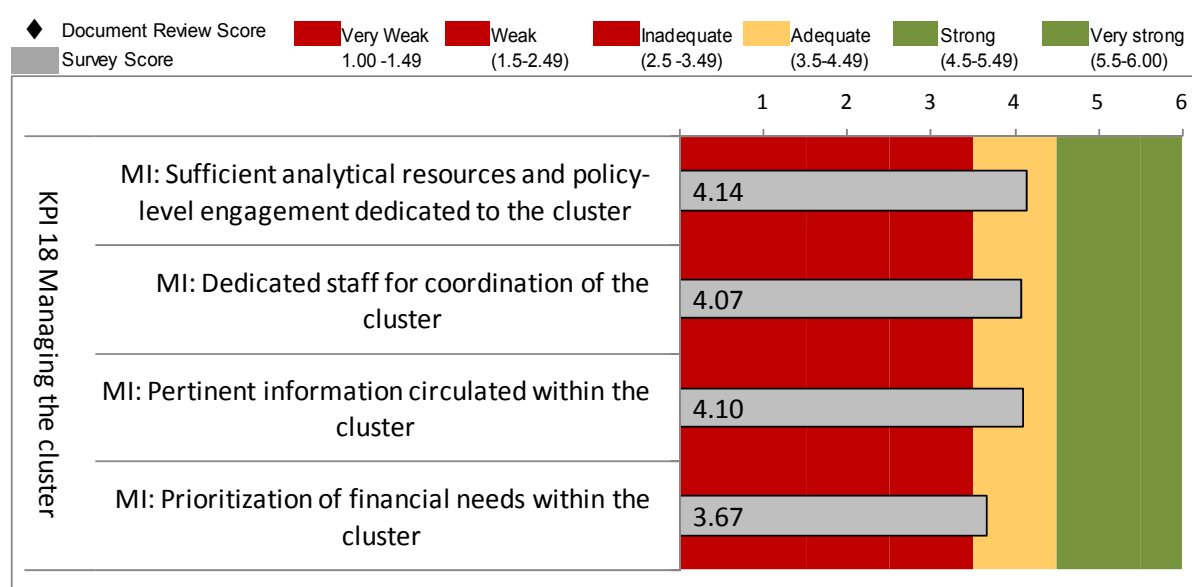
KPI 18: Managing the Cluster

Finding 18: The FAO is adequately fulfilling its Cluster Lead Agency responsibilities, based on the views of donor respondents at headquarters and direct partners in Burundi, where FAO serves as the cluster lead in agriculture.

This KPI mainly sought to assess the FAO's ability to fulfil Cluster Lead Agency responsibilities at country level. The respondents to these questions were the direct partners of the FAO in Burundi, the only country surveyed by MOPAN this year in which FAO serves as a cluster lead in agriculture.

The survey also targeted donors at headquarters and sought to assess their knowledge of FAO's role as a Cluster Lead Agency. Although the FAO's performance was rated as adequate overall by the two respondent groups, direct partners seemed more positive about the organisation's performance, rating it strong in all MIs assessed under this KPI. Donors at headquarters rated it adequate. Differences between the aggregate responses provided by both groups on two MIs were statistically significant.

Figure 3.26 KPI 18: Managing the Cluster, Ratings of Micro-Indicators



MI 18.1 – Analytical resources and policy-level engagement dedicated to strategic activities

Asked whether the FAO dedicated sufficient analytical resources and policy-level engagement to strategic activities within the cluster group, direct partners rated the FAO strong while donors at headquarters rated it adequate.

MI 18.2 – Provision of dedicated staff for coordination

Asked whether the FAO provided sufficient dedicated staff to coordinate the cluster group, direct partners rated the FAO strong, while donors at headquarters rated it adequate.

MI 18.3 – Relevant information circulated

Respondents were also asked whether FAO ensured the circulation of relevant information within the cluster group. Direct partners were significantly more positive than donors at headquarters, providing a rating of strong while donors at headquarters rated the FAO as adequate.

MI 18.4 – Generation of reliable financial needs forecasts

When asked whether the FAO generated reliable financial needs forecasts for the cluster group, direct partners were again significantly more positive and rated the FAO strong while donors at headquarters rated it adequate. Donors at headquarters were the least familiar with the FAO's activity in this area (45 per cent).

3.3.5 Knowledge Management

FAO's evolution in terms of evaluation and dissemination of lessons learned is considered adequate overall. The FAO evaluation function has not been reviewed since the 2007 Independent External Evaluation (IEE). The Programme Evaluation Report (2007) concluded that "the use, quality and institutional reach of evaluation in FAO compares favourably to other specialised UN agencies and is reasonably good compared with all UN agencies."²³ It also indicated, however that "limitations and difficulties need to be overcome, including in evaluation staff and team selection and recruitment, if evaluation is to have the impact on institution-wide learning in programming and strategy implicit in the purposes for which it is intended and if it is to reach the standards now agreed within the UN system."²⁴ The FAO's strategic documentation has therefore emphasised that the organisation's evaluation activity is to be reviewed on a biennial basis.

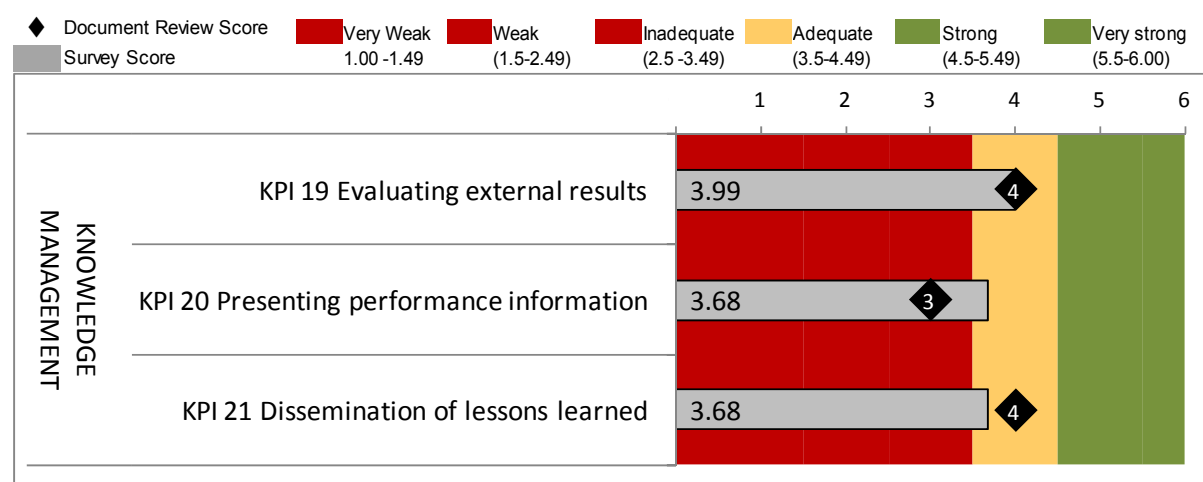
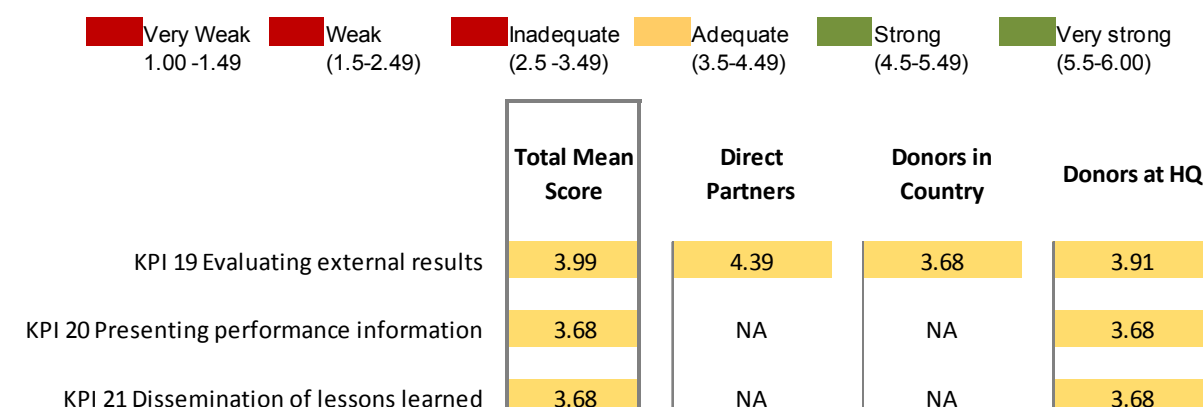
In addition, an independent review of the quality of the evaluation function is required every six years. As the Office of Evaluation (OED) came into existence in 2010, the first biennial review is scheduled for 2012 and an independent review is not planned until 2016. The assessment noted that the FAO has taken steps to implement the recommendation of the IEE for the organisation's evaluation function, through the establishment of an independent OED.

FAO has faced greater challenges with respect to its reporting practices, which is captured in the key performance indicator on presenting performance information. Here, some of the lower ratings are due to the lack of organisation-wide reporting on its Paris Declaration commitments and the quality of reporting on programming adjustments at the country level. FAO's reporting on Medium Term Plans has improved, although reports are not yet based on the measurement of indicators.

Figure 3.27 below shows the overall survey and document review ratings for the three KPIs assessed in this quadrant. Figure 3.28 presents the mean scores for the three KPIs by respondent groups.

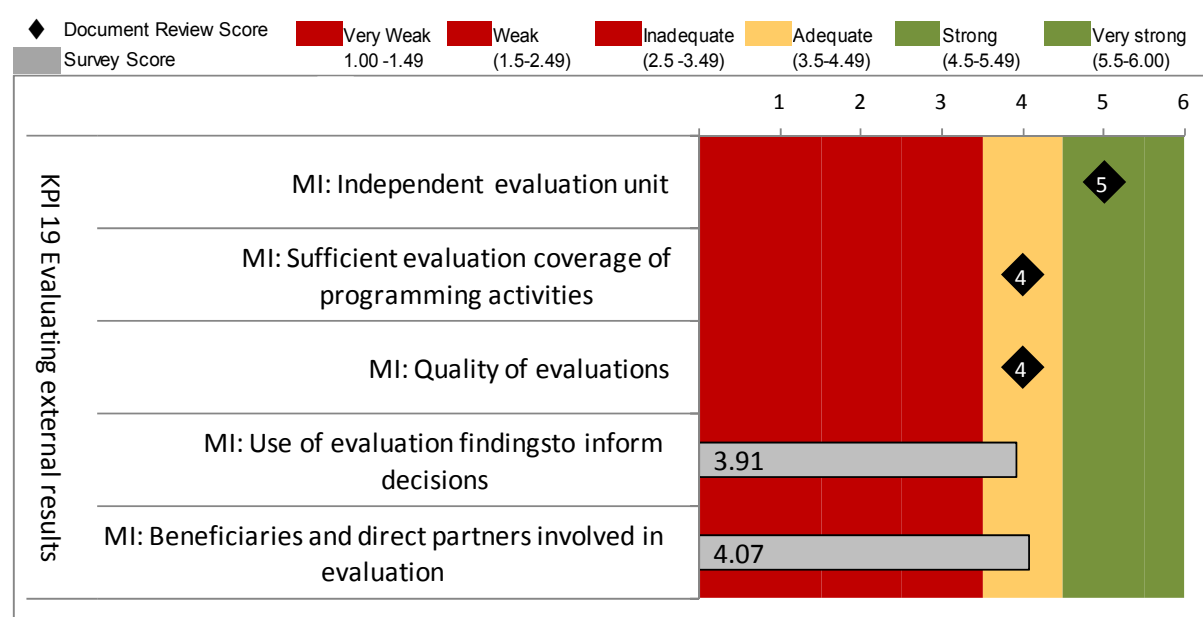
²³ Food and Agriculture Organization (2007, November). *Programme Evaluation Report*. Food and Agriculture Organization of the United Nations (C2007/4). (p.13).

²⁴ *ibid*

Figure 3.27 Quadrant IV Knowledge Management - Survey and Document Review Ratings**Figure 3.28 Quadrant IV Knowledge Management - Mean Scores by Respondent Group****KPI 19: Evaluating External Results**

Finding 19: The FAO was rated adequate by both the survey and document review in evaluating delivery and external results.

Overall, survey respondents rated the FAO as adequate in the two MIs assessed by survey under this KPI. Findings from document review indicated that the FAO performed adequately in ensuring quality control of its evaluation function. The FAO continues to invest in this area, as part of the process of strengthening its evaluation function. As indicated previously, the first biennial review of the FAO's evaluation activity is scheduled for 2012 and will follow the United Nations Evaluation Group (UNEG) framework for Professional Peer Reviews of Evaluation Functions of the UN.

Figure 3.29 KPI 19: Evaluating External Results, Ratings of Micro-Indicators**MI 19.1 – Independent evaluation unit**

One of the main principles underlying the evaluation function within the organisation is independence. According to the Charter for the FAO Office of Evaluation (OED):

Independence should be protected throughout the evaluation process ... The evaluation function must be located in the Organization outside the line management that it is mandated to evaluate, and have a direct line of reporting to the governing bodies and the Director-General.

The document review rated the FAO as strong for the reporting structure in place for the evaluation function. The OED reports to both the Director-General and the Council through the Programme Committee, the members of which are elected by the FAO Council to assist it in carrying out its duties. The development of the OED was in direct response to the recommendation of the 2007 Independent External Evaluation, which specified that the OED should be a separate unit, with a strong, consultative link to management.

MI 19.2 – Sufficient evaluation coverage of programming operations

The document review found that the FAO's performance was adequate in this area. The FAO has developed an organisation-wide evaluation policy (*The Charter for the FAO Office of Evaluation*) that specifies that all of the work carried out by the organisation is subject to evaluation. The organisation conducts different types of evaluation, namely evaluations for the governing bodies, comprehensive country evaluations, and the evaluation of programs and projects, which are usually funded from extra-budgetary resources. In 2011, the FAO Council and the FAO Conference reaffirmed the Immediate Plan of Action (IPA) target of 0.8 per cent of the net appropriation for the budget of the FAO Office of Evaluation. They recommended that the evaluation budget be set at 0.7 per cent of the net appropriation for the 2012-2013 biennium, an increase of approximately 15 per cent over the 2010-2011 evaluation budget.

MI 19.3 – Quality of evaluations

The MOPAN assessment does not directly examine the quality of evaluation reports but seeks to identify the organisation's practices for ensuring evaluation quality. At the FAO, quality control assessments of evaluation reports are made through internal peer review mechanisms and, for many of the major evaluations for the Governing Bodies, by independent expert panels. With reference to the quality of the evaluation function, the FAO conducts a biennial peer review, and commits to an independent evaluation every six years in order to assess the

evaluation function more broadly. As the FAO Office of Evaluation has been newly established and the evaluation mechanisms identified are still fairly new, the document review rated the FAO as adequate.

MI 19.4 – Use of evaluation findings to inform decisions

This MI was assessed by survey only to a single group of respondents (donors at headquarters). A majority of respondents rated the organisation adequate when asked whether it used evaluation findings to inform decisions.

MI 19.5 – Beneficiaries and partners involved in evaluation processes

This MI was assessed by survey only, administered to FAO's direct partners and donors in-country. Differences between ratings provided by the two groups were statistically significant, even though both groups rated the FAO adequate.

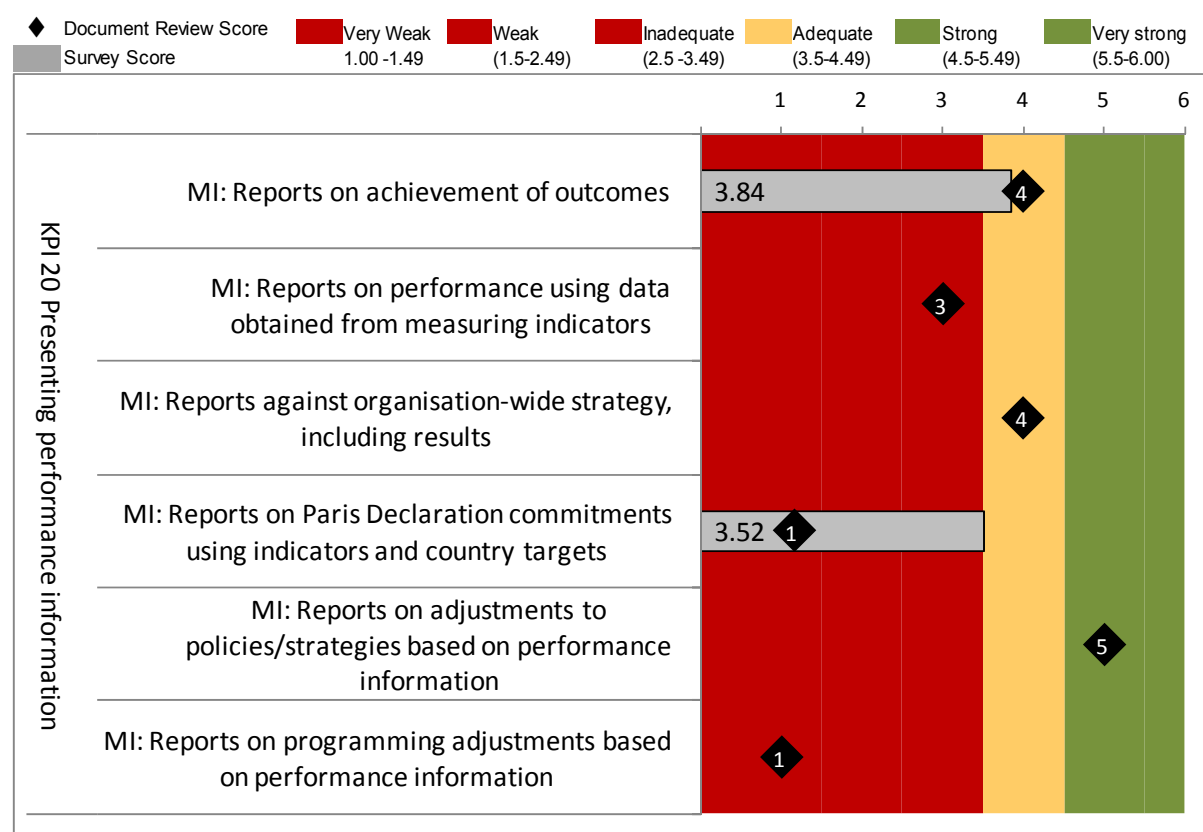
KPI 20: Presenting Performance Information

Finding 20: The FAO adequately presents performance information on its effectiveness, but could improve its reporting on programming adjustments and on the organisation's *Paris Declaration* commitments.

This KPI involved an assessment of six MIs, all of which were assessed by document review and two by survey respondents. The survey (of donors at headquarters only) rated the FAO adequate in presenting performance information on outcomes and Paris Declaration commitments.

The document review rated the FAO as adequate or better on several aspects of reporting but provided lower ratings on others, particularly in relation to its reporting on Paris Declaration commitments and reporting on programming adjustments at the country level.

Figure 3.30 KPI 20: Presenting Performance Information, Ratings of Micro-Indicators



MI 20.1 – Reports on achievement of outcomes

Donors at headquarters rated the FAO adequate in its reports to the governing body on performance, including progress against targets set in organisation-wide strategies. The document review rated the organisation adequate in reporting on outcomes achievement.

In March 2011, the FAO presented its first performance report under its new results framework for the Medium Term Plan 2010-2013. The structure and results-orientation of the report is noticeably better than FAO reports on the Medium Term Plan 2006-2011. The report is structured around FAO's strategic and functional objectives and its organisational results (outcomes). Given that it reports only on the first year of the four-year plan, actual progress towards outcomes is limited. However, as FAO moves forward, its reports could be strengthened with more analysis of how FAO's products and services are helping to resolve the challenges associated with achieving the outcomes.

MI 20.2 – Reports on performance using data obtained from measuring indicators

This MI was assessed by document review only, and was given a rating of inadequate.

The FAO's Mid-term Review Synthesis Report-2010 provides a general overview of achievements during the reporting period, including graphs showing progress towards the achievement of its organisational results (outcomes) and its strategic objectives. Reporting is based on the self-assessments of managers about their units' contributions to outcomes, but do not yet integrate the measurement of indicators. This shortcoming was noted and explained by the FAO: *"As 2010 was the first year of implementation of the new results framework, there was no basis for measuring performance against indicators."*²⁵ In its review of the Medium Term Plan and preparation of the Programme of Work for 2012-2013, the FAO made efforts to improve measurability of organisational result indicators. The FAO has acknowledged that this is critical for effective results-based monitoring and reporting.

MI 20.3 – Reports against corporate strategy, including management and development results

This MI was assessed through document review only, which rated the FAO adequate. The FAO successfully developed and implemented a new approach to organisation-wide performance reporting. Performance reports recently produced by the organisation describe the extent to which progress has been made, and account for variances.

MI 20.4 – Reports on Paris Declaration commitments use indicators and country targets

The FAO received a rating of adequate from survey respondents (donors at headquarters only) on reports to the governing body on its Paris Declaration commitments. It was rated very weak, however, by document review. The FAO does not produce a specific report on organisation-wide activity in conformity with its commitments to the Paris Declaration, nor was there any relevant reporting within other FAO reports.

MI 20.5 – Reports on adjustments to policies/strategies based on performance information

The document review gave this MI a rating of strong. The FAO has made progress in its reporting on adjustments to policies and strategies, and has recently executed the first round of adjustments to the organisational strategy. In 2010, the Mid Term Review mechanism was used for the first time and the report to the Board noted areas of increased and decreased emphasis in the next period, along with budgetary implications of these changes. It is important to note though, that performance information derives from several sources (monitoring, the RBM system, evaluation, and internal review mechanisms).

²⁵ Food and Agriculture Organization. (2011). Medium Term Plan 2010-13 (Reviewed) and Programme of Work and Budget 2012-13. Conference: Food and Agriculture Organization, C2011/3 p. 13.

MI 20.6 – Reports on programming adjustments based on performance information

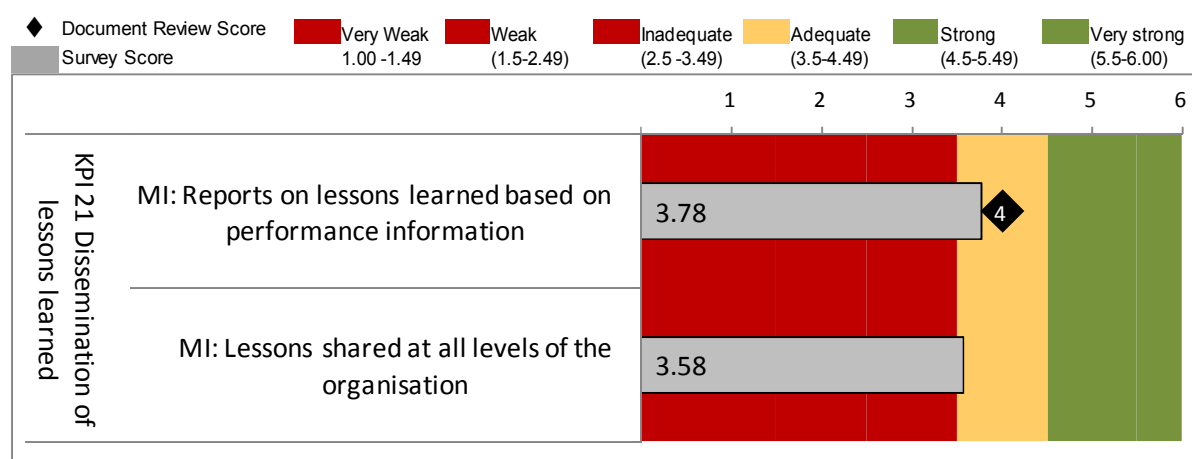
This MI was assessed through document review only. It rated the FAO very weak in country-level reporting on program adjustments. The low rating can be explained by the organisation's failure to outline (in each National Medium Term Policy Framework that was assessed) implications of previous performance information in planning new initiatives. The FAO has indicated that in-country reporting on program adjustments is currently done at the individual project level and at the country office-level; more comprehensive reporting on country programming is still under development.

KPI 21: Disseminating Lessons Learned

Finding 21: The FAO's identification and organisation-wide dissemination of lessons learned from programming was rated adequate overall.

The survey questions under this KPI targeted donors at headquarters only. Both survey and document review gave the FAO a rating of adequate.

Figure 3.31 KPI 21: Disseminating Lessons Learned, Ratings of Micro-Indicators



MI 21.1 – Reports on lessons learned based on performance information

Donors at headquarters rated the FAO adequate in identifying and disseminating lessons learned from performance information. The review of documents demonstrates that the FAO has improved in this area, and has developed a system for reporting on lessons deriving from performance information. The current rating, however, draws on the observation that the organisation is still in its first year of annual performance monitoring and reporting under the newly adopted results-based management framework.

MI 21.2 – Lessons shared at all levels of the organisation

This MI was assessed by survey only. Donors at headquarters rated the FAO adequate in providing opportunities at all organisational levels to share lessons from practical experience.

4. Conclusion

The MOPAN 2011 assessment of the FAO was carried out at a crucial stage in the organisation's evolution. The FAO committed to a process of reform with growth following the key recommendations of the 2007 Independent External Evaluation (IEE). While the findings of the MOPAN assessment will inform this process, they are premature indications of the actual results of reform. Many of the new approaches are still being tested and have yet to yield tangible effects.

This conclusion steps away from the specific ratings of the MOPAN assessment and looks at the major messages that can contribute to dialogue between MOPAN, the FAO, and its direct partners.

The FAO is highly valued by its direct partners

In the four key performance areas examined in the MOPAN 2011 assessment, FAO's direct partners were consistent in providing positive ratings of the organisation, and often rating it as strong.

The FAO is committed to organisation-wide reform and has acted on recommendations of the 2007 Independent External Evaluation (IEE)

In response to the recommendations of the 2007 IEE, the FAO instituted a comprehensive program of organisational reform and culture change through the adoption of Resolution 1/2008. The Immediate Plan of Action for FAO Renewal aims to achieve reform and growth simultaneously.

The FAO has taken its reform efforts seriously and has outlined a plan of action for regrowth through organisational re-structuring and policy design and program implementation at the institutional and country levels. It has supported its staff and direct partners during the reform activities to foster a smooth transition to new operational processes.

The MOPAN assessment noted improvements in several areas identified in the plan of action, including: the strengthening of its evaluation function, the integration of gender equality mainstreaming into its strategic program, and promoting the right to food and human rights-based approaches. The FAO has also taken steps to improve its performance management system in the areas of human resources, financial accountability (audit practices and anti-corruption policy), and monitoring and evaluation.

FAO's follow-up activity to implement the IPA demonstrates its efforts to incorporate the recommendations in its programming. However, the MOPAN assessment also found that there is still much work to be done to complete the reform process, as reflected in some of the lower ratings in this assessment.

The FAO needs to bridge the gap between strategic documents and program implementation

The FAO has outlined its intentions in several areas of activity in detail (e.g., gender mainstreaming, the environment, and human-rights based approaches). Although commendable, these are only the first steps in the overall process of reform. In order to be effective, these require follow-up action in the form of program design and implementation at the institutional and country levels.

- The 2010 Mid Term Review Synthesis Report indicated a lack of evidence to demonstrate the implementation of policies and programs for mainstreaming gender equality across the FAO. Gender audit and evaluation results should highlight specific areas where action needs to be taken.

- The FAO has indicated that it is developing guidelines to support the development of Country Programming Frameworks (CPF) that are linked to the FAO's corporate results framework. Additional changes are being made to the FAO manual on the project cycle. These need to be adopted quickly in order to ensure alignment between CPF, country work plans, and project outcomes.
- The overall survey ratings of adequate on most of the indicators also suggest that stakeholders may still be waiting to see the positive effects of the organisation's strategic reform efforts.

The FAO faces some challenges in implementing results-based management (RBM)

The FAO's strategic documents commit the organisation to the implementation of a revised results-based management framework. As a follow-up to the IEE, the FAO developed a new organisational strategic framework firmly based on RBM principles. However, the assessment found that the implementation of RBM is still a work in progress. As the organisation continues to roll out the RBM framework across the organisation, it will need to increase the robustness of its RBM system through: the development of explicit links between outputs and outcomes, the identification of measureable indicators, greater concentration on reporting, the use of performance information, and results-based budgeting.

Changes in systems and policies are not yet accompanied by a shift in organisational culture

The organisation has revised and established new systems for internal operations as a result of the reform. The systems reforms have implications for a wide range of areas including strategic planning, human resource management, results-based management, delegating decision making, and addressing thematic issues such as gender and HIV/AIDS. While systems are being changed, it is not clear if the organisational culture is moving towards embracing both the learning and accountability dimensions of management for results. Some perceptions of MOPAN donors on certain indicators (e.g., leadership on RBM, a culture focused on results) suggest further work to be done in this area.

FAO approaches at the country level have evolved since 2004

Since the previous MOPAN assessment, the FAO has remained constant in terms of the value that respondents attribute to its mandate, the perceived alignment between its strategy and activities, and its contributions to policy dialogue. In 2004, FAO had a limited structure and programming approach at the country level (based on individual projects), which limited its potential to align with national institutions, policies and administration. Although the MOPAN 2011 assessment looked at different criteria, the FAO's support for national plans and its efforts to roll out a more complete country programming framework are positive developments. In 2004, the FAO was seen to have limited country level staff, little decentralisation, and difficulties participating in joint funding activities at the country level. In 2011, respondent views on delegation of authority and joint programming suggest that it has improved in this area. In 2004, the FAO was not well known by donors in-country; in 2011 donor respondents reported lower levels of familiarity and less frequent contact with the FAO than other respondent groups.