

Multilateral Organisation Performance Assessment Network

Organisational Effectiveness Assessment

Food and Agriculture Organization (FAO) of the United Nations

**Volume II – Appendices
December 2011**



Appendices

Appendix I Methodology	1
Appendix II MOPAN Common Approach Survey for FAO 2011	15
Appendix III Respondent Profile	33
Appendix IV Base Size and Rate of “Don’t Know” Responses	37
Appendix V KPI and MI Data by Quadrant	43
Appendix VI Document Review Ratings, Criteria and Evidence by KPI and MI – FAO	49

Appendix I Methodology

1. Introduction

This document describes the methodology used to conduct the MOPAN Common Approach in 2011. It is important to note that MOPAN continues to improve the methodology for the Common Approach from year to year. With this in mind, comparisons of this year's results with those of previous years should be handled cautiously.

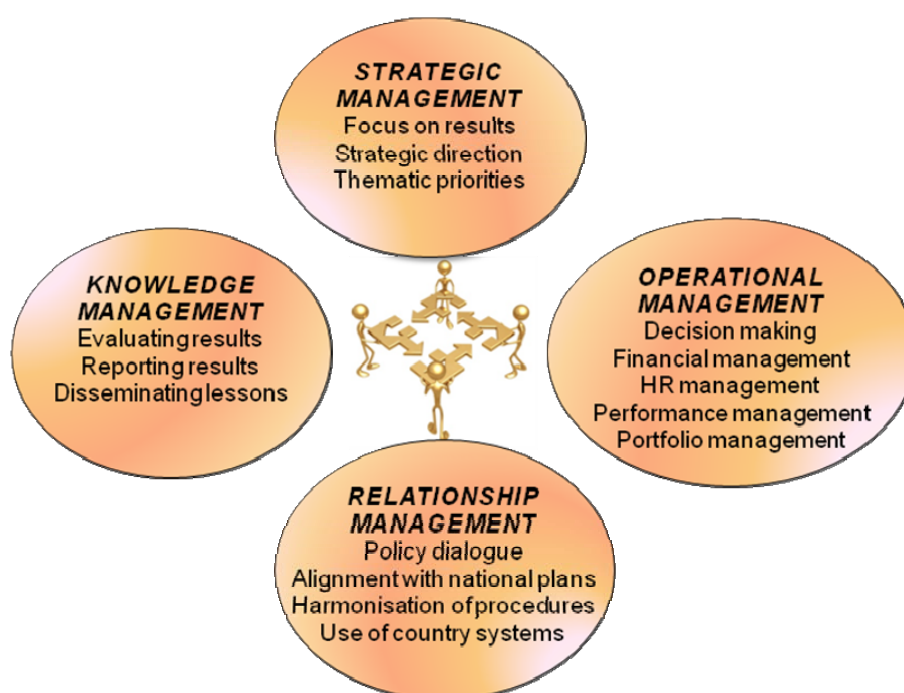
1.1 The MOPAN Common Approach Assessment Framework

MOPAN defines organisational effectiveness as the extent to which a multilateral organisation is organised to contribute to development and/or humanitarian results in the countries where it operates.

Using a survey of stakeholders and a document review, the MOPAN Common Approach examines organisational systems, practices, and behaviours that MOPAN believes are important for aid effectiveness and that are likely to contribute to results in the field. The Common Approach groups these organisational capacities in four areas of performance, which are called “quadrants”:

- *strategic management*: developing and following strategies that reflect good practices in managing for development results;
- *operational management*: managing operations in a way that is performance oriented, thus ensuring organisational accountability for resources and results;
- *relationship management*: engaging in relationships with direct partners/clients and other donors at the country level in ways that contribute to aid effectiveness and that are aligned with the principles of the Paris Declaration; and,
- *knowledge management*: developing feedback and reporting mechanisms and learning strategies that facilitate the sharing of knowledge and performance information.

While these definitions and performance areas are broadly applicable to a range of types of multilateral organisations (including those involved in humanitarian and normative work), the dimensions explored in the MOPAN Common Approach are adjusted as necessary to reflect the mandates of each organisation assessed.

Dimensions of organisational effectiveness in the MOPAN Common Approach¹**1.2 Indicators**

Within each performance area (or quadrant), organisational effectiveness is described using several key performance indicators (KPIs) that are measured with a series of micro-indicators (MIs).

In an initial mapping exercise of existing bilateral donor assessment tools in 2007, MOPAN identified some 250 indicators, many of which were overlapping. The Common Approach reduced these to 35 key performance indicators and 120 micro-indicators. In 2008, the indicators were further refined and tested and this led to the adoption in 2009 of 19 KPIs and 63 MIs for international financial institutions and 64 MIs for UN funds and programs. These were subsequently tested and adjusted for humanitarian organisations. In 2011, the assessment included up to 20 KPIs and 75 MIs for each organisation, depending on the nature of the organisation and its mandate. The full list of MIs assessed in 2011 is provided in Appendix V (KPI and MI Data by Quadrant).

1.3. Multilateral Organisation Selection

Each year MOPAN selects multilateral organisations for the Common Approach assessment on the basis of the following criteria:

1. Perceived importance and interest to all MOPAN members;
2. Medium-Term Strategic Planning (or equivalent) and replenishment cycles. The organisations should be assessed by the beginning of the planning process or prior to the start of the replenishment negotiation process;
3. The organisations include international financial institutions (IFI); UN funds, programs, and specialised agencies; and humanitarian organisations.

¹ To better reflect the mandates of organisations engaged in humanitarian work, additional dimensions are incorporated (such as adherence to humanitarian principles in their field operations) in the frameworks used to assess those organisations.

MOPAN aims to assess institutions selected on the basis of the criteria identified above on a 3 to 5 year cycle. Countries should not be surveyed by MOPAN in two consecutive years.

In 2011, MOPAN assessed 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).

1.4. Country Selection

Each year countries and territories are selected for the Common Approach assessment on the basis of: the presence of the multilateral organisations being assessed, the presence of MOPAN members, and geographical distribution.

In 2011, the Common Approach assessment included Bangladesh, Bolivia, Brazil, Burundi, Ecuador, Nepal, Peru, Tanzania, Jordan, Lebanon, occupied Palestinian territories (the West Bank and Gaza Strip), and the Syrian Arab Republic. However, each organisation was assessed only in the countries and territories in which it operates.

2. Survey

2.1 Overview

In 2011, the MOPAN Common Approach gathered stakeholder perceptions through a survey of MOPAN donors (at headquarters and in-country) and other key stakeholders of the multilateral organisations, which included: direct partners or clients, peer organisations, and host or recipient government representatives. The number and type of respondent groups varied for each organisation.

The main instrument for conducting the survey was an online survey based on Computer-Aided Web Interviewing (CAWI). The survey could be completed online in Arabic, English, French, Portuguese, or Spanish (depending on the organisation being assessed). All MOPAN respondents and most respondents in other groups completed the survey online.

When it was not possible for respondents to complete the survey online, off-line methods were used. Respondents could complete a paper-based survey or an electronic version of the survey in Microsoft Word that was sent by email, or they could participate in a structured interview either in person or by telephone. Paper-based versions of the survey were made available in all of the languages noted above, as well as in Bengali.

Individual responses to the survey were confidential to the independent consultants who managing the online survey or collecting data off-line in the field.

The survey data were collected over a five-week period in April and May 2011.

Respondent Types

To gather diverse perspectives on the multilateral organisations assessed, MOPAN sought the perceptions of the following respondent groups:

- **Donor Headquarters Oversight (HQ):** Professional staff, working for a MOPAN donor government, who share responsibility for overseeing / observing a multilateral organisation at the institutional level. These respondents may be based at the permanent mission of the multilateral organisation or in the donor capital.
- **Donor Country Office Oversight (CO):** Individuals who work for a MOPAN donor government and are in a position that shares responsibility for overseeing/observing a multilateral organisation at the field level.

- **Direct Partner/Client (DP):**² Typically, individuals who work for a national partner organisation (government or civil society) in a developing country. Respondents are usually professional staff from organisations that receive some sort of direct transfer from the multilateral organisation or that have direct interaction with it at country level (this could take the form of financial assistance, technical assistance, policy advice, equipment, supplies, etc.). The definition of “direct partner” varies according to the context of each organisation assessed. In some cases, direct partners include staff members from international agencies that are implementing projects in conjunction with the multilateral organisation being reviewed.
- **Peer organisation (PO):** International or regional organisations that work closely with the multilateral organisation being reviewed either at the country or field level (as in the case of UNHCR and UNRWA) or at a global or regional level (as in the case of UNEP).
- **Host or recipient government (GOV):** Representatives of the government that hosts the multilateral organisation being reviewed, usually in the context of organisations with protection and humanitarian mandates (as in the case of UNHCR and UNRWA).

2.2 Sampling and Response Rates

Sampling

The Common Approach 2011 used a purposive sampling method called ‘expert sampling’ in which potential respondents were identified by either MOPAN members or the multilateral organisations as having the basis for an expert opinion on the organisation being assessed. The identification process, which involved all MOPAN members in collaboration with the multilateral organisations assessed, resulted in lists of the population (all potential respondents) for each of the multilateral organisations.

Individuals were invited to complete the survey for each organisation for which they had functional responsibility and sufficient knowledge.³ This was confirmed through a screening question that asked respondents to indicate their level of familiarity with the multilateral organisation assessed, using a scale from 1 (not at all familiar) to 5 (very familiar). Respondents could continue the survey only if they indicated they were familiar with the multilateral organisation (i.e., a rating of 2, 3, 4, or 5).

The data on potential and actual respondents and their level of familiarity with the organisation are provided below.

Response Rates

Multilateral Organisation	Potential Survey Respondents	Actual Survey Respondents	Response Rate	Percentage of Respondents who reported a good level of familiarity with the organisation ⁴
FAO	361	284	79%	89%
IDB	188	132	70%	92%
UNEP	426	215	50%	87%
UNHCR	309	206	67%	90%
UNRWA	192	130	68%	95%

² In the context of IFIs, these are referred to as “Clients.”

³ Each individual was provided with a unique link that reflected the respondent type (HQ, CO, DP, PO, or GOV) and the multilateral organisation(s) they had been assigned to. A few individuals, particularly MOPAN members, completed surveys on more than one organisation.

⁴ This percentage includes only those who responded 3, 4 or 5 as their level of familiarity. Also note, these are un-weighted data.

MOPAN aimed to achieve a 70 per cent response rate from donors at headquarters and a 50 per cent response rate from all other target groups. Despite follow-up efforts, MOPAN was unable to meet the targets for some respondent groups in some cases. (See Section 2.2 of the organisational reports for response rates and targets by respondent group.)

2.3. Survey Instrument

Survey Customisation

The survey instrument was customised for each multilateral organisation assessed, to reflect both the type of organisation and the types of respondents. This was done in consultation with the multilateral organisations being assessed and other individuals (MOPAN members and external resources) who were familiar with these organisations.

First, a set of core questions was developed for all respondents. Additional questions were designed for specific respondent groups, to reflect their functional responsibilities. For example, in some surveys, questions related to corporate issues were asked only of donors at headquarters, and questions on country-specific issues were asked only of donors in-country and clients/direct partners of multilateral organisations. Some questions were adjusted to reflect the nature of the multilateral organisation (e.g., cross-cutting thematic priorities). The final customised survey for the organisation is presented in Appendix II.

Survey Instrument

At the beginning of the survey, respondents were invited to assess the overall internal effectiveness of the multilateral organisation and were also asked two open-ended questions on their views of the organisation's overall strengths and areas for improvement. In addition, respondents were invited to provide comments on each of the four dimensions of effectiveness.

The main part of the survey consisted of a series of closed-ended questions on the micro-indicators for each key performance indicator (KPI). 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.

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.

2.4 Survey Data Analysis

SPSS Version 17.0 statistical software was used to analyse responses.

First level data analysis

First level survey data analysis included calculations of mean scores, standard deviations, frequencies (including analysis of 'don't know' and missing responses), as well as content analysis of open-ended questions.

Frequency Calculation: Frequencies were calculated on both a weighted and unweighted basis (see below for further explanation of our approach to weighting). Frequencies were calculated based on answers to survey questions corresponding to micro-indicators. In both sets of calculations, 'don't know' responses and missing responses were calculated as a part of the overall total frequencies. In addition to raw frequencies, all frequencies were translated into percentages for ease of interpretation.

Mean Score Calculation: Mean scores were calculated on a weighted basis only. Scores were calculated based on answers to survey questions corresponding to micro-indicators. For the calculation of mean scores, 'don't know' responses were removed from the calculation. In cases where respondents left questions blank (i.e., missing data), either because they decided not to answer, or because they did not conform to required criteria (e.g. Location of work), responses were screened out. In such cases, mean scores were calculated using the number of valid responses to each question.

Mean scores were calculated for each survey question (micro-indicator) and then for each key performance indicator (KPI) by aggregating the scores for the micro-indicators (MI) within that KPI. Equal weight was applied to each MI. For example, a KPI consisting of three micro-indicators that individually scored 2, 3, and 4 had a KPI mean of 3. In particular cases where multiple survey questions were needed to develop a concept, micro indicators were composed of multiple sub-indicators. In such cases, we took the mean score of the sub-indicators to calculate the score for that particular MI.

A weighting scheme was applied to ensure that no single respondent group or country was under-represented in the analysis. The weighting gave equal weight to:

- The views of each respondent group ⁵
- The countries where the survey took place
- Donors in-country, direct partners, and/or peer organisations and host governments, within each country where the survey took place.⁶

A weight was calculated for each multilateral organisation using the following equation.

$$W = \frac{P}{RCG}$$

P = total number of respondents for the multilateral organisation

R = number of respondent groups in the survey sample for the multilateral organisation

C = number of countries in the survey sample (per respondent group)

G = number of respondents in a particular country/respondent group set for the multilateral organisation

W = weight factor for a given respondent group set for the multilateral organisation

Weighted figures are used in all multilateral organisation reports unless otherwise stated.

⁵ To account for the different numbers of respondents in each respondent group, individual weights were applied to each group.

⁶ Weights for these groups were determined by the total number of respondents from each group who answered in their country, relative to the total number answering in other countries. Thus, a respondent in a country with a lower number of respondents carried a higher individual weight than the equivalent respondent from a country with a higher number of respondents.

Converting Individual Scores to Group Ratings

As noted above, a mean score was calculated for each group of respondents (e.g., donors at HQ). Since the mean scores were not necessarily whole numbers (from 1 to 6) MOPAN assigned numerical ranges and descriptive ratings for each range (from very weak to very strong) as shown below.

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

The ranges are presented to two decimal places, which is simply the result of a mathematical transformation 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.

Second level analysis

Second level analysis examined differences in the responses among categories of respondents and other variables, as relevant for each organisation. Appropriate methods of statistical analysis were applied, including analysis of variance (ANOVA) for differences among multiple groups, t-tests for comparisons of differences between pairs of groups, and non-parametric methods where numbers of respondents required such an approach (e.g. to address assumptions of non-normality where they exist). The normal convention for statistical significance was adopted ($p \leq 0.05$) and these are reported where significant differences were found.

Given the small size of the samples, particularly for some respondent groups, the comparisons across respondent groups are provided as indicative information that can be used as a basis for discussion.

3. Document Review

3.1 Overview

Through an examination of publicly available documents,⁷ the MOPAN document review explored evidence that the multilateral organisations have the systems that MOPAN considers to be important factors in an organisation's internal effectiveness.

The document review considered three types of documents:

- Multilateral organisation documents relevant to the assessment of MOPAN micro-indicators. The organisations helped to identify these documents.

⁷ MOPAN aims to work within the confines of a multilateral organisation's disclosure policy. The documents used for the assessment were either on the organisation's web site, on other web sites of the UN system, or were provided by the organisation for the purposes of assessing the micro-indicators.

- Organisational reviews or assessments (external or internal) of the organisation's performance on the dimensions of the MOPAN framework (strategic management, operational management, relationship management, and knowledge management). These studies were either found on the organisation's website or provided by the organisation.
- Other sources of data such as the Survey on Monitoring the Paris Declaration (2010), the Common Performance Assessment (COMPAS) report (2009), and previous MOPAN surveys.⁸

3.2 Document Sampling

The multilateral organisations selected for review represent a wide variety of organisational structures, processes, and practices – which makes it challenging to create a generic document sampling strategy. However, the collection of documents followed a number of overall principles to ensure consistency and focus in the sampling process.

All documents, regardless of type or level within the organisation, were approved by the relevant authority (e.g., organisation-wide documents were usually approved by the multilateral organisation's Executive Management or Board).⁹

All documents (including policies, guidelines, strategies, thematic documents, and web site information) were selected at least in part based on the "type-specific" and "level-specific requirements" noted below.

a) Type-specific requirements

The following requirements apply to policies, guidelines, strategies, thematic documents, or web site information at any level of the organisation. These documents were also subject to the "level-specific requirements" listed in the following subsection.

- Policies or guidelines, at any level within the multilateral organisation, were selected only if they were currently in force as of the year of assessment.
- Strategies, regardless of level within the multilateral organisation, were generally selected only if they were being implemented in the year of assessment.
- Thematic documents, including strategies, plans and reports, regardless of the level within the multilateral organisation, were selected to represent a mix of thematic areas.
- Any text from a multilateral organisation's web site (i.e., not a downloadable document available on the site) was retrieved within the year of assessment, and was assumed to be current unless the web page itself stated otherwise.

b) Level-specific requirements

All documents were selected based on the following requirements, as applicable:

- Except for policies, strategies, and guidelines, all documents were drawn from the period 2009 – May 2011.
- Documents were included from all countries assessed in the 2011 MOPAN Common Approach. However, in some cases documents from other countries or regions in which the multilateral organisation works were also considered.

⁸ If data from these sources were not available for the multilateral organisations participating in this year's assessment, either an alternate approach was developed or the micro-indicators were not assessed.

⁹ This was intended to ensure that documents reviewed were final documents (rather than drafts) and that they were providing guidance for organisational behaviour.

- Project and program level documents were generally selected from recent projects that had the highest levels of investment and that represented different types of programming activity in the region.

3.3 Document Collection

Document collection was not a linear process, but generally followed the following steps:

- Initial document research on the website of the multilateral organisation
- Collection of COMPAS and Paris Declaration Survey Data (if applicable)
- Consultation with the multilateral organisation, through the MOPAN Institutional Lead, who reviewed and refined the initial data set
- Finalisation of document list.

Once the document review commenced, further documentation needed to fill any gaps in information for certain indicators was requested from the multilateral organisation. If the documents obtained from these requests did not contain the information needed, the consultant team made the assessment based on the information available.

Data from other Assessments

As noted above, the document review included a review of other assessments, when relevant.

Common Performance Assessment System (COMPAS) report, 2009: COMPAS provides a framework through which the multilateral development banks (MDBs) can track their capacities to manage for development results (MfDR). The data are gathered by internal management units in the MDBs, generally those that are supporting the implementation of MfDR.

In assessing IFIs, MOPAN draws on indicators from the COMPAS report¹⁰ in order to help triangulate findings and assess relevant micro-indicators. The following COMPAS indicators were used in the 2011 assessment of MOPAN micro-indicators:

- B. Managing for Development Results through the Project Cycle

Implementation performance

- B. 8. Number and percentage of projects that were unsatisfactory in FY08 and that became satisfactory in FY09.

Project completion reporting and evaluation

- B. 11. Number of projects independently reviewed ex post during FY09, as a percentage of the average number of projects completed annually during the last 5 years.

Survey on Monitoring the Paris Declaration, 2011. This survey, managed by the OECD, highlights areas in which countries and organisations may be falling short of the targets established for 2010. As eight of the MOPAN indicators are based on the Paris Declaration indicators, the document review looked at the Paris survey data provided by multilateral organisations themselves or published in the OECD report. The following indicators were relevant to the MOPAN assessment:

¹⁰ The indicators in the COMPAS report have changed over time. In 2011, the Assessment Team reviewed the 2009 COMPAS report.

Appendix C: Donor Data:¹¹

- Indicator 3: Aid flows aligned on national procedures
- Indicator 4: Strengthen capacity by co-ordinated support
- Indicator 5a: Use of country public financial systems
- Indicator 5b: Use of country procurement systems
- Indicator 6: Strengthen capacity by avoiding parallel implementation structures
- Indicator 7: Aid is more predictable
- Indicator 9: Use of common arrangements or procedures
- Indicator 10a: Joint missions

In 2011, two organisations assessed by MOPAN (IDB and FAO) had participated in the OECD survey and contributed their data to the MOPAN assessment.

3.4 Document Analysis

Document Review Criteria

For most micro-indicators, five document review criteria were established which, taken together, were thought to represent good practice in that topic area. The criteria were based on existing standards and guidelines for each of the indicator areas when these were available (for example, UNEG or OECD-DAC guidelines) and other criteria were developed or adapted to the MOPAN Common Approach based on the following considerations:

- **Quality:** Documents were assessed in terms of their content, and in particular for the presence or absence of items or characteristics noted in standards as best practice.
- **Use:** While difficult to assess by document review, some proxy indicators for the use or implementation of a document were examined, such as evidence from budget documents that a policy or priority area was being financed, or evidence from evaluations that showed implementation of a policy or priority area.
- **Consistency:** Where possible, several documents of the same type were examined (such as country strategies in different countries) to assess the extent to which criteria were met consistently across the organisation.
- **Improvement over time:** In some cases, documents were examined over several years to assess progress over time.

Document Review Ratings

Each criterion was designed as a yes/no alternative and each “yes” answer counted as one point in the rating. In general, the rating on any micro-indicator was the total number of criteria met by the organisation.¹²

As in the survey, the document review ratings ranged from 1 (very weak) to 6 (very strong). In the document review, however, the definition of “very weak” was expanded to include “the organisation has no document that provides evidence of such a system being in place.”

¹¹ In general, the MOPAN assessment draws on data from the “Average Country Ratio – All Countries” in the appendices of OECD Report.

¹² The FAO is undergoing major organisational and cultural change, including the appointment of a new Director-General. Although changes specified in the documentation provided are positive, they are considered tentative, as they are yet to be fully implemented. Some MIs lower ratings from the document review in contrast to the number of criteria that were met reflect the current spate of organisational change that is taking place within the FAO.

Rating and Descriptor	Number of criteria met	Definition
1. Very Weak	No criteria met or required document(s) do not exist	The multilateral organisation does not have this system in place and this is a source of concern/ or the multilateral organisation has no document that provides evidence of such a system being in place.
2. Weak	One criterion met	The multilateral organisation has this system but there are important deficiencies.
3. Inadequate	Two criteria met	The multilateral organisation's system in this area has deficiencies that make it less than acceptable.
4. Adequate	Three criteria met	The multilateral organisation's system is acceptable in this area.
5. Strong	Four criteria met	The multilateral organisation's system is more than acceptable yet without being "best practice" in this area.
6. Very Strong	All five criteria met	The multilateral organisation's system is "best practice" in this area.

Some micro-indicators, such as those using Paris Declaration Survey data as the primary data source, followed a different rating method. In these cases, ratings were established on a case-by-case basis through the delineation of percentage ranges. These ranges reflected the perspective of MOPAN with respect to performance in relation to the 2010 targets of by the Paris Declaration (meeting the Paris Declaration target, for example, was considered "strong").

Ratings for key performance indicators (KPIs) were based on the ratings for the component micro-indicators in each KPI. Each KPI rating was calculated by taking the arithmetic mean of all micro-indicator ratings rounded to the nearest whole number and given the appropriate descriptor. In cases where the micro-indicator ratings for one KPI were highly divergent (i.e., if there were two micro-indicators, and one was rated as "very weak" while the other was rated as "very strong"), this was noted in the narrative of the report.

While the document review assessed most micro-indicators, it did not assign a rating to all of them (when criteria had not been established for best practice on that MI). Consequently, some charts do not show document review scores for each KPI or MI.

4. Basis for Judgment

In the past, the basis for judgment in MOPAN assessments was the perceptions of survey respondents. While these are still an important component of the judgments on organisational performance, the introduction of document review allows MOPAN to draw on a variety of sources that can be compared and triangulated in making judgments.

To the extent possible, MOPAN assessment standards and criteria are adjusted to reflect the differences between the multilateral organisations under review. This helps to ensure that judgements reflect the nature of the organisation.

Triangulation

Triangulation is the process of using multiple data sources, data collection methods, and/or theories to validate research findings. Triangulation helps eliminate bias and detect errors or anomalies.¹³ In the Common Approach, data are triangulated in a number of ways:

- Document review ratings are not combined with survey results, but presented separately to illustrate convergence with or divergence from survey results.
- Other evaluations or assessments of the organisations are reviewed to help to validate or question the findings.
- Findings are widely vetted within the MOPAN network and revised based on feedback from members.
- Reports are shared with the multilateral organisations and their review constitutes the final stage of the data collection process.

MOPAN reports gain trustworthiness through the multiple reviews and validation processes that are carried out by members of the network and the multilateral organisations themselves.

5. Strengths and Limitations of the Common Approach

Strengths

- The MOPAN Common Approach is based on the core elements of existing bilateral assessment tools.
- It is derived from, and meant to replace, seven existing bilateral assessment tools. It is also meant to forestall the development of 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.
- 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.

¹³ Miles, M. B. & Huberman, A. M. (1994). *Qualitative data analysis* (2nd ed.). Thousand Oaks, CA: Sage

Limitations

While MOPAN continues to improve its methodology based on experiences in each year of implementation, the following limitations should be considered when reading MOPAN reports.

MOPAN Framework

- The Common Approach is designed primarily for multilateral organisations that have operations in the field. For organisations that have limited field presence or that have regional structures in addition to headquarters and country operations, modifications have been made wherever possible to provide greater nuance in the analysis.

Sources of Data

- The Common Approach is based on a perception survey and document review; it does not include interviews, focus groups, and other data collection methods that can help to analyse the current state of behaviours, systems, and procedures in the organisation.
- The Common Approach asks MOPAN members and the organisations assessed to identify the most relevant individuals to complete the survey. MOPAN does not have a way of determining if the most knowledgeable and qualified individuals are the ones completing the survey.
- Since MOPAN works within the confines of each organisation's disclosure policy, the document review was sometimes limited by the availability of documents in certain indicator areas related to the internal procedures of the organisations (e.g., on audit and human resource policies).
- Perception data has several potential limitations, one of which is 'central tendency bias' – i.e., the tendency of respondents to avoid the extreme points of a scale.

Data Collection Instruments

- Because one of MOPAN's intentions is to merge existing bilateral assessment tools and forestall the development of others, the survey instrument is long. MOPAN might consider eliminating certain survey questions in future, as other sources of data are introduced.
- Some survey questions, particularly those referring to the internal operations of the organisations, are challenging for respondents to answer and were characterised by high levels of 'don't know' responses.

Sampling

- The countries surveyed in the 2011 assessment, which were selected based on established MOPAN criteria,¹⁴ comprise only a small proportion of most of the multilateral organisation's overall programming.

Data Analysis

- 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).

¹⁴ MOPAN criteria for country selection include: presence and availability of MOPAN members, no recent inclusion in the survey, and the need for geographical spread. UNRWA and IDB required special considerations in 2011 because of their regional mandates.

Basis for Judgment

- For many of the MOPAN indicators there are no pre-established standards or criteria for what constitutes good practice for a multilateral organisation. As a result, some of the criteria for the document review were developed by MOPAN to meet the needs of this assessment process.
- In the document review, low ratings are sometimes due to an organisation's lack of appropriate documents that meet specific 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 indications of how an organisation is doing and a basis for discussion among MOPAN members, the multilateral organisation, and the organisation's partners.

Despite the limitations, in general, we contend that the data presents a reasonable picture of the systems associated with the internal effectiveness of the multilateral organisations.

Appendix II MOPAN Common Approach Survey for FAO 2011

Note: This is the survey used to assess FAO in 2011. It contains all of the possible questions, but not all questions were asked of all respondent groups.

[Introduction]

Your time spent in participating in the MOPAN Common Approach is very much appreciated.

[1 - Samplegroup - single]

Samplegroup - Auto answered

- ☐ 1. HQ
- ☐ 2. CO
- ☐ 3. DP

[Welcome]

Welcome to the Survey for the MOPAN Common Approach in 2011 and thank you for agreeing to participate.

In responding to the survey, feel free to base your answers on your perceptions of the Food and Agriculture Organization (FAO) of the United Nations, as well as your knowledge. Your perceptions may be shaped by your experience with and exposure to FAO.

Please be assured that your answers will remain confidential. Any comments you make will not be attributable to you, or be used in a way which might identify you or your organisation as the author of these comments. Findings will be reported in aggregate form only.

The survey should take around 30 minutes to complete. Note, however, that it may take longer depending on the answers you give.

Please note: It would be ideal if you would complete the survey in one session; however, if you would like to

continue the survey later, you can do this at any point by closing the internet browser that displays the survey (i.e. this window). When you would like to continue, you can return to the point that you left off by clicking on the original link to the survey included in the email you received from us.

If at any point you have questions about this survey please contact mopan2011@epinion.dk. At any point you can move back and forth in the questionnaire if you would like to change a response or a comment.

Your time spent in participating in the Common Approach is very much appreciated.

Please click the 'Next' button below to begin.

[2 - single]

Which of the following best describes how often you, in your professional role, have contact with the FAO?

- ☐ 1. Daily
- ☐ 2. Weekly
- ☐ 3. Monthly
- ☐ 4. A few times per year or less
- ☐ 5. Never

[3 - single]

You have been identified to assess the organisational practices, systems and behaviours of the Food and Agriculture Organization (FAO) of the United Nations. However, before answering the questionnaire we would like to know

how familiar you are with the FAO and the way it works. Please use the scale below to indicate your degree of familiarity, where 5 is "very familiar" and 1 is "not at all familiar".

- ☐ 1. - Not at all familiar
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5. - Very familiar

[Condition 3= 1]

[ScreenOut Confirm]

You have indicated that you are not at all familiar with this organisation. This means that you will be screened out of the survey. Please hit 'Back' to modify your answer.

[4 - single]

Fake

- ☐ 1. Fake [Filtered]

[Overall Performance]

Overall Performance

We would like to ask you a few questions about the effectiveness of the FAO, its strengths and its areas for improvement.

[5 - single]

Thinking about FAO, and the way it operates, what do you consider to be its greatest strength?

Please type your answer into the box below:

- ☐ 1. Note:

[6 - single]

And still thinking about FAO and the way it operates, what do you consider to be the area where it most needs improvement?

Please type your answer into the box below:

- ☐ 1. Note:

[Q7]

[7 - single]

How would you rate the overall internal effectiveness of FAO?

<i>(SEE DEFINITION BELOW)</i>

Please use the scale below, where 6 means "very effective" and 1 means "not effective at all".

- ☐ 1. - Not effective at all
- ☐ 2.
- ☐ 3.
- ☐ 4.
- ☐ 5.
- ☐ 6. Very effective
- ☐ 7. Don't Know

[DEFINITION]

DEFINITION:

Effectiveness = 'being organised to support partners to produce and deliver expected results'.

[block 1]

We would like to ask you some questions about specific aspects of the performance of FAO. In thinking about these questions, please consider all you know about FAO.

[Performance areas]

Performance areas

You will see a series of statements that describe the practices, systems or behaviours in any Multilateral Organisation. Please rate how you think FAO performs in those areas. You will see a scale from 1 to 6, as described below. The scale will stay the same for all statements.

DEFINITION OF THE SCALE USED IN THE QUESTIONNAIRE:

1 - Very weak = The FAO does not have this practice, behaviour or system in place and this is a source of concern.

2 - Weak = The FAO has this practice, behaviour or system, but there are important deficiencies.

3 - Inadequate = The FAO's practice, behaviour or system in this area has deficiencies that make it less than acceptable.

4 - Adequate = The FAO's practice, behaviour or system is acceptable in this area.

5 - Strong = The FAO's practice, behaviour or system is more than acceptable yet without being "best practice" in this area.

6 - Very strong = The FAO's practice, behaviour or system is "best practice" in this area.

At the end of each section, you will have the opportunity to make comments on any of the statements.

The statements are divided into four areas: Strategic Management, Operational Management, Relationship Management, Knowledge Management.

[Strategic Management]

Strategic Management

First of all we would like to ask you about Strategic Management.

[CG]

[Corporate Governance]

Organisational Governance

To start with, we would like to ask you some questions related to organisational governance. According to what you know how do you think FAO performs in relation to the practices, systems or behaviours described in the following statements?

All words typed in bold have definitions - see definitions below the questions.

[8 - single]

FAO's institutional culture reinforces a focus on results.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[9 - single]

FAO's institutional culture is direct-partner focused.

<i>(SEE DEFINITION BELOW)</i>

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[Condition 1= 1]

[10 - single]

FAO's senior management shows leadership on results management.

<i>(SEE DEFINITION BELOW)</i>

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[11 - single]

FAO makes key documents readily available to the public.

<i>(SEE DEFINITION BELOW) </i>

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate

- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[DEFINITION]

DEFINITION:

[DEFINITION 1]

Direct-partner focused = Emphasis on the organisations that receive a direct transfer of finances or technical assistance from a multilateral organisation - such as national government departments, civil society organisations and private entities.

[Condition 1= 1]

[DEFINITION 3]

Results management = Management for results, or Results-Based Management (RBM). That is, managing and implementing aid in a way that focuses on the desired results and uses information to improve decision-making.

[DEFINITION 2]

Key documents = Documents that describe strategies, policies, key financial information, and other types of reports at organisation-wide, country, and/ or project/ program level.

[12 - single]

Do you have any additional comments on FAO's organisational governance?

- ☐ 1. Yes, note:
- ☐ 2. No

[block 2]

[Condition 1= 1]

[CS]

[Corporate Strategy1]

Organisation-wide Strategy

Still thinking about Strategic Management, but now about organisation-wide strategies, how do

you think FAO performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

[13 - single]

FAO has a clear mandate.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[14 - single]

FAO's organisation-wide **strategy/ strategies** are aligned with the mandate.

<i>(SEE DEFINITION BELOW)</i>

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[15 - single]

FAO ensures the application of results management across the organisation.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[16 - single]

FAO's strategies contain explicit **development results**.

<i>(SEE DEFINITION BELOW)</i>

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate

- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[17 - single]

FAO's strategies contain explicit
management results.
<i>(SEE DEFINITION BELOW)</i>

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[18 - single]

FAO's strategies contain explicit results
for its normative and standard
setting work.
<i>(SEE DEFINITION BELOW)</i>

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[19 - single]

FAO's strategies contain explicit
humanitarian results.
<i>(SEE DEFINITION BELOW)</i>

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[20 - single]

FAO's results in organisation-wide
strategies have causal links
from outputs through to outcomes and
impact.
<i>(SEE DEFINITION BELOW)</i>

- ☐ 1. Very weak
- ☐ 2. Weak

- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[21 - single]

FAO's strategies include measurable
indicators at output and outcome levels.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[DEFINITION 1]

DEFINITION:

Strategy/ strategies = High level
document(s) that guide and direct the
operations of the multilateral
organisation.

Development results = A description (in
tabular, chart or narrative form) of
development, beneficiary/stakeholder
focused results, including indicators,
that are expected to be achieved from
the multilateral organisation's activities

Management results = A description (in
tabular, chart or narrative form) of
management (in-house/business
focused) results, including indicators,
that are expected to be achieved from
the multilateral organisation's activities

Normative and standard setting work =
Includes setting international standards,
developing codes, norms and
conventions and helping nations to
implement them.

Humanitarian results = A description (in
tabular, chart or narrative form) of
humanitarian, beneficiary/stakeholder
focused results, including indicators,
that are expected to be achieved from

the multilateral organisation's activities.

Causal links = A fundamental principle of results based management (RBM) / managing for development results (MfDR) is that results statements must be articulated in a framework or results chain, with clear causal linkages between each level of results. This linkage is a performance relationship between the results statements.

[CS2]

[Corporate Strategy2]

Cross-cutting Priorities

We would like you to think about how FAO approaches 'cross-cutting' priorities. According to what you know about FAO, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[22 - single]

FAO programs and projects promote gender equality.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[23 - single]

FAO programs and projects promote sustainable management of natural resources.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[24 - single]

FAO programs and projects promote good governance in partner countries, within the areas of its mandate.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[25 - single]

FAO promotes the right to food and human rights based approaches in its work.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[26 - single]

FAO sufficiently mainstreams HIV/AIDS in its programmatic work.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[27 - single]

Do you have any additional comments on FAO's organisation-wide strategy?

- ☐ 1. Yes, note:
- ☐ 2. No

[block 3]

[Condition 1= 2 OR 1= 3]

[SCR]

[Strategies-Country,Regional]

Strategies - Country Level

We would like to ask you about FAO's country strategies, known as National Medium-Term Priority Frameworks (NMTPF) or Country Programming Frameworks (CPF), how do you think FAO performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

[28 - single]

FAO's country programming frameworks (NMTPF/CPF) link results from project/program, sector, and country levels.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[29 - single]

FAO's results frameworks include indicators at the appropriate level (country, sector and project/program).

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[30 - single]

FAO programming frameworks (NMTPF/CPF) contain statements of expected results consistent with national development strategies.

<i>(SEE DEFINITION BELOW)</i>

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate

- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[31 - single]

FAO's programming frameworks (NMTPF/CPF) include results that build on and are related to FAO's global information, knowledge and standards setting work.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[32 - single]

FAO consults with direct partners to develop its expected results.

<i>(SEE DEFINITION BELOW)</i>

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[33 - single]

FAO's programming frameworks (NMTPF/CPF) include results related to cross-cutting priorities such as gender or natural resources management.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[DEFINITION 2]

DEFINITION:

National development strategies = National development strategies are plans or strategies that set out the country's national

development priorities

Direct partners = Organisations that receive a direct transfer of finances or technical assistance from a Multilateral Organisation - such as national government departments, civil society organisations and private entities.

[34 - single]

Do you have any additional comments on FAO's country strategies?

- ☐ 1. Yes, note:
- ☐ 2. No

[35 - single]

Is there anything further you would like to say about FAO's Strategic Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below:
- ☐ 2. No

[Operational Management]

Operational Management

We would like to know what you think about Operational Management within FAO.

[block 4]

[Financial Resources1]

Financial Resources and Risk Management

We would first like to ask you some questions about financial resources and risk management within FAO. According to what you know about FAO, how do you think FAO performs in relation to the practices, systems or behaviours described in each of the following statements?

[36 - single]

FAO makes readily available its criteria for allocating resources.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[37 - single]

FAO allocates resources according to the criteria mentioned above.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[Condition 1= 1 OR 1= 2]

[38 - single]

FAO adheres to pre- established inter-agency criteria for fund allocation and appeals in humanitarian settings.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[Condition 1= 1]

[39 - single]

FAO links budget allocations to expected results.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[Condition 1= 1]

[40 - single]

FAO's reports on results include the

amount disbursed to achieve those results.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[FR2]

[Financial Resources2]

Financial Resources and Risk Management

Still thinking about financial resources and risk management.

According to what you know about FAO, how do you think FAO performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

According to what you know about FAO, how do you think FAO performs in relation to the practices, systems or behaviours described in each of the following statements?

All words typed in bold have definitions - see definitions below the questions.

[Condition 1= 1]

[41 - single]

FAO's financial audits are meeting the needs of donors.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[Condition 1= 2 OR 1= 3]

[42 - single]

FAO's programs and projects are appropriately audited at a country level.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong

- ☐ 7. Don't Know

[43 - single]

FAO has appropriate systems in place to follow up on financial irregularities, including fraud and corruption.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[Condition 1= 1]

[44 - single]

FAO's internal financial audits provide objective information to its Governing Bodies.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[45 - single]

FAO's procurement and contract management processes for the provision of services or goods are **usually effective**.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[Condition 1= 1]

[46 - single]

FAO has appropriate strategies and plans for **risk management**.
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong

☐ 7. Don't Know

[DEFINITION1]

DEFINITION:

Effective procurement processes = Effective procurement or contract management processes that accomplish their objectives and are carried out in a timely and efficient manner.

[Condition 1= 1]

[DEFINITION]

Risk management = Risk management involves the identification, analysis, monitoring, mitigation, and reporting of those risks that impact on achievement of results, and actions to address them.

[47 - single]

Do you have any additional comments on FAO's financial resources and risk management?

☐ 1. Yes, note:

☐ 2. No

[PM]

[Performance Management]

Performance Management

We would like you to think about performance management - the way FAO manages the performance of its operations. According to what you know about FAO, how do you think FAO performs in relation to the practices, systems or behaviours described in each of the following statements?

[Condition 1= 1]

[48 - single]

FAO uses project/ program, sector and country information on performance to revise organisational policies.

☐ 1. Very weak

☐ 2. Weak

☐ 3. Inadequate

☐ 4. Adequate

☐ 5. Strong

☐ 6. Very strong

☐ 7. Don't Know

[Condition 1= 2 OR 1= 3]

[49 - single]

FAO uses performance information on its projects/programs or initiatives to plan new areas of cooperation at country level.

☐ 1. Very weak

☐ 2. Weak

☐ 3. Inadequate

☐ 4. Adequate

☐ 5. Strong

☐ 6. Very strong

☐ 7. Don't Know

[Condition 1= 2 OR 1= 3]

[50 - single]

Poorly performing programs and projects of FAO are subject to proactive management.

☐ 1. Very weak

☐ 2. Weak

☐ 3. Inadequate

☐ 4. Adequate

☐ 5. Strong

☐ 6. Very strong

☐ 7. Don't Know

[Condition 1= 1]

[51 - single]

FAO appropriately tracks the implementation of evaluation recommendations reported to its Governing Bodies.

☐ 1. Very weak

☐ 2. Weak

☐ 3. Inadequate

☐ 4. Adequate

☐ 5. Strong

☐ 6. Very strong

☐ 7. Don't Know

[52 - single]

Do you have any additional comments on FAO's performance management?

☐ 1. Yes, note:

☐ 2. No

[HRM]**[Human Resources Management]**

Human Resources Management

We would like you to think about the way FAO handles human resources. According to what you know about FAO, how do you think FAO performs in relation to the practices, systems or behaviours described in the following statement(s)?

[Condition 1= 1]

[53 - single]

FAO uses results-focused performance assessment systems for senior staff.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[Condition 1= 1]

[54 - single]

FAO uses a transparent system to manage staff performance.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[Condition 1= 2 OR 1= 3]

[55 - single]

FAO keeps deployed international staff in country offices for a sufficient time to maintain effective partnerships at country level.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate

- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[56 - single]

Do you have any additional comments on FAO's human resources management?

- ☐ 1. Yes, note:
- ☐ 2. No

[PM]**[PM_1]**

Portfolio Management

We would like you to think about portfolio management. According to what you know about FAO, how do you think FAO performs in relation to the practices, systems or behaviours described in the following statement(s)?

[Condition 1= 1]**[PM_2]**

All words typed in bold have definitions - see definitions below the questions.

[Portfolio Management]**[Condition 1= 1]**

[57 - single]

FAO subjects new programming initiatives to **impact analysis**.
(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[Condition 1= 2 OR 1= 3]

[58 - single]

FAO sets targets to enable monitoring of progress in project/ program implementation at country level.

- ☐ 1. Very weak

- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[Condition 1= 2 OR 1= 3]

[59 - single]

FAO's project/ program tasks are managed at a country level.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[Condition 1= 2 OR 1= 3]

[60 - single]

FAO can approve funding for new areas of cooperation locally, within a budget cap.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[Condition 1= 1]

[DEFINITION]

DEFINITION:

Impact analysis = Including environmental, social and economic impacts.

[61 - single]

Do you have any additional comments on FAO's portfolio management?

- ☐ 1. Yes, note:
- ☐ 2. No

[Humanitarian principles]

[HP]

Humanitarian Principles

We would like you to think about the way FAO ensures adherence to humanitarian principles. According to what you know about FAO, how do you think FAO performs in relation to the practices, systems or behaviours described in the following statements?

All words typed in bold have definitions - see definitions below the questions.

[62 - single]

FAO maintains ongoing policy dialogue with partners on the importance of observing humanitarian principles in delivering emergency assistance, particularly in cases of protracted crises and complex emergencies.

(SEE DEFINITION BELOW)

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[63 - single]

FAO respects humanitarian principles while delivering emergency assistance.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[DEFINITION]

DEFINITION:

Humanitarian principles = Humanitarian principles are: humanity, neutrality, impartiality, and operational independence.

[64 - single]

Do you have any additional comments

on FAO's adherence to humanitarian principles?

- ☐ 1. Yes, note:
- ☐ 2. No

[65 - single]

Before moving on to the next section, is there anything further you would like to say about FAO's Operational Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below:
- ☐ 2. No

[Relationship Management]

Relationship Management

We would like to ask you about some aspects of Relationship Management - that is, FAO's relationship with its direct partners and other stakeholders.

[Condition 1= 2 OR 1= 3]

[OS]

[Ownership]

Ownership

According to what you know about FAO, how do you think FAO performs in relation to the practices, systems or behaviours described in each of the following statements?

[66 - single]

FAO supports funding proposals designed and developed by the national government or other direct partners.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong

- ☐ 7. Don't Know

[67 - single]

FAO uses procedures that can be easily understood and followed by direct partners.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[68 - single]

The length of time it takes to complete FAO procedures does not affect implementation.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[69 - single]

FAO adjusts its overall portfolio in country quickly, to respond to changing circumstances.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[70 - single]

FAO flexibly adjusts its implementation of individual projects/ programs as learning occurs.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[71 - single]

Do you have any additional comments on FAO's performance with regard to ownership?

- ☐ 1. Yes, note:
- ☐ 2. No

[AL]

[Alignment]

Alignment

According to what you know about FAO, how do you think FAO performs in relation to the practices, systems or behaviours described in each of the following statements?

[Condition 1= 2 OR 1= 3]

[72 - single]

FAO uses country systems (e.g., procurement, public financial management, etc.) as a first option for its operations where appropriate.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[Condition 1= 2 OR 1= 3]

[73 - single]

FAO encourages mutual accountability assessment of Paris Declaration and Accra Agenda for Action commitments.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[74 - single]

FAO provides valuable inputs to policy dialogue.

- ☐ 1. Very weak

- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[75 - single]

FAO respects the views of partners when it undertakes policy dialogue.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[76 - single]

Do you have any additional comments on FAO's performance with regard to alignment?

- ☐ 1. Yes, note:
- ☐ 2. No

[Condition 1= 2 OR 1= 3]

[HM]

[Harmonisation]

Harmonisation

According to what you know about FAO, how do you think it performs in relation to the practices, systems or behaviours described in each of the following statements?

[77 - single]

FAO often participates in joint programming exercises.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[78 - single]

FAO's technical assistance is provided through coordinated programs in support of capacity development.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[79 - single]

FAO participates in program-based approaches (other than through budget support).

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[80 - single]

We would like to ask you a few questions about FAO's role as a leader in the cluster system at the country level, which operates only in Burundi. Are you based in Burundi?

- ☐ 1. Yes
- ☐ 2. No

[Condition 1= 1 OR 80= 1]

[Harmonisation2]

Harmonisation and Cluster Work

According to what you know about FAO's role as a Cluster Lead Agency (e.g., in Agriculture/Food Security), how do you think FAO performs in relation to the practices, systems or behaviours described in each of the following statements?

[81 - single]

FAO dedicates sufficient analytical resources and policy- level engagement to strategic activities within the cluster

group.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[82 - single]

FAO provides sufficient dedicated staff for coordination of the cluster group.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[83 - single]

FAO ensures that pertinent information is circulated within the cluster group.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[84 - single]

FAO generates reliable financial needs forecasts for the cluster group.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[85 - single]

Do you have any additional comments on FAO's performance with regard to harmonisation?

- ☐ 1. Yes, note:
- ☐ 2. No

[86 - single]

Before moving on to the next section, is there anything further you would like to say about FAO's Relationship Management? This could be anything related to the statements you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below:
- ☐ 2. No

[Knowledge Management]

Knowledge Management

In this last section we would like to ask you about Knowledge Management within FAO.

[PE]

[Performance Evaluation]

Performance Evaluation

We would first of all like to ask you about performance evaluation.

According to what you know about FAO, how do you think FAO performs in relation to the practices, systems or behaviours described in the following statement?

[Condition 1= 1]

[87 - single]

FAO uses evaluation findings in its decisions on programming, policy and strategy.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[Condition 1= 2 OR 1= 3]

[88 - single]

FAO involves direct partners and beneficiaries in evaluations of its projects or programs.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[89 - single]

Do you have any additional comments on FAO's performance evaluation?

- ☐ 1. Yes, note:
- ☐ 2. No

[Condition 1= 1]

[PR]

[Performance Reporting]

Performance Reporting

Please think now about performance reporting.

According to what you know about FAO, how do you think FAO performs in relation to the practices, systems or behaviours described in each of the following statements?

[90 - single]

FAO reports to the Governing Bodies on performance, including progress against targets set in organisation-wide strategies.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[91 - single]

FAO reports to the Governing Bodies on performance in relation to its Paris Declaration commitments.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate

- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[92 - single]

Do you have any additional comments on FAO's performance reporting?

- ☐ 1. Yes, note:
- ☐ 2. No

[Condition 1= 1]

[DM]

[Dissemination]

Dissemination

We would like you to think about how FAO disseminates lessons learned.

According to what you know about FAO, how do you think FAO performs in relation to the practices, systems or behaviours described in each of the following statements?

[93 - single]

FAO identifies and disseminates lessons learned from performance information.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[94 - single]

FAO provides opportunities at all levels of the organisation to share lessons from practical experience.

- ☐ 1. Very weak
- ☐ 2. Weak
- ☐ 3. Inadequate
- ☐ 4. Adequate
- ☐ 5. Strong
- ☐ 6. Very strong
- ☐ 7. Don't Know

[95 - single]

Do you have any additional comments on how FAO disseminates lessons learned?

- ☐ 1. Yes, note:
- ☐ 2. No

[96 - single]

Is there anything further you would like to say about FAO's Knowledge Management? This could be anything related to the statement(s) you have rated, or anything else you would like us to know.

- ☐ 1. Yes, please type your answer into the box below:
- ☐ 2. No

[Background Questions]

[Condition 1= 1 OR 1= 2]

[97 - single]

Background Questions

What MOPAN member country do you work with?

- ☐ 1. Australia
- ☐ 2. Austria
- ☐ 3. Belgium
- ☐ 4. Canada
- ☐ 5. Denmark
- ☐ 6. Finland
- ☐ 7. France
- ☐ 8. Germany
- ☐ 9. Ireland
- ☐ 10. Republic of Korea
- ☐ 11. The Netherlands
- ☐ 12. Norway
- ☐ 13. Spain
- ☐ 14. Sweden
- ☐ 15. Switzerland
- ☐ 16. United Kingdom

[Condition 1= 1]

[98 - single]

What type of organisation do you work for? Choose the one that best describes your organisation:

- ☐ 1. MOPAN member organisation, in offices in the MOPAN country
- ☐ 2. MOPAN member organisation, in the permanent mission or executive board office at the multilateral organisation
- ☐ 3. Other

insights and taking time to answer this survey, which is aimed at improving the dialogue on organisational learning and effectiveness of multilateral organisations.

[Condition 1= 2]

[99 - single]

What type of organisation do you work for? Choose the one that best describes your organisation:

- ☐ 1. MOPAN member organisation, in country/regional offices (including embassies)
- ☐ 2. Other

[Condition 1= 3]

[100 - single]

Background Questions

**

**

What type of organisation do you work for? Choose the one that best describes your organisation:

- ☐ 1. National parliament or legislature
- ☐ 2. Government - line ministry
- ☐ 3. Government - ministry of finance/statistics/planning/economics
- ☐ 4. Government - other
- ☐ 5. NGO or other civil society organisation
- ☐ 6. Academic institution
- ☐ 7. Parastatal
- ☐ 8. Multilateral organisation
- ☐ 9. Other

[101 - single]

How would you define your level of seniority within the organisation? Choose the one that best describes your position:

- ☐ 1. Senior-level professional
- ☐ 2. Mid-level professional
- ☐ 3. Junior professional

[ALMOST DONE]

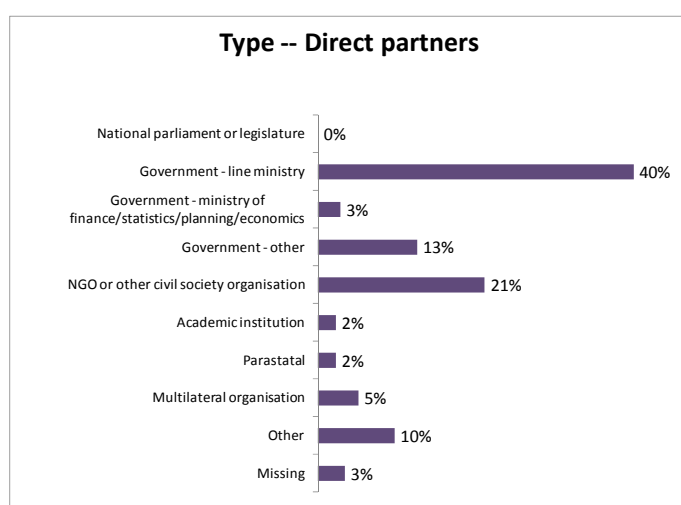
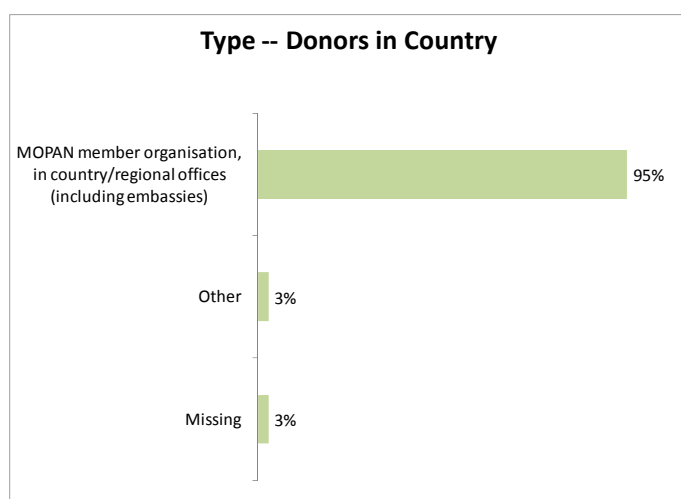
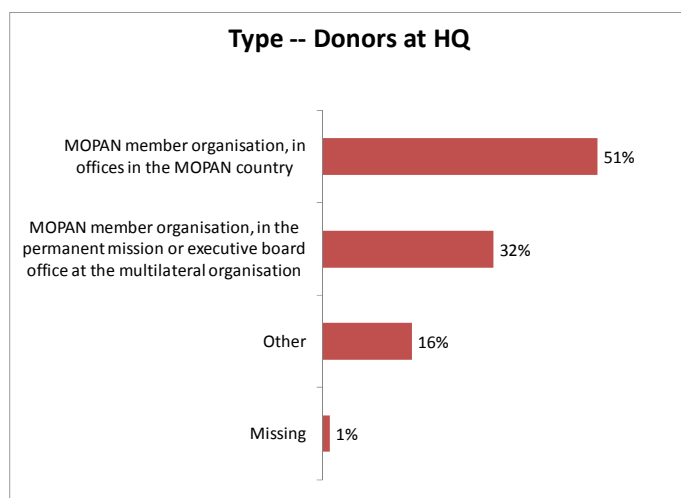
You have now answered the last question. Once you click 'Next' you cannot go back and edit your answers.

[End of Interview]

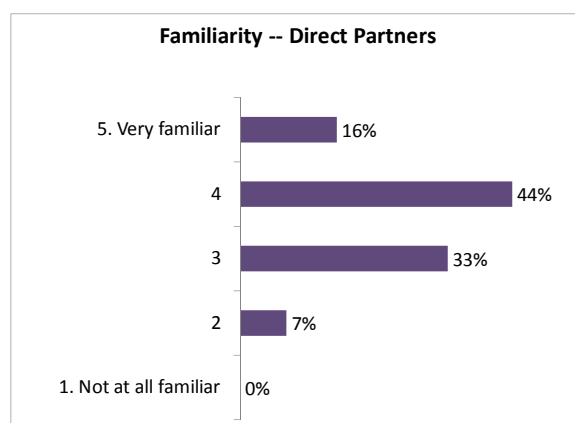
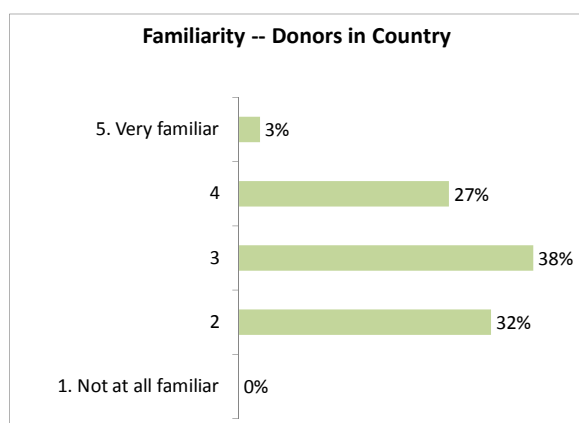
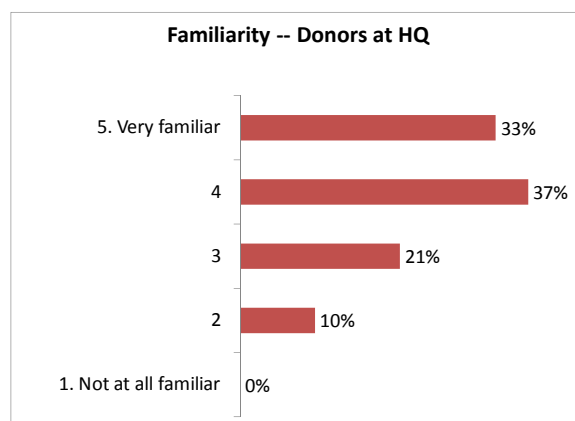
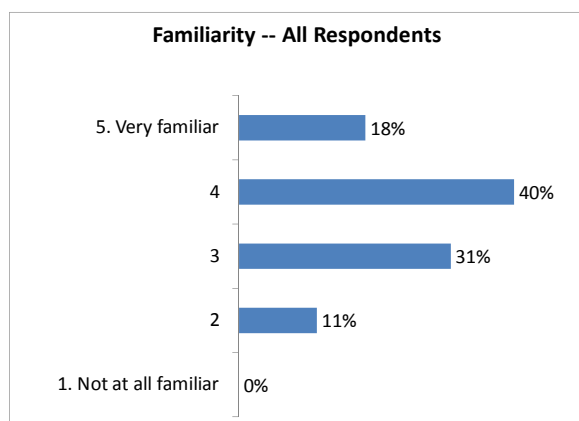
Thank you very much for sharing your

Appendix III Respondent Profile

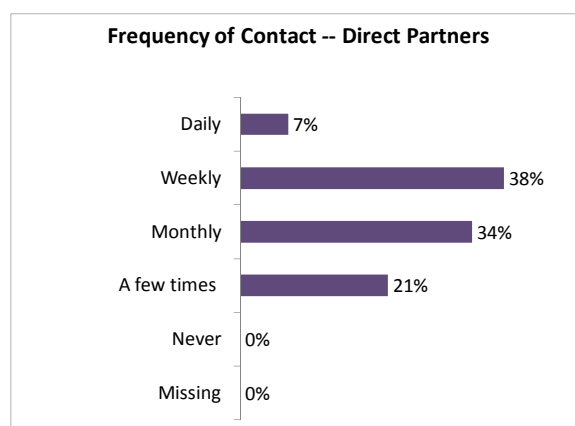
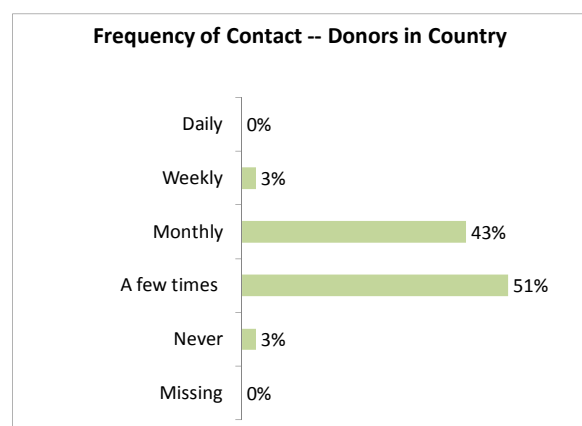
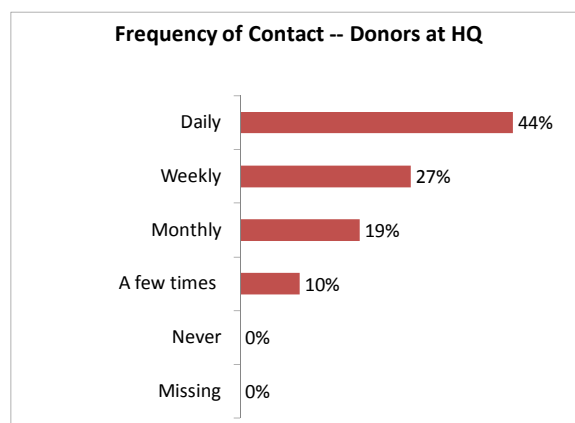
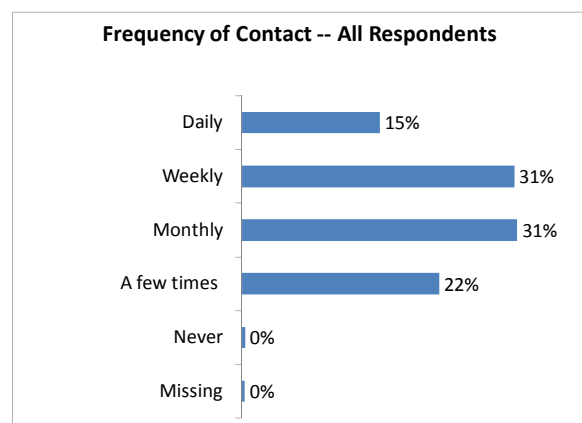
Types of Respondents



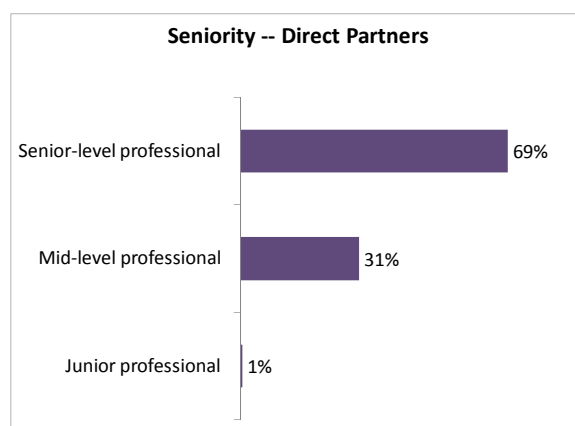
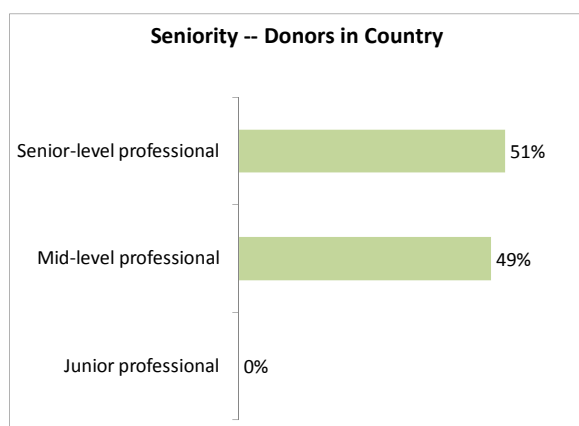
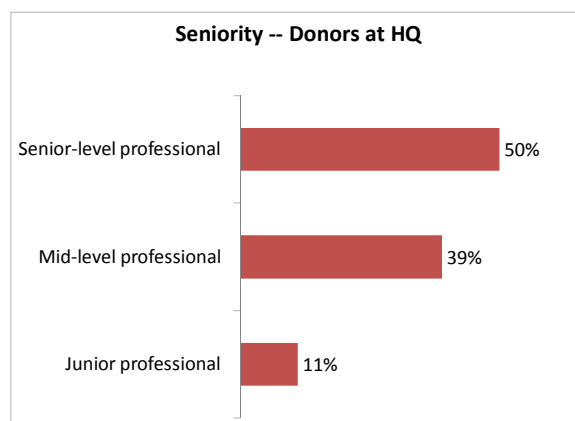
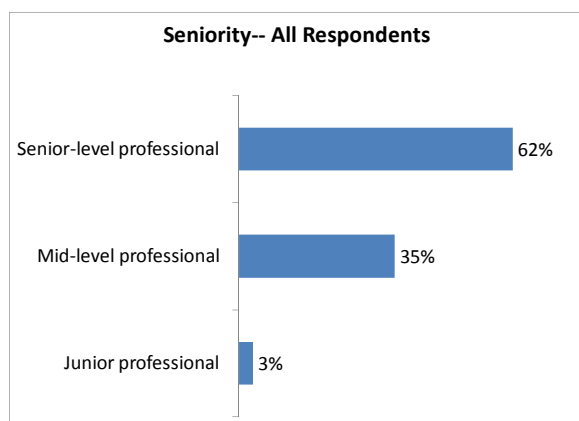
Respondent Familiarity with Multilateral Organisation



Respondent Frequency of Contact with Multilateral Organisation



Respondent Level of Seniority



Appendix IV Base Size and Rate of “Don’t Know” Responses

N (#) = number of respondents who were asked the question (un-weighted data).

% DK = percentage of respondents who indicated “Don’t Know” to the question (weighted data).

“--” indicates that the question was not asked among a particular respondent group

I- Strategic Management

		TOTAL		DP		CO		HQ	
		N(#)	% DK	N(#)	% DK	N(#)	% DK	N(#)	% DK
KPI 1	Providing direction for results								
MI 1.1	Value system supports results-orientation and direct partner focus	--	--	--	--	--	--	--	--
SUB MI	i) FAO's institutional culture reinforces a focus on results. (8)	284	11	174	4	37	22	73	5
SUB MI	ii) FAO's institutional culture is direct-partner focused. (9)	284	16	174	3	37	26	73	18
MI 1.2	Leadership on results management	73	10	--	--	--	--	73	10
MI 1.3	Key documents available to the public	284	10	174	3	37	21	73	4
KPI 2	Corporate focus on results								
MI 2.1	Organisational strategy based on clear mandate	--	--	--	--	--	--	--	--
SUB MI	i) FAO has a clear mandate. (13)	73	3	--	--	--	--	73	3
SUB MI	ii) FAO's organisation-wide strategy/strategies are aligned with the mandate. (14)	73	4	--	--	--	--	73	4
MI 2.2	Organisational policy on results management	73	11	--	--	--	--	73	11
MI 2.3	Plans and strategies contain results frameworks	--	--	--	--	--	--	--	--
SUB MI	i) FAO's strategies contain explicit development results. (16)	73	8	--	--	--	--	73	8
SUB MI	ii) FAO's strategies contain explicit management results. (17)	73	10	--	--	--	--	73	10
SUB MI	iii) FAO's strategies contain explicit results for its normative and standard setting work. (18)	73	8	--	--	--	--	73	8
SUB MI	iv) FAO's strategies contain explicit humanitarian results. (19)	73	16	--	--	--	--	73	16
MI 2.4	Results frameworks link outputs to final outcomes/impacts	73	10	--	--	--	--	73	10
MI 2.5	Plans and strategies contain performance indicators	73	5	--	--	--	--	73	5
KPI 3	Focus on thematic priorities								
MI 3.1	Gender equality	284	12	174	7	37	22	73	7
MI 3.2	Environment	284	4	174	2	37	8	73	3
MI 3.3	Good Governance	284	9	174	7	37	8	73	11
MI 3.4	Human Rights based approaches	284	7	174	3	37	16	73	3
MI 3.5	HIV/AIDS	284	48	174	44	37	52	73	49

		TOTAL		DP		CO		HQ	
		N(#)	% DK	N(#)	% DK	N(#)	% DK	N(#)	% DK
KPI 4	Country focus on results								
MI 4.1	Frameworks link results at project, programme, sector, and country levels	211	23	174	15	37	30	--	--
MI 4.2	Frameworks include indicators at project, programme, sector, and country levels	211	22	174	12	37	33	--	--
MI 4.3	Expected results consistent with national development strategies and UNDAF	211	15	174	7	37	24	--	--
MI 4.4	Country strategies specify the normative role at the country level	211	23	174	11	37	35	--	--
MI 4.5	Expected results developed in consultation with direct partners	211	13	174	6	37	20	--	--
MI 4.6	Results for thematic priorities included in country level frameworks	211	18	174	10	37	27	--	--

II- Operational Management

		TOTAL		DP		CO		HQ	
		N(#)	% DK	N(#)	% DK	N(#)	% DK	N(#)	% DK
KPI 5	Aid allocation decisions								
MI 5.1	Criteria for allocating resources publicly available	284	20	174	8	37	42	73	11
MI 5.2	Resources allocations follow the criteria	284	25	174	14	37	43	73	18
MI 5.3	Adherence to criteria for fund allocation and appeals in humanitarian settings	110	38	--	--	37	41	73	34
MI 5.4	Resources released according to agreed schedules	--	--	--	--	--	--	--	--
KPI 6	Linking aid management to performance								
MI 6.1	Allocations linked to expected results	73	15	--	--	--	--	73	15
MI 6.2	Disbursements linked to reported results	73	15	--	--	--	--	73	15
KPI 7	Financial accountability								
MI 7.1	External financial audits performed across the organisation	73	18	--	--	--	--	73	18
MI 7.2	External financial audits performed at the regional, country or project level	211	42	174	31	37	53	--	--
MI 7.3	Policy on anti-corruption	--	--	--	--	--	--	--	--
MI 7.4	Systems for immediate measures against irregularities	284	41	174	40	37	51	73	32
MI 7.5	Internal financial audit processes provide objective information	73	26	--	--	--	--	73	26
MI 7.6	Effective procurement and contract management processes	284	32	174	15	37	48	73	33
MI 7.7	Strategies for risk management	73	18	--	--	--	--	73	18
KPI 8	Using performance information								
MI 8.1	Using information for revising and adjusting policies	73	21	--	--	--	--	73	21
MI 8.2	Using information for planning new interventions	211	20	174	11	37	30	--	--
MI 8.3	Proactive management of poorly performing initiatives	211	39	174	37	37	40	--	--
MI 8.4	Evaluation recommendations are acted upon	73	19	--	--	--	--	73	19
KPI 9	Managing human resources								
MI 9.1	Results focused performance assessment systems for senior staff	73	25	--	--	--	--	73	25
MI 9.2	Transparent incentive/reward system for staff performance	73	22	--	--	--	--	73	22
MI 9.3	Staff rotation is adequate for the development of effective partnerships	211	20	174	15	37	25	--	--
KPI 10	Performance oriented programming								
MI 10.1	New initiatives subject to benefits/impact analysis	73	33	--	--	--	--	73	33
MI 10.2	Milestones/targets set to rate progress of implementation	211	25	174	11	37	40	--	--

		TOTAL		DP		CO		HQ	
		N(#)	% DK	N(#)	% DK	N(#)	% DK	N(#)	% DK
KPI 11	Delegating decision-making								
MI 11.1	Aid reallocation decisions can be made locally	211	19	174	9	37	30	--	--
MI 11.2	New aid programmes/projects can be approved locally within a budget cap	211	35	174	20	37	51	--	--
KPI 12	Adherence to humanitarian principles								
MI 12.1	Ongoing policy dialogue with partners on observing humanitarian principles	284	25	174	13	37	35	73	27
MI 12.2	Humanitarian principles respected while delivering humanitarian/emergency assistance	284	24	174	13	37	35	73	23

III- Relationship Management

		TOTAL		DP		CO		HQ	
		N(#)	% DK	N(#)	% DK	N(#)	% DK	N(#)	% DK
KPI 13	Supporting national plans								
MI 13.1	Funding proposals developed with the national government or direct partners	211	14	174	9	37	19	--	--
KPI 14	Adjusting procedures								
MI 14.1	Procedures easily understood and completed by direct partners	211	15	174	4	37	26	--	--
MI 14.2	Length of time for procedures does not affect implementation	211	17	174	8	37	25	--	--
MI 14.3	Ability to respond quickly to changing circumstances	211	25	174	19	37	31	--	--
MI 14.4	Flexibility in implementation of projects/programmes	211	16	174	10	37	22	--	--
KPI 15	Using country systems								
MI 15.1	ODA disbursements/support recorded in annual budget	--	--	--	--	--	--	--	--
MI 15.2	Use of country systems for operations	211	33	174	31	37	35	--	--
MI 15.3	ODA disbursements/support use national systems and procedures	--	--	--	--	--	--	--	--
MI 15.4	Parallel implementation structures are avoided	--	--	--	--	--	--	--	--
MI 15.5	Promotion of mutual assessment of progress in implementing partnership commitments	211	32	174	43	37	21	--	--
KPI 16	Contributing to policy dialogue								
MI 16.1	Reputation for high quality, valued policy dialogue inputs	284	7	174	5	37	11	73	7
MI 16.2	Policy dialogue respects partner views and perspectives	284	10	174	4	37	17	73	8
KPI 17	Hamornizing procedures								
MI 17.1	Participation in joint missions	--	--	--	--	--	--	--	--
MI 17.2	Participation in joint programming exercises	211	9	174	7	37	11	--	--
MI 17.3	Technical cooperation disbursed through coordinated programs	211	8	174	3	37	12	--	--
MI 17.4	ODA disbursements/support for government-led PBAs	211	20	174	10	37	30	--	--
KPI 18	Managing the cluster								
MI 18.1	Sufficient analytical resources and policy-level engagement dedicated to the cluster	247	8	174	0	--	--	73	15
MI 18.2	Dedicated staff for coordination of the cluster	247	10	174	0	--	--	73	19
MI 18.3	Pertinent information circulated within the cluster	247	15	174	1	--	--	73	29
MI 18.4	Prioritization of financial needs within the cluster	247	24	174	2	--	--	73	45

IV- Knowledge Management

		TOTAL		DP		CO		HQ	
		N(#)	% DK	N(#)	% DK	N(#)	% DK	N(#)	% DK
KPI 19	Evaluating external results								
MI 19.1	Independent evaluation unit	--	--	--	--	--	--	--	--
MI 19.2	Sufficient evaluation coverage of programming activities	--	--	--	--	--	--	--	--
MI 19.3	Quality of evaluations	--	--	--	--	--	--	--	--
MI 19.4	Use of evaluation findings to inform decisions	73	8	--	--	--	--	73	8
MI 19.5	Beneficiaries and direct partners involved in evaluation	211	17	174	7	37	28	--	--
KPI 20	Presenting performance information								
MI 20.1	Reports on achievement of outcomes	73	15	--	--	--	--	73	15
MI 20.2	Reports on performance using data obtained from measuring indicators	--	--	--	--	--	--	--	--
MI 20.3	Reports against organisation-wide strategy, including results	--	--	--	--	--	--	--	--
MI 20.4	Reports on Paris Declaration commitments using indicators and country targets	73	22	--	--	--	--	73	22
MI 20.5	Reports on adjustments to policies/strategies based on performance information	--	--	--	--	--	--	--	--
MI 20.6	Reports on programming adjustments based on performance information	--	--	--	--	--	--	--	--
KPI 21	Dissemination of lessons learned								
MI 21.1	Reports on lessons learned based on performance information	73	12	--	--	--	--	73	12
MI 21.2	Lessons shared at all levels of the organisation	73	18	--	--	--	--	73	18

Appendix V KPI and MI Data by Quadrant

Mean Score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the four respondent groups;
- b) equal weight is given to each of the fields of operation where the survey took place;
- c) equal weight is given to respondent groups within each field of operation where the survey took place

However, the base is un-weighted.¹⁵

Total – includes all respondents

“--” indicates that the question was not asked among a particular respondent group

Strong (4.5-5.49)
Adequate (3.5-4.49)
Inadequate (2.5-3.49)

I- Strategic Management

		Mean Scores			
		TOTAL	DP	CO	HQ
	Base (unweighted):	284	174	37	73
KPI 1	Providing direction for results	3.79	4.51	3.98	3.59
MI 1.1	Value system supports results-orientation and direct partner focus	3.81	4.43	3.73	3.20
SUB MI	i) FAO's institutional culture reinforces a focus on results	3.64	4.41	3.54	2.94
SUB MI	ii) FAO's institutional culture is direct-partner focused	3.98	4.45	3.93	3.47
MI 1.2	Leadership on results management	3.15	--	--	3.15
MI 1.3	Key documents available to the public	4.42	4.59	4.23	4.40
KPI 2	Corporate focus on results	3.66	--	--	3.66
MI 2.1	Organisational strategy based on clear mandate	4.35	--	--	4.35
SUB MI	i) FAO has a clear mandate	4.72	--	--	4.72
SUB MI	ii) FAO's organisation-wide strategy/strategies are aligned with the mandate	3.99	--	--	3.99
MI 2.2	Organisational policy on results management	3.20	--	--	3.20
MI 2.3	Plans and strategies contain results frameworks	3.79	--	--	3.79
SUB MI	i) FAO's strategies contain explicit development results	3.75	--	--	3.75
SUB MI	ii) FAO's strategies contain explicit management results	3.45	--	--	3.45
SUB MI	iii) FAO's strategies contain explicit results for its normative and standard setting work	4.06	--	--	4.06
SUB MI	iv) FAO's strategies contain explicit humanitarian results	3.92	--	--	3.92
MI 2.4	Results frameworks link outputs to final outcomes/impacts	3.41	--	--	3.41
MI 2.5	Plans and strategies contain performance indicators	3.55	--	--	3.55
KPI 3	Focus on thematic priorities	4.16	4.51	4.05	3.90

¹⁵ For a description of weighting, please see the Methodology in Appendix I.

		Mean Scores			
		TOTAL	DP	CO	HQ
	Base (unweighted):	284	174	37	73
MI 3.1	Gender equality	4.10	4.65	3.88	3.75
MI 3.2	Environment	4.51	4.72	4.49	4.31
MI 3.3	Good Governance	3.95	4.49	3.77	3.58
MI 3.4	Human Rights based approaches	4.55	4.94	4.42	4.28
MI 3.5	HIV/AIDS	3.67	3.74	3.69	3.57
KPI 4	Country focus on results	4.37	4.62	4.06	--
MI 4.1	Frameworks link results at project, program, sector, and country levels	4.32	4.52	4.09	--
MI 4.2	Frameworks include indicators at project, program, sector, and country levels	4.22	4.48	3.90	--
MI 4.3	Expected results consistent with national development strategies and UNDAF	4.47	4.69	4.21	--
MI 4.4	Country strategies specify the normative role at the country level	4.51	4.75	4.21	--
MI 4.5	Expected results developed in consultation with direct partners	4.25	4.64	3.81	--
MI 4.6	Results for thematic priorities included in country level frameworks	4.42	4.67	4.12	

II- Operational Management

		Mean Scores			
		TOTAL	DP	CO	HQ
	Base (unweighted):	284	174	37	73
KPI 5	Aid allocation decisions	3.74	4.35	3.67	3.32
MI 5.1	Criteria for allocating resources publicly available	3.60	4.21	3.54	3.03
MI 5.2	Resources allocations follow the criteria	3.74	4.49	3.47	3.15
MI 5.3	Adherence to criteria for fund allocation and appeals in humanitarian settings	3.87	--	4.00	3.77
MI 5.4	Resources released according to agreed schedules	--	--	--	--
KPI 6	Linking aid management to performance	3.27	--	--	3.27
MI 6.1	Allocations linked to expected results	3.29	--	--	3.29
MI 6.2	Disbursements linked to reported results	3.24	--	--	3.24
KPI 7	Financial accountability	3.80	4.47	3.69	3.61
MI 7.1	External financial audits performed across the organisation	3.58	--	--	3.58
MI 7.2	External financial audits performed at the regional, country or project level	4.11	4.41	3.69	--
MI 7.3	Policy on anti-corruption	--	--	--	--
MI 7.4	Systems for immediate measures against irregularities	4.07	4.60	3.85	3.76
MI 7.5	Internal financial audit processes provide objective information	3.66	--	--	3.66
MI 7.6	Effective procurement and contract management processes	3.88	4.39	3.53	3.52
MI 7.7	Strategies for risk management	3.53	--	--	3.53
KPI 8	Using performance information	3.74	4.27	3.49	3.58
MI 8.1	Using information for revising and adjusting policies	3.46	--	--	3.46
MI 8.2	Using information for planning new interventions	4.22	4.56	3.80	--
MI 8.3	Proactive management of poorly performing initiatives	3.58	3.98	3.19	--
MI 8.4	Evaluation recommendations are acted upon	3.71	--	--	3.71
KPI 9	Managing human resources	3.39	4.54	4.39	2.86
MI 9.1	Results focused performance assessment systems for senior staff	2.89	--	--	2.89
MI 9.2	Transparent incentive/reward system for staff performance	2.82	--	--	2.82
MI 9.3	Staff rotation is adequate for the development of effective partnerships	4.47	4.54	4.39	--
KPI 10	Performance oriented programming	3.90	4.59	3.98	3.46
MI 10.1	New initiatives subject to benefits/impact analysis	3.46	--	--	3.46
MI 10.2	Milestones/targets set to rate progress of implementation	4.34	4.59	3.98	--
KPI 11	Delegating decision-making	4.19	4.38	3.94	--
MI 11.1	Aid reallocation decisions can be made locally	4.35	4.59	4.05	--
MI 11.2	New aid programs/projects can be approved locally within a budget cap	4.03	4.17	3.83	--
KPI 12	Adherence to humanitarian principles	4.58	4.99	4.56	4.13

		Mean Scores			
		TOTAL	DP	CO	HQ
	Base (unweighted):	284	174	37	73
MI 12.1	Ongoing policy dialogue with partners on observing humanitarian principles	4.50	4.90	4.49	4.02
MI 12.2	Humanitarian principles respected while delivering humanitarian/emergency assistance	4.67	5.09	4.62	4.24

III- Relationship Management

		Mean Scores			
		TOTAL	DP	CO	HQ
	Base (unweighted):	284	174	37	73
KPI 13	Supporting national plans	4.37	4.54	4.19	--
MI 13.1	Funding proposals developed with the national government or direct partners	4.37	4.54	4.19	--
KPI 14	Adjusting procedures	3.74	4.22	3.20	--
MI 14.1	Procedures easily understood and completed by direct partners	4.11	4.50	3.62	--
MI 14.2	Length of time for procedures does not affect implementation	3.50	4.00	2.91	--
MI 14.3	Ability to respond quickly to changing circumstances	3.68	4.13	3.17	--
MI 14.4	Flexibility in implementation of projects/programs	3.69	4.26	3.08	--
KPI 15	Using country systems	3.89	4.31	3.55	--
MI 15.1	ODA disbursements/support recorded in annual budget	--	--	--	--
MI 15.2	Use of country systems for operations	3.80	4.17	3.43	--
MI 15.3	ODA disbursements/support use national systems and procedures	--	--	--	--
MI 15.4	Parallel implementation structures are avoided	--	--	--	--
MI 15.5	Promotion of mutual assessment of progress in implementing partnership commitments	3.99	4.45	3.68	--
KPI 16	Contributing to policy dialogue	4.34	4.74	4.06	4.19
MI 16.1	Reputation for high quality, valued policy dialogue inputs	4.36	4.67	4.11	4.28
MI 16.2	Policy dialogue respects partner views and perspectives	4.33	4.82	4.02	4.11
KPI 17	Harmonising procedures	4.24	4.59	3.86	--
MI 17.1	Participation in joint missions	--	--	--	--
MI 17.2	Participation in joint programming exercises	4.25	4.66	3.85	--
MI 17.3	Technical cooperation disbursed through coordinated programs	4.29	4.60	3.96	--
MI 17.4	ODA disbursements/support for government-led PBAs	4.19	4.53	3.78	--
KPI 18	Managing the cluster	3.99	4.80	--	3.85
MI 18.1	Sufficient analytical resources and policy-level engagement dedicated to the cluster	4.14	4.97	--	4.00
MI 18.2	Dedicated staff for coordination of the cluster	4.07	4.89	--	3.93
MI 18.3	Pertinent information circulated within the cluster	4.10	4.94	--	3.94
MI 18.4	Prioritisation of financial needs within the cluster	3.67	4.39	--	3.51

IV- Knowledge Management

		Mean Scores			
		TOTAL	DP	CO	HQ
	Base (unweighted):	284	174	37	73
KPI 19	Evaluating external results	3.99	4.39	3.68	3.91
MI 19.1	Independent evaluation unit	--	--	--	--
MI 19.2	Sufficient evaluation coverage of programming activities	--	--	--	--
MI 19.3	Quality of evaluations	--	--	--	--
MI 19.4	Use of evaluation findings to inform decisions	3.91	--	--	3.91
MI 19.5	Beneficiaries and direct partners involved in evaluation	4.07	4.39	3.68	--
KPI 20	Presenting performance information	3.68	--	--	3.68
MI 20.1	Reports on achievement of outcomes	3.84	--	--	3.84
MI 20.2	Reports on performance using data obtained from measuring indicators	--	--	--	--
MI 20.3	Reports against organisation-wide strategy, including results	--	--	--	--
MI 20.4	Reports on Paris Declaration commitments using indicators and country targets	3.52	--	--	3.52
MI 20.5	Reports on adjustments to policies/strategies based on performance information	--	--	--	--
MI 20.6	Reports on programming adjustments based on performance information	--	--	--	--
KPI 21	Dissemination of lessons learned	3.68	--	--	3.68
MI 21.1	Reports on lessons learned based on performance information	3.78	--	--	3.78
MI 21.2	Lessons shared at all levels of the organisation	3.58	--	--	3.58

Appendix VI Document Review Ratings, Criteria and Evidence by KPI and MI – FAO

QUADRANT I – STRATEGIC MANAGEMENT

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
KPI 1 - PROVIDING DIRECTION FOR RESULTS			
MI 1.3	Key MO documents are available to the public.	1. <i>More than half</i> of the documents in the sample (excluding the disclosure policy, which is identified below) are available on the website.	Met <ul style="list-style-type: none"> • Annual Conference Reports available since 1945: http://www.fao.org/unfao/govbodies/gsbhome/conference0/gsb-conference-reports/en/ • Conference Verbatim Records available since 1997: http://www.fao.org/unfao/govbodies/gsbhome/conference0/gsb-conference-pvs/en/ • Annual Council Reports available since 1947: http://www.fao.org/unfao/govbodies/gsbhome/council/gsb-council-reports/en/ • Council Verbatim Records available since 1997: http://www.fao.org/unfao/govbodies/gsbhome/council/gsb-council-pvs/en/ • Organisation-wide Strategic Frameworks available since 2000: http://www.fao.org/about/strategic-planning/en/ • Medium Term Plans available since 2002: http://www.fao.org/about/strategic-planning/en/ • Programme Implementation Reports available since 2006: http://www.fao.org/about/strategic-planning/en/ • Immediate Plan of Action for FAO renewal (2009-2011): ftp://ftp.fao.org/docrep/fao/meeting/014/k3644e.pdf • FAO Charter: http://www.fao.org/Legal/basic_texts/Basic_Texts_2010_En_23_03.pdf • Mission Constitution & governance: http://www.fao.org/about/mission-gov/en/ • Thematic reports: http://www.fao.org/publications/en/ • Evaluations: http://www.fao.org/pbe/pbee/en/index.html • Annual audit reports: http://www.fao.org/aud/48639/en/
		2. (If first criterion met) <i>all</i> of the documents in the sample (excluding the disclosure policy, which is identified below) are available on the website.	Met As above

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
		3. (If first criterion met) most of the documents in the sample are available on the website <i>in multiple languages</i>	Met Most documents can be accessed in the several languages of the organisation (English, French, Spanish, Arabic, Chinese, Russian) and are published in accordance with FAO Language policy (1999). • Review of FAO Language Policy: http://www.fao.org/docrep/meeting/x1516e.htm#P43_3082
		4. A disclosure / privacy / access to information policy exists and is available on the MO website	Met • Disclosure/Privacy policy: http://www.fao.org/corp/privacypolicy/en/
		5. Clear procedures exist to contact the MO	Met • How Can We Help You?: http://www.fao.org/askfao/home.do?lang=en
OVERALL SCORE MI 1.3		VERY STRONG	Overall Comments:
KPI 2 - CORPORATE FOCUS ON RESULTS			
MI 2.1	The MOs organisation-wide strategy is based on a clear definition of mandate.	1. The necessary periodic revisions of the MO mandate are made so it has continuing relevance.	Met • FAO's mandate & Structure, including Constitution and Basic Texts: http://www.fao.org/about/mission-gov/en/ • Immediate Plan of Action for FAO renewal (2009-2011): ftp://ftp.fao.org/docrep/fao/meeting/014/k3644e.pdf • The Strategic Framework for FAO 2010-2019: http://www.fao.org/about/19185-0a2633aea8a134083944307c51ff63329.pdf
		2. The organisational strategic plan articulates goals & focus priorities.	Met • The Strategic Framework for FAO 2010-2019: http://www.fao.org/about/19185-0a2633aea8a134083944307c51ff63329.pdf • Medium Term Plan 2010-2013 and Programme of Work and Budget 2010-2011: ftp://ftp.fao.org/docrep/fao/meeting/017/k5831e.pdf • Medium Term Plan 2010-13 (reviewed) and Programme of Work and Budget 2012-2013: http://www.fao.org/docrep/meeting/021/ma061e.pdf • Priorities for the Technical Work of the Organization in the 2012-13 Biennium: http://www.fao.org/docrep/meeting/020/k9423e.pdf
		3. The organisational strategic plan gives a clear indication of how the MO will implement the mandate in a certain period.	Met As above
		4. (If criteria two and three are met) there is a	Met

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
		link, explicit or implicit, between these goals and focus priorities to the organisation's mandate/articles of agreement.	As above
		5. If criteria two and three are met) there is an explicit link between these goals and focus priorities to the organisation's mandate/articles of agreement.	Not Met As above
OVERALL SCORE MI 2.1		STRONG	
MI 2.2	The MO promotes an organisation-wide policy on results management	1. An organisation-wide policy, strategy, framework, or plan that describes the nature and role of results based management (RBM) and/or management for development results (MfDR) in the organisation is corporately approved (alternatively, the approach to RBM/MfDR may be described in the context of a strategic plan and further operationalised through other documents).	Met <ul style="list-style-type: none"> • Results Based Management: http://www.fao.org/about/57743/en/ • Immediate Plan of Action for FAO renewal (2009-2011): ftp://ftp.fao.org/docrep/fao/meeting/014/k3644e.pdf • The Strategic Framework for FAO 2010-2019): http://www.fao.org/about/19185-0a2633aea8a134083944307c51ff63329.pdf • Results-Based Work Planning, Monitoring and Reporting System (Apr. 2010): http://www.fao.org/unfao/govbodies/gsb-search/gsb-iframe/en/?dmurl=http%3A%2F%2Fwww.fao.org%2Funfao%2Fbodies%2Ffc%2Ffc132%2FIndex_en.htm • Results-Based Work Planning, Monitoring and Reporting System (Oct.2010): http://www.fao.org/docrep/meeting/020/k9131e.pdf
		2. The MO has guidelines on RBM/MfDR, either in hard copies or online.	Met <ul style="list-style-type: none"> • Immediate Plan of Action for FAO renewal (2009-2011): ftp://ftp.fao.org/docrep/fao/meeting/014/k3644e.pdf • Medium Term Plan 2010-13 (reviewed) and Programme of Work and Budget 2012-2013: http://www.fao.org/docrep/meeting/021/ma061e.pdf • Medium Term Plan 2010-2013 and Programme of Work and Budget 2010-2011: ftp://ftp.fao.org/docrep/fao/meeting/017/k5831e.pdf • Workplanning Guidelines 2012-2013 Biennium: Putting into operation the Programme of Work and Budget 2012-2013 (Unavailable online) • Results-based Monitoring and Reporting System Guidelines 2010-2011 Biennium (Unavailable online) • Results-based Management at FAO: Questions and Answers (Unavailable online)
		3. The MO provides training to its staff on RBM/MfDR.	Met As above

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
		4. There is evidence (e.g. in the policy itself, in the MO's general reform agenda, etc.) that the MO reviews its policy on RBM/MfDR to ensure its adequate implementation.	Met As above
		5. There is evidence that the MO supports its direct partners/clients to engage in RBM/MfDR.	Met As above
OVERALL SCORE MI 2.2		STRONG	Criteria were met with very recent documentation. Therefore, it is premature to indicate a rating of very strong.
MI 2.3	Organisation-wide plans and strategies contain frameworks of expected management, normative, humanitarian, and development results	1. The MO has a current results framework, including both development (program-related) results and management results.	Met <ul style="list-style-type: none"> The Strategic Framework for FAO (2010-2019): http://www.fao.org/about/19185-0a2633aea8a134083944307c51ff63329.pdf Medium Term Plan 2010-2013 and Programme of Work and Budget 2010-2011: ftp://ftp.fao.org/docrep/fao/meeting/017/k5831e.pdf Medium Term Plan 2010-13 (reviewed) and Programme of Work and Budget 2012-2013: http://www.fao.org/docrep/meeting/021/ma061e.pdf Resource Mobilization and Management Strategy - Outline (2011): http://www.fao.org/docrep/meeting/021/ma224E.pdf
		2. The development (or program-related) results include statements of expected normative and humanitarian results.	Met As above
		3. The development (or program-related) results include outputs and expected outcomes.	Met As above
		4. (If third criterion met) in the development (or program-related) results framework, all statements of results are appropriate to their results level (i.e., what are called outputs are actually outputs; what are called outcomes are actually outcomes).	Not met As above
		5. Criteria 3 and 4 (referring to quality of results statements) are met for the MRF. Note: Management results and development	Not met As above

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
		results may be presented together in one framework. This combined framework may be deemed to meet the criteria above.	
OVERALL SCORE MI 2.3		ADEQUATE	Overall comments: As recognised by the FAO in its 2010-2013 MTP, the current results frameworks are works in progress and further improvements could be made. The documents reviewed suggest these improvements should entail ensuring better distinction and presentation of outcomes, outputs and activities in the organisation's results frameworks (DRF and MRF)
MI 2.4	Results frameworks have causal links from outputs through to impacts / final outcomes	1. At least one results framework exists at the organisation-wide level (i.e., MRF and/or DRF).	Met <ul style="list-style-type: none">The Strategic Framework for FAO 2010-2019): http://www.fao.org/about/19185-0a2633aea8a134083944307c51ff63329.pdfMedium Term Plan 2010-2013 and Programme of Work and Budget 2010-2011: ftp://ftp.fao.org/docrep/fao/meeting/017/k5831e.pdfMedium Term Plan 2010-13 (reviewed) an Programme of Work and Budget 2012-2013: http://www.fao.org/docrep/meeting/021/ma061e.pdf
		2. (If first criterion is met) there is an <i>implicit or explicit</i> description, in the DRF (or in the strategic plan), of how the outputs in the results framework(s) are linked to the expected outcomes (i.e. there is no big leap from outputs to outcomes)	Met As above
		3. In the DRF, there is a plausible link between outcomes and impacts (i.e. there is no big leap from outcomes to impacts).	Not met As above
		4. Same as 2 for MRF	Not met As above
		5. Same as 3 for MRF	Not met As above
		OVERALL SCORE MI 2.4	
MI 2.5	Standard performance indicators included in organisation-wide	1. At least one results framework exists at the organisation-wide level (MRF and/or DRF), and contains <i>adequate</i> performance indicators at both the output and outcome levels.	Met <ul style="list-style-type: none">Medium Term Plan 2010-2013 and Programme of Work and Budget 2010-2011: ftp://ftp.fao.org/docrep/fao/meeting/017/k5831e.pdfMedium Term Plan 2010-13 (reviewed) and Programme of Work and Budget 2012-2013: http://www.fao.org/docrep/meeting/021/ma061e.pdf

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
	plans and strategies at a delivery (output) and development results level	2. More than half of the performance indicators are <i>relevant</i> to the results they are associated with in the framework(s).	Met As above
		3. More than half of the performance indicators are <i>clear</i> (i.e. it is clear what is to be measured).	Not met As above
		4. At least some of the indicators (most likely at the outcome level) are based on or make use of accepted international indices and data elements, as possible.	Met As above
		5. More than half of the performance indicators are <i>monitorable</i> (i.e. they have targets set for them, and the date(s) for target achievement is clear). Note that dates for target achievement may be found in the narrative of the framework document or the strategic plan. Note also that it may be appropriate for impact indicators not to have targets. Note: If the MO's results framework do not include indicators at both output and outcome levels, it should not be rated more than inadequate.	Met As above
OVERALL SCORE MI 2.5		Adequate ¹⁶	The FAO has developed results frameworks, inclusive of performance indicators. However, the indicators that were developed cannot be classified as final outcomes or direct measures of the achievement of the Strategic Objectives. It is therefore not possible to provide a higher rating to this MI.
KPI 3 Focus on Thematic Priorities			
MI 3.1	Gender equality	1. The organisation-wide strategic plan identifies gender equality as a cross-cutting priority or a focus area.	Met <ul style="list-style-type: none">• The Strategic Framework for FAO 2010-2019): http://www.fao.org/about/19185-0a2633aea8a134083944307c51ff63329.pdf• Immediate Plan of Action for FAO renewal (2009-2011): ftp://ftp.fao.org/docrep/fao/meeting/014/k3644e.pdf• Medium Term Plan 2010-13 (reviewed) and Programme of Work and Budget 2012-2013:

¹⁶ For a further explanation, see Appendix 1: Methodology (Section 3.4: Document Analysis – Document review ratings).

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
			http://www.fao.org/docrep/meeting/021/ma061e.pdf • 4th Gender and Development Plan of Action 2008-2013: ftp://ftp.fao.org/docrep/fao/meeting/012/k0721e.pdf • Gender, policy and planning: http://www.fao.org/sd/wpdirect/WPdoe006.htm • Why gender: http://www.fao.org/gender/gender-home/gender-why/why-gender/en/ • FAO Programme: gender equity: http://www.fao.org/gender/gender-home/gender-programme/gender-equity/ip/ • Country programming Frameworks: Integrating Gender Issues(2010): http://www.fao.org/docrep/013/i1913e/i1913e00.pdf
		2. (If the first criterion is met) the organisation commits to developing its <i>internal management/institutional capacity</i> to support gender mainstreaming, either in the organisation-wide strategic plan or in a separate policy document. This includes any results statements on this cross-cutting issue or focus area that are stated in its MRF.	Met • Immediate Plan of Action for FAO renewal (2009-2011): ftp://ftp.fao.org/docrep/fao/meeting/014/k3644e.pdf • Medium Term Plan 2010-2013 and Programme of Work and Budget 2010-2011: ftp://ftp.fao.org/docrep/fao/meeting/017/k5831e.pdf • Medium Term Plan 2010-13 (reviewed) and Programme of Work and Budget 2012-2013: http://www.fao.org/docrep/meeting/021/ma061e.pdf • Country programming Frameworks: Integrating Gender Issues (2010): http://www.fao.org/docrep/013/i1913e/i1913e00.pdf
		3. (If the first criterion is met) the organisation commits to include gender mainstreaming strategies in its <i>programming</i> , either in the organisation-wide strategic plan or in a separate policy document. This includes any results statements on this cross-cutting issue or focus area that are stated in its DRF.	Met As above
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or gender policy commits the organisation to evaluate the implementation of the gender policy/strategy.	Met As above
		5. An organisation-wide evaluation or review has been undertaken and illustrates progress in implementing the commitment to gender equality. Note: If the review or evaluation notes that there are still several areas for improvement, the	Met • Results-Based Work Planning, Monitoring and Reporting System (Oct 2010): http://www.fao.org/docrep/meeting/020/k9131e.pdf • Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): http://www.fao.org/docrep/meeting/021/ma403e.pdf

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
		organisation should be rated no better than adequate and the findings of this evaluation should be noted in the narrative of the report. If the review notes that the organisation is deficient in this area then the rating should be inadequate.	
OVERALL SCORE MI 3.1		ADEQUATE	Overall comments: The latest Medium Term Review (2010) suggests that gender mainstreaming has not permeated into all key strategic areas of the organisation. The ongoing FAO-UNIFEM gender audit , expected to be released in October 2011, will provide further information on FAO's performance in the area of gender mainstreaming.
MI 3.2	Environmental policy and environmental assessment practices	1. The organisation-wide strategic plan identifies environment/sustainable management of natural resources as a cross-cutting priority.	Met <ul style="list-style-type: none"> Medium Term Plan 2010-13 (reviewed) an Programme of Work and Budget 2012-2013 : http://www.fao.org/docrep/meeting/021/ma061e.pdf FAO Profile for Climate Change: FTP://FTP.FAO.ORG/DOCREP/FAO/012/I1323E/I1323E00.PDF
		2. (If the first criterion is met) the organisation commits to environmentally responsible practices (include environmental assessments if applicable) in its <i>internal management</i> activities, either in the organisation-wide strategic plan or in a separate policy document.	Not met <ul style="list-style-type: none"> Medium Term Plan 2010-13 (reviewed) an Programme of Work and Budget 2012-2013: http://www.fao.org/docrep/meeting/021/ma061e.pdf Fishery & aquaculture: the state of World Fisheries and Aquacultures(SOFIA-2010): http://www.fao.org/docrep/013/i1820e/i1820e00.htm Forestry: the State of World Forest (SOFO) 2011: http://www.fao.org/forestry/sofo/en/
		3. (If the first criterion is met) the organisation commits to environmentally responsible practices (include environmental assessments if applicable) in its <i>programming</i> , either in the organisation-wide strategic plan or in a separate policy document.	Met <ul style="list-style-type: none"> Medium Term Plan 2010-13 (reviewed) an Programme of Work and Budget 2012-2013): http://www.fao.org/docrep/meeting/021/ma061e.pdf FAO Profile for Climate Change: ftp://ftp.fao.org/docrep/fao/012/i1323e/i1323e00.pdf
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or relevant policy document commits the organisation to evaluate its work in the area of environment/sustainable management of natural resources	Met <ul style="list-style-type: none"> The Strategic Framework for FAO 2010-2019): http://www.fao.org/about/19185-0a2633aea8a134083944307c51ff63329.pdf Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): http://www.fao.org/docrep/meeting/021/ma403e.pdf
		5. An organisation-wide evaluation or review has been undertaken and illustrates progress in	Met <ul style="list-style-type: none"> Fishery & aquaculture: the state of World Fisheries and Aquacultures(SOFIA-2010):

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
		implementing the commitment to environment. Note: If the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted in the narrative of the report. If the review notes that the organisation is deficient in this area then the rating should be inadequate.	http://www.fao.org/docrep/013/i1820e/i1820e00.htm <ul style="list-style-type: none"> • Forestry: the State of World Forest (SOFO) 2011: http://www.fao.org/forestry/sofo/en/ • Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): http://www.fao.org/docrep/meeting/021/ma403e.pdf
OVERALL SCORE MI 3.2		STRONG	Overall comments: The 2010 Medium Term Review suggests that institutional capacities are still being built to meet organisational results, with particular reference to the strategic objectives related to the environment and the sustainable management of natural resources..
MI 3.3	Good Governance	1. The organisation-wide strategic plan identifies good governance in countries as a cross-cutting priority or focus area.	Met <ul style="list-style-type: none"> • The Strategic Framework for FAO 2010-2019): http://www.fao.org/about/19185-0a2633aea8a134083944307c51ff63329.pdf • Immediate Plan of Action for FAO renewal (2009-2011): ftp://ftp.fao.org/docrep/fao/meeting/014/k3644e.pdf
		2. The organisation includes results statements related to good governance principles in its partner countries either in the organisation-wide strategic plan or in a separate policy document.	Met <ul style="list-style-type: none"> • FAO Policy Support – Country Programming Framework: http://www.fao.org/tc/policy-support/types-of-support/country-programming-framework/zh/ • Medium Term Plan 2010-13 (reviewed) and Programme of Work and Budget 2012-2013 : http://www.fao.org/docrep/meeting/021/ma061e.pdf
		3. The organisation has a separate policy or strategy that describes how it promotes good governance in its programming.	Not met <ul style="list-style-type: none"> • Immediate Plan of Action for FAO renewal (2009-2011): ftp://ftp.fao.org/docrep/fao/meeting/014/k3644e.pdf • IPA Progress Report (2011): http://www.fao.org/docrep/meeting/021/ma666e.pdf • Medium Term Plan 2010-13 (reviewed) and Programme of Work and Budget 2012-2013: http://www.fao.org/docrep/meeting/021/ma061e.pdf
		4. There is evidence that the organisation supports good governance activities in countries as part of its projects or other normative activity (in reports to the Board, evaluations, etc.)	Met <ul style="list-style-type: none"> • The Strategic Framework for FAO 2010-2019): http://www.fao.org/about/19185-0a2633aea8a134083944307c51ff63329.pdf • Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): http://www.fao.org/docrep/meeting/021/ma403e.pdf
		5. An organisation-wide evaluation or review has been undertaken and illustrates progress in	Met <ul style="list-style-type: none"> • Immediate Plan of Action for FAO renewal (2009-2011):

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
		<p>implementing the commitment to promoting good governance in partner countries.</p> <p>Note: If the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted. If the review notes that the organisation is deficient in this area then the rating should be inadequate.</p>	<p>ftp://ftp.fao.org/docrep/fao/meeting/014/k3644e.pdf</p> <ul style="list-style-type: none"> • IPA Progress Report (2011): http://www.fao.org/docrep/meeting/021/ma666e.pdf • Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): http://www.fao.org/docrep/meeting/021/ma403e.pdf
OVERALL SCORE MI 3.3		STRONG	Overall comments: The assessment focused on FAO's work on good governance, within its mandate, namely the role the organisation plays in strengthening national/regional institutions in food security governance, fisheries, and aquaculture.
MI 3.4	Human Rights based approaches	1. The organisation-wide strategic plan identifies human rights based approach as a cross-cutting priority or focus area.	<p>Met</p> <ul style="list-style-type: none"> • Immediate Plan of Action for FAO renewal (2009-2011): ftp://ftp.fao.org/docrep/fao/meeting/014/k3644e.pdf • Medium Term Plan 2010-2013 and Programme of Work and Budget 2010-2011: ftp://ftp.fao.org/docrep/fao/meeting/017/k5831e.pdf • Medium Term Plan 2010-13 (reviewed) an Programme of Work and Budget 2012-2013: http://www.fao.org/docrep/meeting/021/ma061e.pdf • Right to Food Guidelines (Voluntary Guidelines to support the progressive realization of the right to adequate food in the context of national food security): http://www.fao.org/righttofood/publi_01_en.htm • Methodological Toolbox on the right to food: http://www.fao.org/righttofood/publi_02_en.htm • General information (Country project reports): www.fao.org/righttofood
		2. (If the first criterion is met) The organisation commits to developing its internal management/institutional capacity to support human rights-based approaches (HRBA). (This refers to organisational efforts to improve staff capacity, system capacity, to be able to implement HRBA)	<p>Met</p> <ul style="list-style-type: none"> • Medium Term Plan 2010-13 (reviewed) an Programme of Work and Budget 2012-2013: http://www.fao.org/docrep/meeting/021/ma061e.pdf • Right to Food Guidelines (Voluntary Guidelines to support the progressive realization of the right to adequate food in the context of national food security): http://www.fao.org/righttofood/publi_01_en.htm • Methodological Toolbox on the right to food: http://www.fao.org/righttofood/publi_02_en.htm • FAO- The Right to Food: Strategy: HTTP://WWW.FAO.ORG/RIGHTTOFOOD/STRATEGY_EN.HTM
		3. (If the first criterion is met) the organisation commits to adopt human rights based	Met

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
		approaches in its programming, either in the organisation-wide strategic plan or in a separate policy document (While there are UN system-wide policy and guidelines, it is important for an organisation to outline how it will take on the HRB approach and what it means for their specific areas and ways of working).	As above
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or HRBA policy commits the organisation to evaluate its application of HRBA.	Met <ul style="list-style-type: none">• Medium Term Plan 2010-13 (reviewed) an Programme of Work and Budget 2012-2013: http://www.fao.org/docrep/meeting/021/ma061e.pdf• Methods to Monitor the Human Right to Adequate Food – Volume I (2008): http://www.fao.org/righttofood/publi09/2voll_toolbox_Monitoring_guide.pdf• Methods to Monitor the Human Right to Adequate Food – Volume II: http://www.fao.org/righttofood/publi09/2voll_toolbox_Monitoring_guide.pdf• Guide to Conducting a right to Food Assessment: HTTP://WWW.FAO.ORG/RIGHTTOFOOD/PUBLI08/ASSESSMENT_GUIDE.PDF
		5. (If criterion 4 is met) An organisation-wide evaluation or review illustrates progress in implementing the commitment to human rights based approaches. Note: If the review or evaluation notes that there are still several areas for improvement, the organisation should be rated no better than adequate and the findings of this evaluation should be noted. If the review notes that the organisation is deficient in this area then the rating should be inadequate.	Met <ul style="list-style-type: none">• Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): http://www.fao.org/docrep/meeting/021/ma403e.pdf
OVERALL SCORE MI 3.4		VERY STRONG	Overall comments: The FAO supports HRBA in the context of right of access to food. Evidence shows that the FAO's strength lies in the work done and tools built to strengthen capacities, particularly, in areas related to monitoring human rights to adequate food and conducting right to food assessments.
MI 3.5	HIV/AIDS	1. The organisation-wide strategic plan identifies HIV/AIDS prevention, treatment, and/or mitigation of its effects as a cross-cutting priority.	Not Met <ul style="list-style-type: none">• Building Capacity for the Agriculture Sector's Response to AIDS. (2009): http://www.fao.org/docrep/013/am022e/am022e00.htm• FAO and HIV/AIDS: http://www.fao.org/hivaids/faohiv/index_en.htm

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
			<ul style="list-style-type: none"> FAO – Millennium Development Goals: http://www.fao.org/mdg/64628/en/ FAO Factsheet: Goal 6 (Goal 6: Combat HIV/AIDS, malaria and other diseases): http://www.fao.org/docrep/013/am022e/am022e.pdf Preventing and mitigating the impact of HIV/AIDS: FAO's work: http://www.fao.org/docrep/007/y5572e/y5572e00.htm
		2. (If the first criterion is met) The organisation commits to developing its <i>internal management/institutional capacity</i> to work on HIV/AIDS, either in the organisation-wide strategic plan or in a separate policy document.	Not Met <ul style="list-style-type: none"> Building Capacity for the Agriculture Sector's Response to AIDS. (2009): http://www.fao.org/docrep/013/am022e/am022e00.htm FAO Factsheet: Goal 6 (Goal 6: Combat HIV/AIDS, malaria and other diseases): http://www.fao.org/docrep/013/am022e/am022e.pdf Monitoring and evaluation toolkit for Junior Farmer Field and Life Schools: http://www.fao.org/docrep/012/i1489e/i1489e00.pdf
		3. (If the first criterion is met) the organisation commits to integrating HIV/AIDS prevention, treatment, and/or mitigation of its effects in its <i>programming</i> , either in the organisation-wide strategic plan or in a separate policy document.	Not Met <ul style="list-style-type: none"> FAO – Millennium Development Goals: http://www.fao.org/mdg/64628/en/ FAO Factsheet: Goal 6 (Goal 6: Combat HIV/AIDS, malaria and other diseases): http://www.fao.org/docrep/013/am022e/am022e.pdf HIV /AIDS Food Security and Nutrition (last updated 2010): http://www.fao.org/ag/agn/nutrition/household_hiv aids_en.stm FAO's work on HIV Agriculture and Health wiki: http://km.fao.org/AgriHealth/index.php/Main_Page Nutrition: http://www.fao.org/ag/agn/nutrition/household_hiv aids_en.stm Fisheries (Sustainable fisheries and livelihoods programme - SFLP): www.sflp.org Emergencies: http://www.fao.org/emergencies/current-focus/hiv-aids-and-emergencies/en/ Forestry: http://www.fao.org/forestry/hiv aids/en/ Labour and time saving technologies: http://www.fao.org/sd/teca/tools/1st/index_en.html
		4. (If either criteria 2 and/or 3 are met) the organisation-wide strategic plan or HIV/AIDS policy commits the organisation to evaluate the implementation of the HIV/AIDS policy/strategy.	Not Met <ul style="list-style-type: none"> Building Capacity for the Agriculture Sector's Response to AIDS. (2009): http://www.fao.org/docrep/013/am022e/am022e00.htm Building Capacity for the Agriculture Sector's Response to AIDS - Volume 11 : Programme Monitoring and Evaluation (of Building capacity): http://www.fao.org/docrep/013/am022e/am022e11.pdf
		5. (If criterion 4 is met) An organisation-wide evaluation or review illustrates progress in	Not Met

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
		implementing the commitment to HIV/AIDS– this may not be an evaluation of the policy or strategy per se.	
OVERALL SCORE MI 3.5		Inadequate	Overall Comments: HIV/AIDS is no longer part of the FAO's thematic focus priorities and has not been integrated into the organisation's Strategic Framework in support of reform. However, the FAO continues to integrate HIV/AIDS prevention efforts into its programming (mainly in food, nutrition and agriculture policies and programs). The rating provided is a reflection of these efforts.
KPI 4. COUNTRY FOCUS ON PRIORITIES			
MI 4.1	Results frameworks that link results at project, program, sector, and country levels	1. The MO has strategies at the country level, at least half of which contain statements of expected results articulated at output and outcome levels.	<p>Not Met</p> <ul style="list-style-type: none"> • FAO Policy Support – Country Programming Framework: http://www.fao.org/tc/policy-support/types-of-support/country-programming-framework/zh/ • Towards a Food Secure Bangladesh: National Medium-Term Priority Framework (NMTPF) of Bangladesh 2010-2015 : ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Bangladesh/Status/BgdCPF201015.pdf • Tanzania National Medium-term priority framework 2006-2010 (NMTPF): ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Tanzania/Status/nmtpf%20feb.pdf • Burundi: Cadre National Stratégique des Priorités d'Intervention à Moyen Terme de la FAO au Burundi 2010 – 2014 (NMTPF) : ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Burundi/Status/Microsoft%20Word%20-%20NMTPF%20version-OCTOBRE-23%202020.pdf • Bolivia: Marco Nacional De Prioridades Para La Asistencia Tecnica De La Fao Bolivia 2010-2014 (NMTPF): http://coin.fao.org/cms/media/4/12711087666900/nmtpfbolivia.pdf • Brazil: NMTPF presentation oct 2007: ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Brazil/Process/Tubino_-_HQS_NMTPF_PRESENTATION_OCT_2007.pdf • ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Brazil/ • Ecuador: Marco Nacional De Prioridades Para La Asistencia Tecnica De La Fao 2009-2012: ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Ecuador/NMTPF%20Status/MARCO_DE_PRIORIDADES%202009-2012.pdf • National Medium-Term Priority Framework (NMTPF, CPF) Country Programming Framework 2010-11 2014-15 Nepal: ftp://193.43.36.44/TC/TCA/NMTPF/Country%20NMTPF/Argentina/Status/CPFNepal2ndDraftSept10.pdf • Peru: Marco Nacional De Prioridades Para La Asistencia Tecnica De La Fao Peru 2010-

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
			<p>2013 (NMTPF): ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Peru/Status/PeruCPF2010_2013.pdf</p> <ul style="list-style-type: none"> Country Office Work Planning Guidelines: 2010-11 Biennium (pilot), (August 2010) 2009-12 NMTPF INDIA(2009): https://coin.fao.org/cms/media/4/12725205349410/nmtpf_final.pdf Country Work Plan for India Strategic Evaluation of FAO Country Programming – Final Report, 12 July 2010: http://www.fao.org/pbe/pbee/common/ecg/369/en/countryprogeval.pdf
		2. (If first criterion met) in more than half of the country strategies, all statements of results are appropriate to their results level (i.e., what are called outputs are actually outputs; what are called outcomes are actually outcomes).	<p>Not Met AS ABOVE</p>
		3. (If first criterion is met) more than half of the country strategies sampled <u>explicitly link</u> expected results of the MO's projects/programs and/or initiatives to the MO's expected results at country level.	<p>Not Met AS ABOVE</p>
		4. (If first criterion is met) at least two of the country strategies sampled explicitly link expected results of the MO's sector strategies to the MO's expected results at country level.	<p>Met (even though first criterion was not met) AS ABOVE</p>
		5. (If all above criteria are met) all of the above criteria are met for all country strategies sampled.	
OVERALL SCORE MI 4.1		Weak	<p>Overall comments: The assessment reflects current practice, in which the FAO has not yet completely adjusted its country programming frameworks to the newly adopted RBM approach as part of its strategy to “reform to grow”. The reviewed NMTPFs lack consistency and have poor formulation of results at the levels of impacts/outcomes and outputs. The rating for this MI is a reflection of current practice but does not undermine the significant efforts in which the FAO is engaged to improve the reporting quality of country programming. (i.e. it is expected that the new country programming framework will be rolled out in 2012).</p>
MI 4.2	Frameworks include indicators at project,	<p>More than half of the country strategies sampled have the following characteristics:</p> <p>1. More than half of the performance indicators</p>	<p>Not Met</p> <ul style="list-style-type: none"> FAO Policy Support – Country Programming Framework:

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
	program, sector, and country levels	are <i>adequate</i> (i.e. provide a sufficient basis to assess performance).	<p>http://www.fao.org/tc/policy-support/types-of-support/country-programming-framework/zh/</p> <ul style="list-style-type: none"> • Towards a Food Secure Bangladesh: National Medium-Term Priority Framework (NMTPF) of Bangladesh 2010-2015 : ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Bangladesh/Status/BgdCPF201015.pdf • Tanzania National Medium-term priority framework 2006-2010 (NMTPF): ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Tanzania/Status/nmtpf%20feb.pdf • Burundi: Cadre National Stratégique des Priorités d'Intervention à Moyen Terme de la FAO au Burundi 2010 – 2014 (NMTPF) : ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Burundi/Status/Microsoft%20Word%20-%20NMTPF_version-OCTOBRE-23%20_2_.pdf • Bolivia: Marco Nacional De Prioridades Para La Asistencia Tecnica De La Fao Bolivia 2010-2014 (NMTPF): http://coin.fao.org/cms/media/4/12711087666900/nmtpfbolivia.pdf • Brazil: NMTPF presentation oct 2007: ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Brazil/Process/Tubino_-_HQs_NMTPF_PRESENTATION_OCT_2007.pdf ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Brazil/ • Ecuador: Marco Nacional De Prioridades Para La Asistencia Tecnica De La Fao 2009-2012: ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Ecuador/NMTPF%20Status/MARCO_DE_PRIORIDADES%202009-2012.pdf • National Medium-Term Priority Framework (NMTPF, CPF) Country Programming Framework 2010-11 2014-15 Nepal: ftp://193.43.36.44/TC/TCA/NMTPF/Country%20NMTPF/Argentina/Status/CPFNepal2ndDraftSept10.pdf • Peru: Marco Nacional De Prioridades Para La Asistencia Tecnica De La Fao Peru 2010-2013 (NMTPF): FTP://FTP.FAO.ORG/TC/TCA/NMTPF/COUNTRY%20NMTPF/PERU/STATUS/PERUCPF2010_2013.PDF • Country Office Work Planning Guidelines: 2010-11 Biennium (pilot), (August 2010) • 2009-12 NMTPF INDIA(2009):https://coin.fao.org/cms/media/4/12725205349410/nmtpf_final.pdf • Country Work Plan for India • Strategic Evaluation of FAO Country Programming – Final Report, 12 July 2010: • http://www.fao.org/pbe/pbee/common/ecg/369/en/countryprogeval.pdf

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
		2. More than half of the performance indicators are <i>relevant</i> to the results they are associated with in the country strategies.	Not Met AS ABOVE
		3. More than half of the performance indicators are <i>clear</i> (i.e. it is clear what is to be measured).	Not Met AS ABOVE
		4. Data sources and data collection methods are clear for more than half of the performance indicators.	Not Met AS ABOVE
		5. More than half of the performance indicators are <i>monitorable</i> (i.e. they have targets set for them, and the date(s) for target achievement is clear).	Not Met AS ABOVE
OVERALL SCORE MI 4.2		Very Weak	Overall comments: All country programming documents reviewed lacked indicators at the country level. The organisation is, however, making efforts to remedy this. A pilot of the new CPF i currently being developed in India shows promise if it is to be implemented in other countries (i.e., past the “testing process” in 2012 as scheduled). The “Country Work Planning” tool intended to complement the new CPF appears to present clear, monitorable performance indicators. In current practice, however, the FAO country programming frameworks (i.e., NMTPFs), lack performance indicators that are adequate, clear and monitorable.
MI 4.3	Statements of expected results consistent with those in national development strategies and UNDAF as appropriate.	1. At least half of the country strategies sampled contain statements of expected results	Met <ul style="list-style-type: none"> FAO Policy Support – Country Programming Framework: http://www.fao.org/tc/policy-support/types-of-support/country-programming-framework/zh/ Towards a Food Secure Bangladesh: National Medium-Term Priority Framework (NMTPF) of Bangladesh 2010-2015 : ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Bangladesh/Status/BgdCPF201015.pdf Tanzania National Medium-term priority framework 2006-2010 (NMTPF): ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Tanzania/Status/nmtpf%20feb.pdf Burundi: Cadre National Stratégique des Priorités d'Intervention à Moyen Terme de la FAO au Burundi 2010 – 2014 (NMTPF) : ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Burundi/Status/Microsoft%20Word%20-%20NMTPF_version-OCTOBRE-23%20_2_.pdf Bolivia: Marco Nacional De Prioridades Para La Asistencia Tecnica De La Fao Bolivia

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
			<p>2010-2014 (NMTPF): http://coin.fao.org/cms/media/4/12711087666900/nmtpfbolivia.pdf</p> <ul style="list-style-type: none"> • Brazil: NMTPF presentation oct 2007: ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Brazil/Process/Tubino_-_HQs_NMTPF_PRESENTATION_OCT_2007.pdf • ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Brazil/ • Ecuador: Marco Nacional De Prioridades Para La Asistencia Tecnica De La Fao 2009-2012: ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Ecuador/NMTPF%20Status/MARCO_DE_PRIORIDADES%202009-2012.pdf • National Medium-Term Priority Framework (NMTPF, CPF) Country Programming Framework 2010-11 2014-15 Nepal: ftp://193.43.36.44/TC/TCA/NMTPF/Country%20NMTPF/Argentina/Status/CPFNepal2ndDraftSept10.pdf • Peru: Marco Nacional De Prioridades Para La Asistencia Tecnica De La Fao Peru 2010-2013 (NMTPF): ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Peru/Status/PeruCPF2010_2013.pdf • Country Office Work Planning Guidelines: 2010-11 Biennium (India pilot),(August 2010) • 2009-12 NMTPF INDIA(2009): https://coin.fao.org/cms/media/4/12725205349410/nmtpf_final.pdf • Country Work Plan for India • Strategic Evaluation of FAO Country Programming – Final Report, 12 July 2010: http://www.fao.org/pbe/pbee/common/ecg/369/en/countryprogeval.pdf
		2. At least half of the country strategies contain reference to the country's national development strategies (e.g. UNDAF) as applicable	<p>Met AS ABOVE</p>
		3. (If first two criteria are met) in at least half of the cases, the link between the MO's expected results and those identified in the national development strategies (e.g. UNDAF) is clear, <i>either explicitly or implicitly</i>	<p>Met AS ABOVE</p>
		4. (If all above criteria are met) at least half of the country strategies <i>explicitly</i> demonstrate how the MO's expected results are consistent with those in the national development strategies (e.g. UNDAF)	<p>Met AS ABOVE</p>

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
		5. (If all above criteria are met) all above criteria are met for all country strategies sampled	Not Met AS ABOVE
OVERALL SCORE MI 4.3		ADEQUATE ¹⁷	Overall comments: Formulation of the FAO's country strategies (i.e., NMTPFs) for the eight countries assessed seem to be in alignment with those at the national level. Explicit linkages between the two, however, need to be further explored. The 2010 evaluation of FAO's country programming, which assessed all NMTPFs, was critical of the organisation's country strategies and noted that only half of the NMTPFs reviewed had explicit links with UNDAF's strategies. There is still room for improvement for the FAO in this specific area, thus the rating of adequate.
MI 4.6	Results for cross-cutting thematic priorities are included in country level results frameworks - gender equality, environment (as appropriate).	1. More than half of the country strategies sampled identify (at least briefly mention) at least two of the relevant cross-cutting themes (the same ones assessed in KPI 3)	Met <ul style="list-style-type: none"> FAO Policy Support – Country Programming Framework: http://www.fao.org/tc/policy-support/types-of-support/country-programming-framework/zh/ Towards a Food Secure Bangladesh: National Medium-Term Priority Framework (NMTPF) of Bangladesh 2010-2015 : ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Bangladesh/Status/BgdCPF201015.p df Tanzania National Medium-term priority framework 2006-2010 (NMTPF): ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Tanzania/Status/nmtpf%20feb.pdf Burundi: Cadre National Stratégique des Priorités d'Intervention à Moyen Terme de la FAO au Burundi 2010 – 2014 (NMTPF) : ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Burundi/Status/Microsoft%20Word%20-%20NMTPF version-OCTOBRE-23%20 2 .pdf Bolivia: Marco Nacional De Prioridades Para La Asistencia Tecnica De La Fao Bolivia 2010-2014 (NMTPF): http://coin.fao.org/cms/media/4/12711087666900/nmtpfbolivia.pdf Brazil: NMTPF presentation oct 2007: ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Brazil/Process/Tubino _ HQs NMTPF PRESENTATION OCT 2007.pdf tp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Brazil/ Ecuador: Marco Nacional De Prioridades Para La Asistencia Tecnica De La Fao 2009-2012: ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Ecuador/NMTPF%20Status/MARCO DE PRIORIDADES%202009-2012.pdf National Medium-Term Priority Framework (NMTPF, CPF) Country Programming

¹⁷ For a further explanation, see Appendix 1: Methodology (Section 3.4: Document Analysis – Document review ratings).

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/ DISCUSSION
			<p>Framework 2010-11 2014-15 Nepal: ftp://193.43.36.44/TC/TCA/NMTPF/Country%20NMTPF/Argentina/Status/CPFNepal2ndDraftSept10.pdf</p> <ul style="list-style-type: none"> Peru: Marco Nacional De Prioridades Para La Asistencia Tecnica De La Fao Peru 2010-2013 (NMTPF): ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Peru/Status/PeruCPF2010_2013.pdf Country Office Work Planning Guidelines: 2010-11 Biennium (India pilot), (August 2010) 2009-12 NMTPF INDIA(2009): https://coin.fao.org/cms/media/4/12725205349410/nmtpf_final.pdf Country Work Plan for India: Strategic Evaluation of FAO Country Programming – Final Report, 12 July 2010: http://www.fao.org/pbe/pbee/common/ecq/369/en/countryprogeval.pdf
		2. More than half of the country strategies sampled identify (at least briefly mention) all of the key cross-cutting themes for the organisation being assessed	Not Met AS ABOVE
		3. (If first criterion is met) more than half of country strategies sampled identify results that integrate at least two of the issues / themes, as relevant	Met AS ABOVE
		4. (If first criterion is met) more than half of country strategies sampled describe strategies & approaches to address or apply the issue / theme (in other words, there is evidence that the MO is trying to implement its strategic focus on the cross-cutting issue in its programming at the country level)	Not Met AS ABOVE
		5. (If first criterion is met) more than half of country strategies sampled contain reference to international agreements, treaties & conventions governing the theme / issue (when applicable)	Not Met AS ABOVE
OVERALL SCORE MI 4.6		Inadequate	

QUADRANT II – OPERATIONAL MANAGEMENT

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
KPI 5 Aid Allocation Decisions			
MI 5.1	The MO's criteria for allocating funding are publicly available.	1. A system for allocating resources exists. The system covers the majority of the resources that are allocated to LDCs.	Met <ul style="list-style-type: none">Strategic Planning and Resources: http://www.fao.org/about/17075-016d8534c06fc3e6f7fc518f07c12992.pdfStrategic Evaluation of FAO Country Programming – Final Report, 12 July 2010: http://www.fao.org/pbe/pbee/common/ecg/369/en/CountryProgEval.pdfTCP Manual - managing the decentralized technical cooperation programme: http://www.fao.org/tc/tcpMedium Term Plan 2010-13 (reviewed) and Programme of Work and Budget 2012-2013, Information Note 1. http://www.fao.org/docrep/meeting/022/ma061e_1.pdfImmediate Plan of Action for FAO renewal (2009-2011): ftp://ftp.fao.org/docrep/fao/meeting/014/k3644e.pdf
		2. (If first criterion is met) this model/formula is available in more than one language relevant to the MO.	Met <ul style="list-style-type: none">Strategic Planning and Resources: http://www.fao.org/about/17075-016d8534c06fc3e6f7fc518f07c12992.pdfProgramme of Work and Budget 2010-2011: http://www.fao.org/about/strategic-planning/en/Programme of Work and Budget 2012-2013: http://www.fao.org/pwb/pwb2010/en/TCP Manual - managing the decentralized technical cooperation programme: http://www.fao.org/tc/tcp
		3. (If first criterion is met) this model/formula is published on the MO web site.	Not met AS ABOVE
OVERALL SCORE MI 5.1A		Inadequate	Overall Comments: The information made publicly available by the FAO, in more than one language, reflects the intended plan for shifts in the allocation of resources. Although similar information is available for TCPs (which represent 5% of the organisation's funding), this is not easily accessible as it is only found in the TCP manual. The FAO has also indicated that it is developing a clearer resource allocation mechanism for un-earmarked voluntary contributions. This should be in place by the end of 2011. The organisation has therefore received a rating of inadequate as this is a work in progress and the information provides does not clearly indicate how resources are to be allocated to LDCs.
MI 5.4	Aid flows or planned resources	Very weak = Less than 20% of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	DNA

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
	(financial / technical co-operation, etc) are released according to agreed schedules (in-year).	Weak = Between 20% and 30% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	DNA
		Inadequate = Between 31% and 50% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	DNA
		Adequate = Between 51% and 70% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	DNA
		Strong = Between 71% and 80% (inclusively) of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	DNA
		Very strong = More than 80% of MO's aid flows are released according to agreed schedules in annual or multiyear frameworks.	DNA
OVERALL SCORE MI 5.4		DNA	Overall comments: Although the FAO provided responses to the donor questionnaire for 12 countries participating in the Paris Declaration Monitoring survey, the indicator also draws on data from the government questionnaire, which is not available.
KPI 6 LINKING AID MANAGEMENT TO PERFORMANCE			
MI 6.1	Aid budget allocations are linked to expected development results	1. In the most recent annual or multi-year organisation-wide budget, an attempt has been made to present budget information in a results-oriented way.	Met <ul style="list-style-type: none">Programme of Work and Budget 2012-2013: http://www.fao.org/pwb/pwb2010/en/
		2. Some outputs costs and/or outcomes costs from the DRF and MRF are presented in the budget document.	Met <ul style="list-style-type: none">As above
		3. Most outputs costs and/or outcomes costs in the DRF and MRF are presented in the budget document.	Met <ul style="list-style-type: none">As above

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		4. There is evidence of improvement of outputs and outcomes costing over time in budget documents reviewed (evidence of building a better system).	Met AS ABOVE
		5. There is evidence (from evaluations or audits conducted in this area) of a system that allows the organisation to track costs from activity through to outcome.	Met <ul style="list-style-type: none"> Audited Accounts – FAO 2008-2009. Part B – Report of the External Auditor. Rome 25, June – 2 July 2011: http://www.fao.org/docrep/meeting/020/k9714e.pdf 2008-2009 Audited Accounts. Food and Agricultural Organization of the United Nations: http://www.fao.org/docrep/meeting/020/k8685e.pdf FAO the Challenge of Renewal. Report of the Independent External Evaluation of the Food and Agricultural Organization of the United Nations (FAO), September 2007): ftp://ftp.fao.org/docrep/fao/meeting/012/k0827e02.pdf
OVERALL SCORE MI 6.1		Adequate¹⁸	Overall comments: The assessment of the criteria is based on the Programme of Work and Budget 2012-2013, which shows positive direction in results-based budgeting. It is unclear, however, whether this is currently guiding practice, and whether systems are in place to support results-based budgeting. As a result, the FAO received a rating of adequate.
MI 6.2	Aid disbursements are linked to reported results	1. The most recent annual financial report shows financial amounts aligned with achieved results (i.e., the report shows how much was spent to achieve each result).	Met <ul style="list-style-type: none"> 2008-2009 Audited Accounts. Food and Agricultural Organization of the United Nations: http://www.fao.org/docrep/meeting/020/k8685e.pdf Programme Implementation Report 2008-2009 : http://www.fao.org/docrep/meeting/019/k8460e.pdf
		2. In the most recent annual financial report, statements of results achieved are aligned with expected results described in the organisation-wide strategic plan.	Met AS ABOVE
		3. In the most recent annual financial report, operational expenditure variances and variances in results achievement (i.e. differences between planned and actual operational expenditures and between planned and actual results achievements) are reported.	Not met AS ABOVE

¹⁸ For a further explanation, see Appendix 1: Methodology (Section 3.4: Document Analysis – Document review ratings).

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		4. (If the third criterion is met) In the most recent annual financial report, operational expenditure variances and variances in results achievement (i.e. differences between planned and actual operational expenditures and between planned and actual results achievements) are explained.	Not met AS ABOVE
		5. There is evidence of improvement over time in financial reports reviewed.	Not met <ul style="list-style-type: none"> Audited Accounts – FAO 2008-2009. Part B – Report of the External Auditor. Rome 25, June – 2 July 2011: http://www.fao.org/docrep/meeting/020/k9714e.pdf 2008-2009 Audited Accounts. Food and Agricultural Organization of the United Nations: http://www.fao.org/docrep/meeting/020/k8685e.pdf
OVERALL SCORE MI 6.2		Inadequate	The Mid-term Review Synthesis Report focuses on variances associated with operational expenditure and to a lesser extent, result achievement. For purposes of the document review, however, this publication cannot be classified as an annual financial report. As a result it is not possible to provide a higher rating for this MI.
MI 7.1	Financial audits meeting recognised international standards are performed across the organisation (External or UN Board of Auditors).	1. The MO has annual organisation-wide external audit reports. (In the case of some UN organisations, the schedule for external audit may be determined by the Board of Auditors; therefore the requirement of “annual” may not apply.)	Met <ul style="list-style-type: none"> 2008-2009 Audited Accounts. Food and Agricultural Organization of the United Nations: http://www.fao.org/docrep/meeting/020/k8685e.pdf Audited Accounts – FAO 2008-2009. Part B – Report of the External Auditor. Rome 25, June – 2 July 2011: http://www.fao.org/docrep/meeting/020/k9714e.pdf 2006-2007 Audited Accounts. Food and Agricultural Organization of the United Nations: ftp://ftp.fao.org/docrep/fao/meeting/014/k2956e.pdf 2004-2005 Audited Accounts. Food and Agricultural Organization of the United Nations: ftp://ftp.fao.org/docrep/fao/meeting/011/j7962e.pdf
		2. (If first criterion is met) the most recent external audit report reviewed is accompanied by a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level. (Or the report and/or audit opinion comes from the Board of Auditors, in case of some of the UN agencies.)	Met <ul style="list-style-type: none"> 2008-2009 Audited Accounts. Food and Agricultural Organization of the United Nations: http://www.fao.org/docrep/meeting/020/k8685e.pdf Audited Accounts – FAO 2008-2009. Part B – Report of the External Auditor. Rome 25, June – 2 July 2011: http://www.fao.org/docrep/meeting/020/k9714e.pdf

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		3. (If first two criteria are met) the letter from the external auditor confirms that the external financial audit was undertaken in adherence to international standards (GAAP or equivalent). (In case of UN Agencies audited by BOA, the audits are carried out using international standards.)	Met AS ABOVE
		4. (If first criterion is met) <i>all</i> annual financial audit reports reviewed are accompanied by a letter from an external auditor confirming an external financial audit was undertaken at the organisation-wide level. (Or the report /audit opinion comes from the Board of Auditors, in case of the UN agencies)	Met AS ABOVE
		5. (If criterion 4 is met) in <i>all</i> external financial audit reports reviewed, the letter from the external auditor confirms that the external financial audit was undertaken in adherence to international standards (GAAP or equivalent). (Or the report /audit opinion comes from the Board of Auditors, in case of the UN agencies)	Met AS ABOVE
OVERALL SCORE MI 7.1		very strong	
MI 7.2	Financial audits meeting recognised international standards are performed at the regional, country or project level (as appropriate)	1. The suite of documents available provide evidence that audits are performed at regional, country, or project levels (as appropriate)	Met • Audited Accounts – FAO 2008-2009. Part B – Report of the External Auditor. Rome 25, June – 2 July 2011: HTTP://WWW.FAO.ORG/DOCREP/MEETING/020/k9714e.PDF
		2. There are established rules/procedures for the conduct of audits in the organisation.	Met • External Audit (FAO Basic Texts Part C Financial Regulations – Regulation XII): http://www.fao.org/DOCREP/003/X8700E/x8700e03.htm#12 • Additional Terms of Reference Governing External Audit (FAO Basic Texts Part C Financial Regulations Annex I): HTTP://WWW.FAO.ORG/DOCREP/003/X8700E/x87003.HTM#16

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		3. The rules/procedures ensure ample audit coverage of the organisation's programs and operations.	Met <ul style="list-style-type: none">External Audit (FAO Basic Texts Part C Financial Regulations – Regulation XII): http://www.fao.org/DOCREP/003/X8700E/x8700e03.htm#12Additional Terms of Reference Governing External Audit (FAO Basic Texts Part C Financial Regulations Annex I): HTTP://WWW.FAO.ORG/DOCREP/003/X8700E/x87003.HTM#16
		4. The evidence also indicates that the audits will be carried out using international standards, or provides an indication that the MO will be using national audit systems and procedures.	Met <ul style="list-style-type: none">External Audit (FAO Basic Texts Part C Financial Regulations – Regulation XII): http://www.fao.org/DOCREP/003/X8700E/x8700e03.htm#12
		5. (External financial audit reports at country/project/regional level are made available to the public by the MO.	Met <ul style="list-style-type: none">2008-2009 Audited Accounts. Food and Agricultural Organization of the United Nations: http://www.fao.org/docrep/meeting/020/k8685e.pdfAudited Accounts – FAO 2008-2009. Part B – Report of the External Auditor. Rome 25, June – 2 July 2011: http://www.fao.org/docrep/meeting/020/k9714e.pdf2006-2007 Audited Accounts. Food and Agricultural Organization of the United Nations: ftp://ftp.fao.org/docrep/fao/meeting/014/k2956e.pdf2004-2005 Audited Accounts. Food and Agricultural Organization of the United Nations: FTP://FTP.FAO.ORG/DOCREP/FAO/MEETING/011/J7962E.PDF
OVERALL SCORE MI 7.2		very strong	
MI 7.3	The MO has a policy on anti-corruption	1. Guidelines, policy or a framework on anti-corruption are corporately approved (in other words, not in draft form).	Met <ul style="list-style-type: none">Standards of Conduct for the International Civil Service:http://icsc.un.org/resources/pdfs/general/standardse.pdfPolicy on Fraud and Improper Use of the Organization's Resources: http://www.fao.org/aud/25994-078263e1dcbac54f8c52e554c17840785.pdfAdditional Terms of Reference Governing External Audit (FAO Basic Texts Part C Financial Regulations Annex I): HTTP://WWW.FAO.ORG/DOCREP/003/X8700E/x87003.HTM#16

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		2. (If first criterion is met) the document includes operational policy measures which pro-actively support solutions to counter corruption at the local level (e.g. training, incentive and reward structures for staff, complaint and advocacy mechanisms, whistle blowing mechanisms, etc.).	Met <ul style="list-style-type: none"> Policy on Fraud and Improper Use of the Organization's Resources: http://www.fao.org/aud/25994-078263e1dcbac54f8c52e554c17840785.pdf Charter for the Office of the Inspector General: HTTP://WWW.FAO.ORG/AUD/27227-012b7FBD54A30791D42310A44A07D2AD8.PDF
		3. (If first criterion is met) the policy commits the organisation to design and manage programs and services which are compliant with preventing and combating fraud and corruption.	Met <ul style="list-style-type: none"> Policy on Fraud and Improper Use of the Organization's Resources: http://www.fao.org/aud/25994-078263e1dcbac54f8c52e554c17840785.pdf
		4. (If first criterion is met) the policy defines the roles, responsibilities and accountabilities of Management, Staff and Experts / Specialists in implementing & complying with the policy.	Met <ul style="list-style-type: none"> Standards of Conduct for the International Civil Service: http://icsc.un.org/resources/pdfs/general/standardse.pdf External Audit (FAO Basic Texts Part C Financial Regulations – Regulation XI: http://www.fao.org/DOCREP/003/X8700E/x8700e03.htm#11
		5. (If first criterion is met) the policy commits the organisation to review its activities on combating fraud and corruption or there is other evidence that the organisation has reviewed its policy and/or practice in this area.	Met <ul style="list-style-type: none"> Standards of Conduct for the International Civil Service: http://icsc.un.org/resources/pdfs/general/standardse.pdf
		OR, if the first criterion is NOT met: 6. At least one policy on anti-corruption exists at the country, regional or other level (it could also be a policy on fraud, which is one type of corruption).	Met
		7. (If the sixth criterion met) at least one policy meets criteria 2 through 5, above.	
OVERALL SCORE MI 7.3		VERY STRONG	

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
MI 7.4	Systems are in place for immediate measures against irregularities identified in financial audits at the country (or other) level	1. There is a policy on financial audit that refers to measures to be taken against irregularities.	Met <ul style="list-style-type: none"> The Office of the Inspector General – Frequently Asked Questions: http://www.fao.org/aud/faqs.html Charter for the Office of the Inspector General: http://www.fao.org/aud/27227-012b7fbd54a30791d42310a44a07d2ad8.pdf Audited Accounts – FAO 2008-2009. Part B – Report of the External Auditor. Rome 25, June – 2 July 2011: http://www.fao.org/docrep/meeting/020/k9714e.pdf
		2. Management guidelines or rules support the policy and describe the procedure for a response to irregularities identified during an external financial audit.	Not met AS ABOVE
		3. (If second criterion is met) these guidelines set timelines for the response to irregularities identified during an external financial audit (in other words, the managers have to respond to audit findings within a certain period of time).	Not met AS ABOVE
		4. There is evidence (in audit reports to the Board or other documents) that audit recommendations are in fact followed up by management.	Met <ul style="list-style-type: none"> Office of the Inspector General, Annual Report 2010: http://www.fao.org/aud/26070-0e03960edfd407c381dd54d493d76e9fb.pdf
		5. Major or systemic irregularities are reported to the board/governing body, as appropriate.	Met <ul style="list-style-type: none"> Charter for the Office of the Inspector General: http://www.fao.org/aud/27227-012b7fbd54a30791d42310a44a07d2ad8.pdf
		OVERALL SCORE MI 7.4	ADEQUATE
MI 7.5	Internal financial audit processes are used to provide management / governing bodies with objective information	1. <i>There is evidence (in a suite of documents) of practice of internal financial audits in the organisation.</i>	Met <ul style="list-style-type: none"> Charter for the Office of the Inspector General: http://www.fao.org/aud/27227-012b7fbd54a30791d42310a44a07d2ad8.pdf External Audit (FAO Basic Texts Part C Financial Regulations – Regulation XII): HTTP://WWW.FAO.ORG/DOCREP/003/X8700E/x8700E03.HTM#12
		2. (If the first criterion is met) an organisation-wide guideline/policy for the practice of internal financial audits exists and is corporately approved.	Met AS ABOVE

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		3. (If first criterion is met) there is evidence in these documents that the internal audit function is separate from the programming areas, enabling it to provide an “independent” audit opinion (it reports to the CEO of the MO or to Finance VP). The key is that internal auditors are not influenced by the programs they are auditing.	Met AS ABOVE
		4. There is evidence in these documents that the internal audit function reports directly to the Executive Board, thus providing maximum assurance of its independence from programming.	Met <ul style="list-style-type: none"> • Charter for the Office of the Inspector General: http://www.fao.org/aud/27227-012b7fbd54a30791d42310a44a07d2ad8.pdf • Guidelines for Internal Administrative Investigations by the Office of the Inspector General: http://www.fao.org/aud/25620-0a0e90621d4a45967ca63ad30b23c98b8.pdf • External Audit (FAO Basic Texts Part C Financial Regulations – Regulation XII): HTTP://WWW.FAO.ORG/DOCREP/003/X8700E/x8700E03.HTM#12
		5. Reports available from the Audit Committee (or equivalent) of the Executive Board confirm receipt of internal audit information.	Met <ul style="list-style-type: none"> • Charter for the Office of the Inspector General: http://www.fao.org/aud/27227-012b7fbd54a30791d42310a44a07d2ad8.pdf
OVERALL SCORE MI 7.5		VERY STRONG	
MI 7.6	The MO's procurement and contract management processes for the provision of services or goods are usually effective.	1. There is an organisation-wide policy, guidelines or instructions on procurement and contract management processes.	Met <ul style="list-style-type: none"> • Doing Business with FAO: http://www.fao.org/unfao/procurement/general-information/en/ • FAO Procurement: http://www.fao.org/unfao/procurement/travailleraaveclafao/en/ • FAO General Terms & Conditions to Procurement Contracts: http://www.ungm.org/Publications/Public/FAO/GENERAL_TERMS_CONDITIONS_FAO_PROCUREMENT_CONTRACTS.pdf • UN Supplier Code of Conduct: HTTP://WWW.UN.ORG/DEPTS/PTD/PDF/CONDUCT_ENGLISH.PDF
		2. (If the first criterion has been met) This/these document(s) explicitly sets targets or requirements with respect to the timeliness of these processes.	Met <ul style="list-style-type: none"> • Procurement guidelines for tender preparation, evaluation and award of contract: http://www.fao.org/docrep/012/i1531e/i1531e04.pdf

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		3. (If the first criterion is met) This/these document(s) establishes requirements for the efficiency and effectiveness of these processes.	Met <ul style="list-style-type: none">Doing Business with FAO: http://www.fao.org/unfao/procurement/general-information/en/FAO Procurement: http://www.fao.org/unfao/procurement/travailleraaveclafao/en/FAO General Terms & Conditions to Procurement Contracts: http://www.ungm.org/Publications/Public/FAO/GENERAL_TERMS_CONDITIONS_FAO PROCUREMENT CONTRACTS.pdfUN Supplier Code of Conduct: HTTP://WWW.UN.ORG/DEPTS/PTD/PDF/CONDUCT_ENGLISH.PDF
		4. An audit, evaluation or other review has been undertaken, at the country, regional or organisation-wide level, that examined the timeliness, efficiency and/or effectiveness of the MO's procurement and contract management processes, and found that these are satisfactory.	Not Met <ul style="list-style-type: none">Audited Accounts – FAO 2008-2009. Part B – Report of the External Auditor. Rome 25, June – 2 July 2011: http://www.fao.org/docrep/meeting/020/k9714e.pdfFAO The Challenge of Renewal. Report of the Independent External Evaluation of the Food and Agricultural Organization of the United Nations (FAO), September 2007): ftp://ftp.fao.org/docrep/fao/meeting/012/k0827e02.pdf
		5. There is other documentary evidence that the MO has functioning procurement and contract management systems in place.	Met <ul style="list-style-type: none">Procurement guidelines for tender preparation, evaluation and award of contact: http://www.fao.org/docrep/012/i1531e/i1531e04.pdfFAO e-tendering: HTTPS://UNGM.IN-TEND.CO.UK/FAO/
OVERALL SCORE MI 7.6		STRONG	
MI 7.7	An organisation-wide policy, strategy, framework or guideliones 9or a suite of documents) on risk management is corporately approved	1. An organisation-wide policy, strategy, framework or guidelines (or a suite of documents) on risk management is corporately approved.	Met <ul style="list-style-type: none">Disaster Risk Management Systems Analysis: ftp://ftp.fao.org/docrep/fao/010/ai504e/ai504e00.pdfThe Codex Procedural Manual: ftp://ftp.fao.org/codex/Publications/ProcManuals/Manual_19e.pdfAssistance to Improve Local Agricultural Emergency Preparedness in Caribbean Countries Highly Prone to Hurricane Related Disasters: http://www.fao.org/fileadmin/templates/tc/tce/pdf/Jamaica_GoodPracticesHRM.pdfRisk Management as a Pillar in Agriculture and Food Security Policies – India Case Study – Policy Brief: http://www.fao.org/docs/up/easypol/764/risk_mngmnt_pllrfs_policy_indiacs_209en.pdf

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		2. (If first criterion is met) this document follows international standards on managing risk, including a description of roles and responsibilities of key actors.	Met AS ABOVE
		3. (If first criterion is met) this document applies to country, regional and corporate activities. In other words, risk analysis is undertaken as appropriate at these different levels.	Met AS ABOVE
		4. (If first criterion is met) Major risk analysis (significant programs, projects, etc) is presented to the Board.	Not met AS ABOVE
		5. (If first criterion is met) Management and/or Board documents demonstrate utilisation of risk management policy and procedures.	Met <ul style="list-style-type: none"> Disaster Risk Management in Food and Agriculture: ftp://ftp.fao.org/docrep/fao/012/i0772e/i0772e00.pdf Risk Management as a Pillar in Agriculture and Food Security Policies – India Case Study – Policy Brief: HTTP://WWW.FAO.ORG/DOCS/UP/EASYPOL/764/RISK_MNGMNT_PLLRFS_POLICY_INDIACS_209EN.PDF
OVERALL SCORE MI 7.7		ADEQUATE¹⁹	Overall Comments: According to the 2010 Mid-term Review, the FAO is in the midst of “piloting” an approach to Enterprise Risk Management (ERM). As a result, a higher rating for this MI was not possible.
KPI 8 Using Performance information			

¹⁹ For a further explanation, see Appendix1: Methodology (Section 3.4: Document Analysis – Document review ratings).

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
MI 8.1	Revising and adjusting policies	1. Information on organisation-wide performance (i.e., progress towards outcomes) is available, for instance in annual performance reports, or from an organisation-wide evaluation.	Met <ul style="list-style-type: none"> Immediate Plan of Action for FAO renewal (2009-2011): ftp://ftp.fao.org/docrep/fao/meeting/014/k3644e.pdf Immediate Plan of Action Progress Report (April 2011): http://www.fao.org/docrep/meeting/021/ma666e.pdf Status of Implementation of Council Decisions(140ths session :nov-dec2010) Apr.2011: http://www.fao.org/docrep/meeting/021/ma735e.pdf Explanation of Resource Shifts between and within Strategic and Functional Objectives (Apr.2011): http://www.fao.org/fileadmin/user_upload/bodies/Conference_2011/C2011-3-InfNote1e.pdf Programme Implementation Report 2008-2009: http://www.fao.org/docrep/meeting/019/k8460e.pdf Medium Term Plan 2010-2013 and Programme of Work and Budget 2010-2011: ftp://ftp.fao.org/docrep/fao/meeting/017/k5831e.pdf Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): http://www.fao.org/docrep/meeting/021/ma403e.pdf Medium Term Plan 2010-13 (reviewed) and Programme of Work and Budget 2012-2013 : http://www.fao.org/docrep/meeting/021/ma061e.pdf Reviewed results framework (with track changes of revisions made): http://www.fao.org/docrep/meeting/021/ma061e02.pdf Strategic Evaluation of FAO Country programming (with special attention to implementation of the National Medium Priority Framework planning tool) - Jul 2010: http://www.fao.org/docrep/meeting/019/k8684e.pdf Evaluation in FAO: http://www.fao.org/pbe/pbee/en/docrep/index.html Council Multi-year Programme of Work 2010-13 (Apr.2011): http://www.fao.org/docrep/meeting/021/K9925E.pdf MTP 2010-13 (Reviewed) and PWB 2012-13 - Additional information on Functional Objective X – Effective Collaboration with Member States and Stakeholders: http://www.fao.org/fileadmin/user_upload/bodies/Conference_2011/C2011-3-InfNote2e.pdf
		2. (If first criterion is met) There is evidence that the MO analyses its performance.	Met AS ABOVE
		3. (If the first two criteria are met) There is evidence that the MO is doing something to respond to the <i>specific</i> performance problems.	Met AS ABOVE

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		4. (If the first two criteria are met) there is evidence that the MO revises and adjusts its larger programming and policies in response to performance issues (problems and successes).	Met <ul style="list-style-type: none"> • Medium Term Plan 2010-2013 and Programme of Work and Budget 2010-2011: ftp://ftp.fao.org/docrep/fao/meeting/017/k5831e.pdf • Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): http://www.fao.org/docrep/meeting/021/ma403e.pdf • Medium Term Plan 2010-13 (reviewed) and Programme of Work and Budget 2012-2013: http://www.fao.org/docrep/meeting/021/ma061e.pdf • MTP 2010-13 (Reviewed) and PWB 2012-13 - Additional information on Functional Objective X – Effective Collaboration with Member States and Stakeholders: http://www.fao.org/fileadmin/user_upload/bodies/Conference_2011/C2011-3-InfNote2e.pdf • Reviewed results framework (with track changes of revisions made): http://www.fao.org/docrep/meeting/021/ma061e02.pdf • Explanation of Resource Shifts between and within Strategic and Functional Objectives (Apr.2011): http://www.fao.org/fileadmin/user_upload/bodies/Conference_2011/C2011-3-InfNote1e.pdf
		5. (If criterion 4 is met) There is evidence that the MO implements the revisions and adjustments to its programming and policies in response to any performance issues identified.	Met <ul style="list-style-type: none"> • Medium Term Plan 2010-13 (reviewed) and Programme of Work and Budget 2012-2013: http://www.fao.org/docrep/meeting/021/ma061e.pdf • Immediate Plan of Action Progress Report (April 2011); http://www.fao.org/docrep/meeting/021/ma666e.pdf
OVERALL SCORE MI 8.1		STRONG	Overall Comments: Medium Term Reviews and Country Plan Monitoring have recently been included in the organisation's new results-based work planning, monitoring and reporting system. The organisation therefore received a rating of strong on this MI.
MI 8.2	Planning new interventions	1. Information on the MO's performance in the country (i.e., progress towards outcomes) is available, for instance in annual country performance reports or in country planning documents (describing results from the previous cycle).	Not met <ul style="list-style-type: none"> • Results-based Monitoring and Reporting System Guidelines: 2010-2011 biennium (december2010) • FAO's effectiveness at country level: a synthesis of evaluations in large, rapidly-developing countries (India and Brazil): http://www.fao.org/fileadmin/user_upload/bodies/Progr_Comm/PC_106-documents/PC1066EvaluationBrazilIndia-compiledMA114E.pdf • FAO's effectiveness at country level: a synthesis of evaluations in large, rapidly-developing countries (India and Brazil) - Management Response: http://www.fao.org/fileadmin/user_upload/bodies/Progr_Comm/PC_106-documents/PC106-6EvaluationBrazilIndia-compiledMA114E.pdf • Evaluation of FAO cooperation with Brazil 2002-2010

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
			<ul style="list-style-type: none"> Management Response to the Evaluation of FAO Cooperation with Brazil in the period 2002 – 2010: http://www.fao.org/pbe/pbee/common/ecg/394/en/Eval_FAO_Brazil_Management_Response.pdf <p><u>Regional Work plans</u></p> <ul style="list-style-type: none"> Implementation of the Programme of Work and Budget 2010-11 and priority action areas for the Region for the following biennium: http://www.fao.org/docrep/meeting/018/k7627E.pdf Report on FAO activities (2008–2009) in the Region and actions taken on the main recommendations of the 30th FAO Regional Conference for Latin America and the Caribbean: http://www.fao.org/docrep/meeting/018/k7950e.pdf Matters arising from the World Summit on Food Security and the 36th Session of the FAO Conference, notably implementation of the Immediate Plan of Action (IPA), including the decentralized offices network: http://www.fao.org/docrep/meeting/018/k7477E.pdf Global and regional emergency issues: Risk management and reactions to emergencies in the agricultural, forestry and fisheries sectors in Latin America and the Caribbean: http://www.fao.org/docrep/meeting/018/k7808E.pdf Implementation of the Programme of Work and Budget 2010-11 and Areas of Priority Actions for the Africa Region in the following biennium: http://www.fao.org/docrep/meeting/018/k7776e.pdf Report on FAO Activities in the Region (2008-09) and actions taken on the main recommendations of the 25th FAO Regional Conference for Africa: http://www.fao.org/docrep/meeting/018/k7775e.pdf Matters arising from the World Summit on Food Security and the 36th Session of FAO Conference, notably Implementation of the Immediate Plan of Action (IPA), including the Decentralized Offices Network: http://www.fao.org/docrep/meeting/018/k7663E.pdf FAO regional priority framework for Asia and the Pacific (2010-2019): towards food security in the region Oct 2010): http://www.fao.org/docrep/meeting/019/k8736e.pdf Report on fao activities in asia and the pacific region in the biennium 2008-09 and actions taken on the main recommendations of the 29th regional conference for asia and the pacific: http://www.fao.org/docrep/meeting/019/k8774e.pdf experiences and policy lessons from the region in dealing with the global food and financial crises: http://www.fao.org/docrep/meeting/019/k8648e.pdf Matters arising from the World Summit on Food Security and the 36th Session of the FAO Conference, notably implementation of the Immediate Plan of Action (IPA), including the Decentralized Offices Network: http://www.fao.org/docrep/meeting/019/k9322e.pdf <p><u>Country evaluations:</u></p> <ul style="list-style-type: none"> Strategic Evaluation of FAO country programming (with special attention to implementation

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
			<p>of the National Medium Term Priority Framework planning tool) – (oct 2010): http://www.fao.org/docrep/meeting/019/k8684e.pdf</p> <p><u>Country NMTPFs:</u></p> <ul style="list-style-type: none"> • FAO Policy Support – Country Programming Framework: http://www.fao.org/tc/policy-support/types-of-support/country-programming-framework/zh/ • Towards a Food Secure Bangladesh: National Medium-Term Priority Framework (NMTPF) of Bangladesh 2010-2015: ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Bangladesh/Status/BgdCPF201015.pdf • Tanzania National Medium-term priority framework 2006-2010 (NMTPF): ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Tanzania/Status/nmtpf%20feb.pdf • Burundi: Cadre National Stratégique des Priorités d'Intervention à Moyen Terme de la FAO au Burundi 2010 – 2014 (NMTPF) : ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Burundi/Status/Microsoft%20Word%20-%20NMTPF_version-OCTOBRE-23%20_2_.pdf • Bolivia: Marco Nacional De Prioridades Para La Asistencia Tecnica De La Fao Bolivia 2010-2014 (NMTPF): http://coin.fao.org/cms/media/4/12711087666900/nmtpfbolivia.pdf • Brazil: NMTPF presentation oct 2007: ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Brazil/Process/Tubino_-_HQs_NMTPF_PRESENTATION_OCT_2007.pdf • <u>FTP://FTP.FAO.ORG/TC/TCA/NMTPF/COUNTRY%20NMTPF/BRAZIL/</u> • Ecuador: Marco Nacional De Prioridades Para La Asistencia Tecnica De La Fao 2009-2012: ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Ecuador/NMTPF%20Status/MARCO_DE_PRIORIDADES%202009-2012.pdf • National Medium-Term Priority Framework (NMTPF, CPF) Country Programming Framework 2010-11 2014-15 Nepal: ftp://193.43.36.44/TC/TCA/NMTPF/Country%20NMTPF/Argentina/Status/CPFNepal2ndDraftSept10.pdf • Peru: Marco Nacional De Prioridades Para La Asistencia Tecnica De La Fao Peru 2010-2013 (NMTPF): ftp://ftp.fao.org/TC/TCA/NMTPF/Country%20NMTPF/Peru/Status/PeruCPF2010_2013.pdf • Country Office Work Planning Guidelines: 2010-11 Biennium (pilot), (August 2010): ..Docs sent June 16th\COWP Guidelines.pdf • 2009-12 NMTPF INDIA(2009): https://coin.fao.org/cms/media/4/12725205349410/nmtpf_final.pdf • Country Work Plan for India: • Strategic Evaluation of FAO Country Programming – Final Report, 12 July 2010: http://www.fao.org/pbe/pbee/common/ecg/369/en/countryprogeval.pdf

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		2. (If first criterion is met) for at least half of the countries, there is evidence of an analysis of performance (problems as well as successes).	Not met AS ABOVE
		3. (If second criterion is met) There is evidence of analysis of the implications of this performance information on planning new interventions (i.e., how new interventions in the planning stage need to be altered, or what new interventions should be developed in response to the performance information).	
		4. (If all above criteria are met) for at least half of the countries, there is evidence from country strategies or reports that new interventions have been introduced in response to the performance information.	Not met AS ABOVE
		5. (If all above criteria are met) all criteria met for all countries.	Not met AS ABOVE
	OVERALL SCORE MI 8.2	Very weak	Overall comments: The FAO is doing poorly in assessing progress made by countries towards organisational goals. This practice was established following the IEE (2007) but is not yet implemented. As this remains a work-in-progress and pilot studies have been launched, future assessments will be used to determine the FAO effectiveness in assessing results at the country-level.

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
MI 8.3	Proactive management of poorly performing programs, projects and/or initiatives	1. The MO has a process for reviewing the performance of its programs, projects or initiatives.	Met <ul style="list-style-type: none">Results-Based Work Planning, Monitoring and Reporting System (Apr. 2010): http://www.fao.org/unfao/govbodies/gsb-search/gsb-iframe/en/?dmurl=http%3A%2F%2Fwww.fao.org%2Funfao%2Fbodies%2Ffc%2Ffc132%2FIndex_en.htmResults-Based Work Planning, Monitoring and Reporting System (Oct.2010): http://www.fao.org/docrep/meeting/020/k9131e.pdfMedium Term Plan 2010-2013 and Programme of Work and Budget 2010-2011: ftp://ftp.fao.org/docrep/fao/meeting/017/k5831e.pdfMid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): http://www.fao.org/docrep/meeting/021/ma403e.pdfMedium Term Plan 2010-13 (reviewed) and Programme of Work and Budget 2012-2013 : http://www.fao.org/docrep/meeting/021/ma061e.pdfProgramme Implementation Report 2008-2009 : HTTP://WWW.FAO.ORG/DOCREP/MEETING/019/K8460E.PDF
		2. There is evidence that the MO is implementing this process.	Met AS ABOVE
		3. The MO has a specific process for reviewing poorly performing programs, projects or initiatives	Met AS ABOVE
		4. The MO has a way for following up on poorly performing programs, projects or initiatives.	Met AS ABOVE
		5. There is evidence that changes to poorly performing programs, projects or initiatives are being implemented.	Met AS ABOVE
OVERALL SCORE MI 8.3		Adequate ²⁰	Overall comments: In the MTR Synthesis Report (2010), the FAO indicates: “[the report] represents the organisation’s first experience with annual performance monitoring and reporting under the new results-based framework. As such, the format and content of this inaugural Report represents a work-in-progress”. However, results-based performance assessments remain a work in progress as they were introduced in 2010. A higher rating for this MI would be premature.

²⁰²⁰ For a further explanation, see Appendix 1: Methodology (Section 3.4: Document Analysis – Document review ratings).

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
MI 8.4	Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units	1. MO Evaluation Policy or guidelines include the requirement of a management response, action plan and/or agreement stating responsibilities and accountabilities for follow-up to evaluations (accepting recommendations).	Met <ul style="list-style-type: none"> Responsibilities and Procedures for Management Response and Follow-up Reporting on Evaluations: http://www.fao.org/pbe/pbee/common/ecg/284/en/Management_response_EN_October_2008.doc Auto-Evaluation Guidelines: http://www.fao.org/pbe/pbee/common/ecg/232/en/AutoEvaluationGuidelinesDRAFTJuly2007.pdf Approach to Major Evaluations in FAO of Strategies, Themes, Institutional Performance and Programmes: http://www.fao.org/pbe/pbee/common/ecg/231/en/Evaluation_final.doc Evaluation in FAO: Charter for the FAO Office of Evaluation: http://www.fao.org/pbe/pbee/common/ecg/318/en/Charter_Council_139_(3).pdf 2009 Programme Evaluation Report: ftp://ftp.fao.org/docrep/fao/meeting/018/k6197e.pdf
		2. MO Evaluation Policy outlines a process for follow-up to evaluations (approach to presenting and tracking the implementation of accepted recommendations).	Met <ul style="list-style-type: none"> Responsibilities and Procedures for Management Response and Follow-up Reporting on Evaluations: http://www.fao.org/pbe/pbee/common/ecg/284/en/Management_response_EN_October_2008.doc 2009 Programme Evaluation Report: ftp://ftp.fao.org/docrep/fao/meeting/018/k6197e.pdf
		3. There is evidence that the management response, action plan and/or agreement accepting recommendations are presented to the Executive Management (Head of the Organisation) and/or Governing Bodies (Executive Boards).	Met <ul style="list-style-type: none"> Charter for the FAO Office of Evaluation: http://www.fao.org/pbe/pbee/common/ecg/318/en/Charter_Council_139_(3).pdf Evaluation of FAO's Interventions Funded by the CentralE responseF (cerf) - Management Response: http://www.fao.org/fileadmin/user_upload/bodies/Progr_Comm/PC_106-documents/PC106-4Sup1CERF-MR-MA216E.pdf Programme Committee- Provisional Agenda , Oct 2010: http://www.fao.org/docrep/meeting/019/k8643e.pdf Programme Committee-Revised Provisional Agenda , March 2011: http://www.fao.org/docrep/meeting/021/k9998e.pdf Programme Committee Provisional Agenda - 16-17 May, 2011: http://www.fao.org/fileadmin/user_upload/bodies/Progr_Comm/PC_107-documents/PC107-1AgendaMA786E.pdf 2009 Programme Evaluation Report: ftp://ftp.fao.org/docrep/fao/meeting/018/k6197e.pdf

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		4. There is evidence of periodic reports on the status of the implementation of these evaluation recommendations accepted by management/governing body.	Met <ul style="list-style-type: none"> Multi-Year Programme of Work for the Committee (Feb. 2011): http://www.fao.org/docrep/meeting/021/k9990e.pdf Progress Report on Follow-up to Past Programme Committee Recommendations (Oct. 2010): http://www.fao.org/docrep/meeting/019/k8732e.pdf Progress Report on Follow-up to Past Programme Committee Recommendations (march 2011): http://www.fao.org/docrep/meeting/021/ma511e.pdf Immediate Plan of Action Progress Report (April 2011): http://www.fao.org/docrep/meeting/021/ma666e.pdf 2009 Programme Evaluation Report: ftp://ftp.fao.org/docrep/fao/meeting/018/k6197e.pdf
		5. There is evidence of a systematic process (regularly on the agenda of the <u>Executive Board</u> ; reports or presentations to Board illustrate regular tracking of follow up) for follow-up on the evaluation of the recommendations accepted by management/governing body.	Met <ul style="list-style-type: none"> Provisional Annotated Agenda (December 2010): http://www.fao.org/docrep/meeting/020/k8682e.pdf Report of the Council of FAO (December 2010): http://www.fao.org/docrep/meeting/021/K8990E.pdf Provisional Annotated Agenda(11-15 April 2011): http://www.fao.org/docrep/meeting/021/ma115e.pdf Report of the Council of FAO (April 2011): HTTP://WWW.FAO.ORG/DOCREP/MEETING/022/CL141E_REP.PDF 2009 Programme Evaluation Report: ftp://ftp.fao.org/docrep/fao/meeting/018/k6197e.pdf
OVERALL SCORE MI 8.4		ADEQUATE²¹	Overall Comments: 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. Although the FAO appears to be doing well in responding to evaluation recommendations, findings indicate that follow -up reporting has not yet become a systematic process.
KPI 9 MANAGING HUMAN RESOURCES			

²¹ For a further explanation, see Appendix 1: Methodology (Section 3.4: Document Analysis – Document review ratings).

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
MI 9.1	Results-focused performance assessment systems are in place for senior staff (Including Country Directors)	1. There is evidence in the suite of documents reviewed that a system is in place that requires performance assessments for at least some staff.	<p>Met</p> <ul style="list-style-type: none"> Performance Evaluation and Management System(PEMS) Guide Book Members Update – FAO renewal: PEMS process moves forward (Jul 2010): HTTP://WWW.FAO.ORG/UPLOADS/MEDIA/ISSUE_18_E.PDF Implementation of Corporate Human Resources Strategy 2010: HTTP://WWW.FAO.ORG/DOCREP/MEETING/020/k9233e.pdf Statistics on Human Resources (may 2008): ftp://ftp.fao.org/docrep/fao/meeting/013/k2624e.pdf Progress Report on FAO Administrative Resources Management Systems(may 2008): ftp://ftp.fao.org/docrep/fao/meeting/013/k2363e.pdf Progress Report on Implementation of Human Resources Management Strategy and Policy Framework October 2008: ftp://ftp.fao.org/docrep/fao/meeting/014/k3124e.pdf Progress Report on Implementation of Human Resources Management Strategy and Policy Framework (march 09): ftp://ftp.fao.org/docrep/fao/meeting/015/k4459e.pdf Implementation of Corporate Human Resources Strategy (Apr. 2010): HTTP://WWW.FAO.ORG/DOCREP/MEETING/018/k7568e.pdf Implementation of Corporate Human Resources Strategy (oct 2010): http://www.fao.org/docrep/meeting/020/k9233e.pdf Implementation of Corporate Human Resources Strategy (march 2011); HTTP://WWW.FAO.ORG/FILEADMIN/USER_UPLOAD/BODIES/FIN_COMM/DOCUMENTS_FC_138/EN/FC_138-9.PDF FAO and the UN Common System HR Management Issues (march 2011): HTTP://WWW.FAO.ORG/FILEADMIN/USER_UPLOAD/BODIES/FIN_COMM/DOCUMENTS_FC_138/EN/FC_138-10.PDF Proposed Amendment of Staff Regulation 301.11.1(Appeals Committee) (march 2011): HTTP://WWW.FAO.ORG/FILEADMIN/USER_UPLOAD/BODIES/FIN_COMM/DOCUMENTS_FC_138/EN/FC_138-23.PDF
		2. The evidence suggests that this applies to senior staff (e.g., president/CEO, vice presidents, sector/program/division directors, country representatives, country directors) and/or that it has a specific performance assessment system for senior staff.	<p>Met</p> <p>AS ABOVE</p> <p>Note: The PEMS applies equally to all eligible staff (i.e.`, all the way to the level of Deputy Director-General).</p>
		3. The system is fairly well described in the suite of documents provided, giving an understanding of the approach to creating performance assessments and the content of those assessments.	<p>Met</p> <p>AS ABOVE</p>

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		4. There is an explicit policy (HR or otherwise) that summarises all the aims and content of the performance assessment system for senior staff.	Met AS ABOVE
		5. (If the first two criteria are met) There is evidence of compliance with the performance assessment system. In other words, there are management indicators that pay attention to the application of the performance assessment system, or there are other sources – newsletters, reports etc—that comment on how many senior staff go through this system every year.	Not Met <ul style="list-style-type: none"> Implementation of Corporate Human Resources Strategy (Oct 2010): http://www.fao.org/docrep/meeting/020/k9233e.pdf Implementation of Corporate Human Resources Strategy (march 2011): http://www.fao.org/fileadmin/user_upload/bodies/Fin_Comm/Documents_FC_138/en/FC138-9.pdf Performance Evaluation and Management System (PEMS) Guide Book Members Update – FAO renewal: PEMS process moves forward (Jul 2010): HTTP://WWW.FAO.ORG/UPLOADS/MEDIA/ISSUE_18_E.PDF
OVERALL SCORE MI 9.1		ADEQUATE²²	Overall comments: In 2010 the FAO launched a new approach to HRM which is still a work in progress. The recently designed Programme Evaluation and Management System (PEMS) is in its second pilot year and has not yet been connected to administrative actions. Part of the recently adopted HRM strategies, (i.e., a Rewards and Recognition strategy) is currently under development. The FAO has therefore received a rating of adequate
MI 9.2	There is a transparent incentive and reward system for staff performance	1. There is evidence (either in a HR policy or through a suite of documents) that the MO has a system for managing staff performance (see 9.1) that is operational.	Met <ul style="list-style-type: none"> Implementation of Corporate Human Resources Strategy (Oct 2010): http://www.fao.org/docrep/meeting/020/k9233e.pdf Implementation of Corporate Human Resources Strategy (march 2011): http://www.fao.org/fileadmin/user_upload/bodies/Fin_Comm/Documents_FC_138/en/FC138-9.pdf Implementation of Corporate Human Resources Strategy 2010: http://www.fao.org/docrep/meeting/020/k9233e.pdf PEMS: http://www.fao.org/docrep/012/i1458e/i1458e00.pdf Performance Evaluation and Management System (PEMS) Guide Book

²² For a further explanation, see Appendix 1: Methodology (Section 3.4: Document Analysis – Document review ratings).

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		2. There is evidence that the organisation is making efforts to better link the assessment of staff performance with incentives and/or rewards (is it looking at this issue at all – for example, has it set up a working group, is it reviewing its policy to better address this, is it seeking data from partner agencies or other organisations, etc).	Met AS ABOVE
		3. There is an explicit effort to explain how performance of staff relates to promotion (advancing from one grade to the next).	Not met AS ABOVE
		4. There is an explicit mention of the relationship between staff performance and rewards.	Not met
		5. There is a review or evaluation that comments positively on the performance management system and MO transparency in HR decisions, specifically with regards to incentives and rewards.	Not met <ul style="list-style-type: none"> Report of the Independent External Evaluation (IEE) of the Food and Agriculture Organization of the United Nations (FAO): ftp://ftp.fao.org/docrep/fao/meeting/012/k0827e02.pdf Report of the IEE of the Food and Agriculture Organization of the United Nations - management response “in-principle”: ftp://ftp.fao.org/docrep/fao/meeting/012/k0970e.pdf
OVERALL SCORE MI 9.2		INADEQUATE	Overall Comments: a “Rewards and Recognition strategy” is currently under development and has not been included in the PEMS yet
KPI 10 PERFORMANCE ORIENTED PROGRAMMING			
MI 10.1	Prior to approval new initiatives are subject to	1. There is a policy that requires benefits analysis for new programs/projects/initiatives.	Not met <ul style="list-style-type: none"> TCP Manual - managing the decentralized technical cooperation programme: http://www.fao.org/tc/tcp 2007 SPD (Standard Project Document) guidelines

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
	benefits/impact analysis (economic, social, etc)	2. There are guidelines for staff on the types of analysis to be carried out.	Met <ul style="list-style-type: none">TCP Manual - managing the decentralized technical cooperation programme: http://www.fao.org/tc/tcp2007 SPD (Standard Project Document) guidelineschapter no.1: management of TCP idea (march 2011): http://www.fao.org/tc/tcp/pdf/tcpstepbystepinstructions-chapt%20n1-tcp%20idea.pdfchapter no.2: change of project status: http://www.fao.org/tc/tcp/pdf/tcpstepbystepinstructions-chapt%20n2-change%20of%20status.pdfchapter no.3: creation and submission of project budget: http://www.fao.org/tc/tcp/pdf/tcpstepbystepinstructions-chapt%20n3-project%20budget.pdfchapter no.4: budget revision : http://www.fao.org/tc/tcp/pdf/tcpstepbystepinstructions-chapt%20n4-budget%20revision.pdfchapter no.5: TCP facility: HTTP://WWW.FAO.ORG/TC/TCP/PDF/TCPSTEPBYSTEPINSTRUCTIONS-CHAPT%20N5-TCP%20FACILITY.PDF
		3. There is evidence that the MO's staff are informed about and trained on the guidelines.	Met <ul style="list-style-type: none">2007 SPD (Standard Project Document) guidelinesTCP Resources:<ul style="list-style-type: none">http://www.fao.org/tc/tcp/resources_en.aspProgress on the Implementation of the Technical Cooperation Programme (Oct. 2010): http://www.fao.org/docrep/meeting/020/k9005e.pdf
		4. There is evidence that the guidelines are implemented.	Met <ul style="list-style-type: none">2007 SPD (Standard Project Document) guidelinesTCP Manual - managing the decentralized technical cooperation programme: http://www.fao.org/tc/tcp <p>Project Documents and TCPs for:</p> <ul style="list-style-type: none">Tanzania, Burundi, Bangladesh, Brazil, Ecuador, Nepal, Peru
		5. There is evidence that benefits/impact analysis is used for decision-making in the sample of projects/initiatives reviewed.	Not Met AS ABOVE
		OVERALL SCORE MI 10.1	

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
MI 10.2	Milestones / targets are set to rate the progress of (project) implementation	1. <i>At least two of the PIPs, country or other workplans sampled contain a description of milestones and/or targets for project/program implementation.</i>	Met TCPs for: <ul style="list-style-type: none">Tanzania, Burundi, Bangladesh, Brazil, Ecuador, Nepal, Peru
		2. (If first criterion is met) <i>in most cases, baseline values have been established for each indicators used to measure the progress of project/program implementation.</i>	Not met AS ABOVE
		3. (If first criterion is met) <i>in most cases, the milestones/targets provided align with activities described in the project/program implementation document.</i>	Met AS ABOVE
		4. (If first criterion is met) <i>dates are established for the milestones/targets, in more than half of the PIPs, country or workplans sampled.</i>	Not met AS ABOVE
		5. (If all above criteria are met) <i>all above criteria are met for all PIPs/country or other workplans sampled.</i>	Not met AS ABOVE
OVERALL SCORE MI 10.2		Inadequate	
KPI 11 DELEGATING DECISION-MAKING			
MI 11.1	Aid reallocation decisions can be made locally	1. An organisation-wide policy or guidelines exist and is corporately approved that describes decision-making authorities (including aid reallocation) at different levels within the organisation	Met <ul style="list-style-type: none">Report of the Independent External Evaluation of the Food and Agriculture Organization of the United Nations (FAO): ftp://ftp.fao.org/docrep/fao/meeting/012/k0827e02.pdfVision for the Structure and Functioning of Decentralized Offices: http://www.fao.org/docrep/meeting/021/ma546e.pdfTCP Manual - managing the decentralized technical cooperation programme: http://www.fao.org/tc/tcp/docs/TCP%20Manual%20English%20Final.doc
		2. (If first criterion is met) This policy or other documents provide sufficient evidence of the types of aid reallocation decisions that can be made at the country level (or other local level as appropriate).	Met <ul style="list-style-type: none">TCP Manual - managing the decentralized technical cooperation programme: http://www.fao.org/tc/tcp/docs/TCP%20Manual%20English%20Final.docIndependent Evaluation of FAO's Decentralization: HTTP://WWW.FAO.ORG/DOCREP/MEETING/008/J2937E/J2937E00.HTM

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		3. (If first two criteria are met) in the suite of documents available, it is possible to identify the financial amounts or parameters within which the local level does not require central level approval prior to making decisions on aid reallocation	Met <ul style="list-style-type: none"> TCP Manual - managing the decentralized technical cooperation programme: http://www.fao.org/tc/tcp/docs/TCP%20Manual%20English%20Final.doc
		4. There is evidence that the organisation has made efforts to improve delegation of decision making to the country or other relevant levels (particularly relevant for those MOs with limited field presence)	Met <ul style="list-style-type: none"> Immediate Plan of Action for FAO renewal (2009-2011): ftp://ftp.fao.org/docrep/fao/meeting/014/k3644e.pdf Progress on Decentralization (Oct. 2010): HTTP://WWW.FAO.ORG/DOCREP/MEETING/020/K9087E.PDF Vision for the Structure and Functioning of Decentralized Offices: HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA546E.PDF
		5. An operational review/evaluation of the MO comments positively on progress in the delegation of aid reallocation decisions to the country or other relevant level. Note: If there is a recent review/evaluation that comments negatively on this point, the findings should be noted and the rating should not be higher than adequate.	Not met <ul style="list-style-type: none"> Vision for the Structure and Functioning of Decentralized Offices(Apr. 2011): HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA546E.PDF Progress on Decentralization (Oct. 2010): HTTP://WWW.FAO.ORG/DOCREP/MEETING/020/K9087E.PDF Independent Evaluation of FAO's Decentralization (2005): HTTP://WWW.FAO.ORG/DOCREP/MEETING/008/J2937E/J2937E00.HTM Report of the Independent External Evaluation (IEE) of the Food and Agriculture Organization of the United Nations (FAO): ftp://ftp.fao.org/docrep/fao/meeting/012/k0827e02.pdf
OVERALL SCORE MI 11.1		ADEQUATE²³	Overall comments: The latest evaluations of the FAO's decentralisation efforts (e.g., the 2005 evaluation of FAO's decentralisation as well as 2007 IEE report) were critical of the organisation). Decentralisation efforts remain a work-in-progress. This resulted in a rating of adequate.
MI 11.2	New aid programs / projects can be approved locally within a budget cap	1. An organisation-wide policy or guidelines exist and is corporately approved that describes financial decision-making authorities (including for new aid programs/projects) at different levels within the organisation	Met <ul style="list-style-type: none"> <i>Basic texts - Financial Regulations:</i> HTTP://WWW.FAO.ORG/FILEADMIN/TEMPLATES/GSB/FILES/BASIC TEXTS MAY 2011.PDF <i>TCP MANUAL - MANAGING THE DECENTRALIZED TECHNICAL COOPERATION PROGRAMME:</i> http://www.fao.org/tc/tcp/docs/TCP%20Manual%20English%20Final.doc

²³ For a further explanation of this rating, see Appendix 1: Methodology (Section 3.4: Document Analysis – Document review ratings).

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		2. (If first criterion is met) This policy or other documents provide sufficient evidence of the types of decisions about funding new initiatives (plans, projects, programs) that can be made at the country level (or other local level as appropriate); in other words, MO staff in the country office can approve funding	Met AS ABOVE
		3. (If first two criteria are met) in the suite of documents available, it is possible to identify the financial amounts (budget ceilings or allocations) or parameters within which the local level does not require central level approval prior to making decisions on new initiatives	Met AS ABOVE
		4. The organisation has made efforts to improve delegation of decision making to the country or other relevant levels (particularly relevant for those MOs with limited field presence)	Met <ul style="list-style-type: none"> Progress on Decentralization (Oct. 2010): HTTP://WWW.FAO.ORG/DOCREP/MEETING/020/K9087E.PDF Vision for the Structure and Functioning of Decentralized Offices: HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA546E.PDF
		5. An operational review/evaluation of the MO comments positively on progress in the delegation of authority to approve new aid programs/projects to the country or other relevant level. Note: If there is a recent review/evaluation that comments negatively on this point, the findings should be noted and the rating should not be higher than adequate.	Not met AS ABOVE
OVERALL SCORE MI 11.2		STRONG	

QUADRANT III – RELATIONSHIP MANAGEMENT

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
KPI 15 USING COUNTRY SYSTEMS			
MI 15.1	% of the MO's overall ODA disbursements / support recorded in the annual budget as revenue, grants, or ODA loans	Very weak = Less than 30% of MO's aid flows are aligned on national procedures.	Data not available
		Weak = Between 30% and 49% (inclusively) of MO's aid flows are aligned on national procedures.	
		Inadequate = Between 50% and 69% (inclusively) of MO's aid flows are aligned on national procedures.	
		Adequate = Between 70% and 84% (inclusively) of MO's aid flows are aligned on national procedures.	
		Strong = Between 85% and 90% (inclusively) of MO's aid flows are aligned on national procedures.	
		Very strong = More than 90% of MO's aid flows are aligned on national procedures.	
OVERALL SCORE MI 15.1		DATA NOT AVAILABLE	Overall comments: This indicator is based on Indicator 3 of the PD. Although FAO provided responses to the donor questionnaire for 12 countries participating in the PD Monitoring survey, the indicator also draws on data from the government questionnaire, which is not available.
MI 15.3	% of the MO's overall ODA disbursements / support using national systems and procedures	Very weak = Less than 25% of MO's aid flows use national financial management / procurement systems.	Data not available
		Weak = Between 25% and 39% (inclusively) of MO's aid flows use national financial management/ procurement systems.	
		Inadequate = Between 35% and 44% (inclusively) of MO's aid flows use national financial management/ procurement systems.	
		Adequate = Between 45% and 54% (inclusively) of MO's aid flows use national financial management/ procurement systems	

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		Strong = Between 55% and 65% (inclusively) of MO's aid flows use national financial management/ procurement systems.	
		Very strong = More than 65% of MO's aid flows use national financial management/ procurement systems.	
OVERALL SCORE MI 15.3		DATA NOT AVAILABLE	Overall comments: This indicator is based on Indicator 5a and 5b of the Paris Declaration. The data was insufficient to provide a rating on the indicator. However, FAO provided data from 12 countries that suggest that only a small proportion (5 per cent or less) of the organisation's support to the government sector uses public financial management systems (budget execution, national financial reporting and audit procedures) and 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. ²⁴
MI 15.4	The MO avoids parallel implementation structures	Very weak = The number of parallel Project Implementation Units (PIUs) of the MO has not been reduced or has been increased	Data Not Available
		Weak = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 1 and 24% (inclusively).	
		Inadequate = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 25 and 49% (inclusively).	
		Adequate = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 50 and 65% (inclusively)	
		Strong = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced between 66% (two-thirds) and 75% (inclusively).	
		Very strong = The number of parallel Project Implementation Units (PIUs) of the MO has been reduced in more than 75%.	

²⁴ In Volume 1, this comment is included under MI 15.2.

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
OVERALL SCORE MI 15.4		DATA NOT AVAILABLE	Overall comments: The preliminary data provided by 12 FAO country representations suggest an average of less than one parallel PIU per country. (10 parallel PIUs reported over 12 countries) However, the extent to which FAO has reduced its use of parallel PIUs (Indicator 6) cannot be determined based on the data available.
KPI 17 HARMONISING PROCEDURES			
MI 17.1	The extent to which the MO participates in joint missions (coordination, analysis, design, evaluation)	Very weak = Less than 10% of MO's missions to the field are joint.	
		Weak = Between 10% and 19% (inclusively) of MO's missions to the field are joint.	
		Inadequate = Between 20% and 29% (inclusively) of MO's missions to the field are joint.	
		Adequate = Between 30% and 39%(inclusively) of MO's missions to the field are joint.	
		Strong = Between 40% and 50% (inclusively) of MO's missions to the field are joint.	
		Very strong = More than 50% of MO's missions to the field are joint.	
OVERALL SCORE MI 17.1		Very Strong	Overall comments: 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 (Indicator10 a) is 40 percent, this is rated as very strong.
MI 17.3	The extent to which the MO technical cooperation is disbursed through coordinated programs.	Very weak = Less than 10% of MO's capacity-development support is provided through coordinated programs.	
		Weak = Between 10% and 20% (inclusively) of MO's capacity-development support is provided through coordinated programs.	
		Inadequate = Between 21% and 35% (inclusively) of MO's capacity-development support is provided through coordinated programs.	
		Adequate = Between 36% and 50% (inclusively) of MO's capacity-development support is provided through coordinated programs.	

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		Strong = Between 50% and 60% (inclusively) of MO's capacity-development support is provided through coordinated programs.	
		Very strong = More than 60% of MO's capacity-development support is provided through coordinated programs.	
OVERALL SCORE MI 17.3		Adequate	Overall Comments: The preliminary data provided by 12 FAO country representations suggest that approximately 48 percent of the technical cooperation disbursed by FAO was disbursed through coordinated programs in support of capacity development in the calendar year 2010. Given a target of 50 percent for 2010, as set by the Paris Declaration (Indicator 4) , the FAO's progress is considered adequate.
MI 17.4	% of the MO's overall ODA disbursements / support that is for government-led PBAs (SWAPs, basket funding, etc)	Very weak = Less than 20% of MO's aid is provided as program-based approaches.	
		Weak = Between 20% and 35% (inclusively) of MO's aid is provided as program-based approaches.	
		Inadequate = Between 36% and 50% (inclusively) of MO's aid is provided as program-based approaches.	
		Adequate = Between 51% and 65% (inclusively) of MO's aid is provided as program-based approaches.	
		Strong = Between 66% and 80% (inclusively) of MO's aid is provided as program-based approaches.	
		Very strong = More than 80% of MO's aid is provided as program-based approaches.	
OVERALL SCORE MI 17.4		Very weak	Overall comments: Approximately 4 per cent of ODA disbursed by FAO in 2010 was channelled through program-based approaches (PBAs). This is far short of the 2010 target set by the Paris Declaration (Indicator 9), which specified that 66 per cent of aid flows would be provided in the context of PBAs.

QUADRANT IV – KNOWLEDGE MANAGEMENT

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
KPI 19 EVALUATING EXTERNAL RESULTS			
MI 19.1	The MO has a structurally independent evaluation unit within its organisational structure that reports to its Executive Management or Board	1. An organisation-wide (central) evaluation unit or function exists.	Met <ul style="list-style-type: none"> FAO Basic Texts – Charter for the FAO office of Evaluation: HTTP://WWW.FAO.ORG/LEGAL/BASIC_TEXTS/BASIC_TEXTS_2010_EN_23_03.PDF Evaluation in FAO: HTTP://WWW.FAO.ORG/PBE/PBEE/EN/ABOUT/INDEX.HTML Independent External Evaluation of FAO: HTTP://WWW.FAO.ORG/PBE/PBEE/EN/219/INDEX.HTML
		2. An organisation-wide evaluation policy exists, which includes guidance on how the MO is to do independent evaluations.	Met <ul style="list-style-type: none"> FAO Basic Texts – Charter for the FAO office of Evaluation: HTTP://WWW.FAO.ORG/LEGAL/BASIC_TEXTS/BASIC_TEXTS_2010_EN_23_03.PDF Responsibilities and Procedures for Management Response and Follow-up Reporting on Evaluations: http://www.fao.org/pbe/pbee/en/224/index.html Documents\Evaluation\Management response EN October 2008.doc Approach and Funding Arrangements for the Evaluation of FAO's Work in Emergency Response and Rehabilitation : http://www.fao.org/pbe/pbee/en/224/index.html Documents\Evaluation\EvalofEmergencies.doc Independent External Evaluation (IEE) of FAO : HTTP://WWW.FAO.ORG/PBE/PBEE/EN/219/INDEX.HTML
		3. (If first criterion is met) there is evidence in annual reports being provided by the organisation-wide evaluation unit or function to Executive Management (Head of Organisation) or Board of independence of evaluations.	Met <ul style="list-style-type: none"> Evaluation Brief: Independent Evaluation of FAO's decentralization: HTTP://WWW.FAO.ORG/PBE/PBEE/COMMON/ECG/223/EN/ev_brief1_en.pdf FAO the Challenge of Renewal. Report of the Independent External Evaluation of the Food and Agricultural Organization of the United Nations (FAO), September 2007): FTP://FTP.FAO.ORG/DOCREP/FAO/MEETING/012/k0827e02.PDF Report of the Independent External Evaluation of the Food and Agriculture Organization of the United Nations (FAO): ftp://ftp.fao.org/docrep/fao/meeting/012/k0827e02.pdf Report of the IEE of the Food and Agriculture Organization of the United Nations - MANAGEMENT RESPONSE "IN-PRINCIPLE": ftp://ftp.fao.org/docrep/fao/meeting/012/k0970e.pdf Report of the Conference Committee on Follow-up to the independent external evaluation of fao (coc-iee) immediate plan of action: http://www.fao.org/uploads/media/CoCIEEReport27Oct.pdf

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		4. (If first criterion is met), the organisation-wide evaluation unit has a direct reporting function to the Executive Management, but not the Board.	Met <ul style="list-style-type: none"> FAO Basic Texts – Charter for the FAO office of Evaluation: HTTP://WWW.FAO.ORG/LEGAL/BASIC TEXTS/BASIC TEXTS 2010 EN 23 03.PDF 2009 Programme Evaluation Reports : FTP://FTP.FAO.ORG/DOCREP/FAO/MEETING/018/K6197E.PDF
		5. The central evaluation unit has a direct reporting function to the MO's Board.	Not met
OVERALL SCORE MI 19.1		Strong	In response to the IEE (2007), the FAO established an independent Office of Evaluation (OED) in January 2010. The OED reports to the Director-General and the Council through the Programme Committee, which was established to assist the Council in the development and implementation of its duties.
MI19.2	The evaluation function provides sufficient coverage of the MO's programming activity (projects, programs, etc)	1. An organisation-wide evaluation policy or plan exists and is corporately approved which identifies the need for independent evaluations of projects and programs.	Met <ul style="list-style-type: none"> FAO Basic Texts – Charter for the FAO office of Evaluation: HTTP://WWW.FAO.ORG/LEGAL/BASIC TEXTS/BASIC TEXTS 2010 EN 23 03.PDF Responsibilities and Procedures for Management Response and Follow-up Reporting on Evaluations: http://www.fao.org/pbe/pbee/en/224/index.html Documents\Evaluation\Management_response_EN_October_2008.doc Approach and Funding Arrangements for the Evaluation of FAO's Work in Emergency Response and Rehabilitation: http://www.fao.org/pbe/pbee/en/224/index.html Documents\Evaluation\EvalofEmergencies.doc Independent External Evaluation of FAO: HTTP://WWW.FAO.ORG/PBE/PBEE/EN/219/INDEX.HTML
		2. (If first criterion is met) this policy or plan defines the evaluation coverage of projects and programs (i.e., the number or percent of projects/programs requiring evaluations of any type) or it clearly explains how evaluations are planned and prioritised.	Met <ul style="list-style-type: none"> FAO Basic Texts – Charter for the FAO office of Evaluation: HTTP://WWW.FAO.ORG/LEGAL/BASIC TEXTS/BASIC TEXTS 2010 EN 23 03.PDF Approach to Major Evaluations in FAO of Strategies, Themes, Institutional Performance and Programmes (2004): HTTP://WWW.FAO.ORG/PBE/PBEE/EN/224/INDEX.HTML Evaluation in FAO: Institutional Arrangements, Policies and Methods: http://www.fao.org/pbe/pbee/en/224/index.html Responsibilities and Procedures for Management Response and Follow-up Reporting on Evaluations: http://www.fao.org/pbe/pbee/en/224/index.html Documents\Evaluation\Management_response_EN_October_2008.doc Approach and Funding Arrangements for the Evaluation of FAO's Work in Emergency Response and Rehabilitation: http://www.fao.org/pbe/pbee/en/224/index.html

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		3. (If first criterion is met) this policy or plan defines the amount or % of programming (or % of expenditures) that needs an independent evaluation.	Met <ul style="list-style-type: none">FAO Basic Texts – Charter for the FAO office of Evaluation: HTTP://WWW.FAO.ORG/LEGAL/BASIC TEXTS/BASIC TEXTS 2010 EN 23 03.PDFApproach to Major Evaluations in FAO of Strategies, Themes, Institutional Performance and Programmes (2004): HTTP://WWW.FAO.ORG/PBE/PBEE/EN/224/INDEX.HTMLMedium Term Plan 2010-13 (reviewed) an Programme of Work and Budget 2012-2013 (English, French, Spanish, Arabic, Russian and Chinese): http://www.fao.org/docrep/meeting/021/ma061e.pdf
		4. Reports of independent evaluations are available for at least half of the countries sampled	Not met <ul style="list-style-type: none">Special Programme for Food Security Bangladesh (2007): http://www.fao.org/docs/eims/upload/272201/GCSP%20BGD%20033%20JPN%20.DOCProyecto Apoyo al Desarrollo Forestal Comunal en los Andes del Ecuador (2001): http://www.fao.org/docs/eims/upload/212228/GCPECU070NET_2001.ZIPinforme de la mision de evaluacion final conjunta del gobierno del reino de los paises bajos, la organizaci3n de las naciones unidas para la agricultura y la alimentacion y el gobierno del peru (2003): http://www.fao.org/docs/eims/upload/212326/GCPPER035NET_2003.ZIPFAO'S EFFECTIVENESS AT COUNTRY LEVEL: A SYNTHESIS OF EVALUATIONS IN LARGE, RAPIDLY-DEVELOPING COUNTRIES (INDIA AND BRAZIL): http://www.fao.org/fileadmin/user_upload/bodies/Progr_Comm/PC_106-documents/PC1066EvaluationBrazilIndia-compiledMA114E.pdfFAO's effectiveness at country level: a synthesis of evaluations in large, rapidly-developing countries (India and Brazil) - Management Response: http://www.fao.org/fileadmin/user_upload/bodies/Progr_Comm/PC_106-documents/PC1066Sup1EvaluationBrazilIndiaMR-MA252E.pdf
		5. (If fourth criterion is met) reports of independent evaluations exist for all countries sampled.	Not met As above
		OVERALL SCORE MI 19.2	

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
MI 19.3	The MO ensures quality of its evaluations	1. The MO has policy/procedures for the quality control of their evaluations.	Met <ul style="list-style-type: none">FAO Basic Texts – Charter for the FAO office of Evaluation: HTTP://WWW.FAO.ORG/LEGAL/BASIC TEXTS/BASIC TEXTS 2010 EN 23 03.PDF2009 programme Evaluation Report: FTP://FTP.FAO.ORG/DOCREP/FAO/MEETING/018/K6197E.PDF
		2. The MO implemented the quality control procedures (i.e. reviewed its evaluations) within the past five years.	Met <ul style="list-style-type: none">Independent External Evaluation (IEE) of FAO: HTTP://WWW.FAO.ORG/PBE/PBEE/EN/219/INDEX.HTML
		3. There is evidence (in the reports on the quality of evaluations/review of evaluations) that the MO is respecting relevant evaluation standards (e.g. UNEG standards, DAC standards, ECG standards) in its centralised and decentralised evaluations.	Not met
		4. The reviews of the MO's evaluations (i.e. the reports on the quality of evaluations) cover organisation-wide, country and project level evaluations.	Not met
		5. There is evidence that the MO's evaluation practices have changed as a result of the review of evaluations.	Met <ul style="list-style-type: none">Immediate Plan of Action for FAO renewal (2009-2011): ftp://ftp.fao.org/docrep/fao/meeting/014/k3644e.pdfIPA PROGRESS REPORT (2011): HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA666E.PDF
OVERALL SCORE MI 19.3		Adequate	Overall comments: Evidence shows that the FAO has changed its evaluation practices following the 2007 IEE evaluation. It is expected to follow the UNEG Framework for Professional Peer Reviews of the Evaluation Function of UN organisations approved by UNEG in 2011. However, the FAO is still reviewing its evaluation function and has recently consulted the OECD-DAC/UNEG Joint Task Force for that purpose. The rating is a reflection of current practice at the FAO.
KPI 20 PRESENTING PERFORMANCE INFORMATION			

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
MI 20.1	Reports on the achievement of outcomes, not just inputs, activities and outputs	1. Annual performance reports exist at the organisation-wide level.	Met <ul style="list-style-type: none"> Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA403E.PDF Joint Meeting of the Hundred and Fourth Session of the Programme Committee and the Hundred and Thirty-fifth Session of the Finance Committee (October 2010) – Results-based Work Planning, Monitoring and Reporting System: HTTP://WWW.FAO.ORG/DOCREP/MEETING/020/K9131E.PDF Programme Implementation Report 2008-2009: HTTP://WWW.FAO.ORG/DOCREP/MEETING/019/K8460E.PDF
		2. (If first criterion is met) the most recent performance report sampled describes outputs achieved.	Met <ul style="list-style-type: none"> Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA403E.PDF
		3. (If first two criteria are met) the most recent performance report sampled discusses expected outcomes achieved.	Met <ul style="list-style-type: none"> Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA403E.PDF Strategic Framework 2010-2019: FTP://FTP.FAO.ORG/DOCREP/FAO/MEETING/017/K5864E01.PDF
		4. (If first two criteria are met) the most recent performance report sampled provides evidence for the MO's contribution to outcome achievement (i.e., establishes a link between outputs and outcomes).	Met <ul style="list-style-type: none"> Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA403E.PDF
		5. (If all above criteria are met) all above criteria are met for all performance reports sampled.	Not Met <ul style="list-style-type: none"> Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA403E.PDF Joint Meeting of the Hundred and Fourth Session of the Programme Committee and the Hundred and Thirty-fifth Session of the Finance Committee (October 2010) – Results-based Work Planning, Monitoring and Reporting System: HTTP://WWW.FAO.ORG/DOCREP/MEETING/020/K9131E.PDF Programme Implementation Report 2008-2009 :HTTP://WWW.FAO.ORG/DOCREP/MEETING/019/K8460E.PDF

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
OVERALL SCORE MI 20.1		Adequate²⁵	Overall comments: A higher rating could not be provided for this MI as the implementation of the RBM framework, and by extension organisational reporting on the achievement of outcomes, is a work in progress.
MI 20.2	Reports performance using data obtained from measuring indicators	1. Annual performance reports exist at the organisation-wide level.	Met <ul style="list-style-type: none"> Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA403E.PDF Joint Meeting of the Hundred and Fourth Session of the Programme Committee and the Hundred and Thirty-fifth Session of the Finance Committee (October 2010) – Results-based Work Planning, Monitoring and Reporting System: HTTP://WWW.FAO.ORG/DOCREP/MEETING/020/K9131E.PDF Programme Implementation Report 2008-2009 : HTTP://WWW.FAO.ORG/DOCREP/MEETING/019/K8460E.PDF
		2. (If first criterion is met) the most recent performance report sampled specifies indicators for the reporting period that respect SMART or CREAM criteria for indicators.	Met <ul style="list-style-type: none"> Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA403E.PDF Programme Implementation Report 2008-2009 : HTTP://WWW.FAO.ORG/DOCREP/MEETING/019/K8460E.PDF
		3. (If first criterion is met) the most recent performance report sampled presents an illustration of trends in measurement over a period of time (i.e., indicator data are compared across X years).	Not met As above
		4. (If first criterion is met) the most recent performance report sampled compares indicator measurement to baseline (in the case of outcomes) and target amounts (in the case of both outputs and outcomes) (either in graph or narrative form).	Not met As above

²⁵ For a further explanation of this rating, see Appendix 1: Methodology (Section 3.4: Document Analysis – Document review ratings).

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		5. (If all above criteria are met) all above criteria are met for all performance reports sampled.	Not met As above
OVERALL SCORE MI 20.2		Inadequate	
MI 20.3	Reports against its organisation-wide strategy, including expected management and development results	1. Annual performance reports exist at the organisation-wide level.	Met <ul style="list-style-type: none"> Medium Term Plan 2010-13 (Reviewed) and Programme of Work and Budget 21012-13: HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA061E.PDF Medium Term Plan 2010-13 (Reviewed) and Programme of Work and Budget 2012-13 Information Note no. 1 – April 2011- Explanation of Resource Shifts between and within Strategic and Functional Objectives: http://www.fao.org/docrep/meeting/022/ma061e_1.pdf Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA403E.PDF Joint Meeting of the Hundred and Fourth Session of the Programme Committee and the Hundred and Thirty-fifth Session of the Finance Committee (October 2010) – Results-based Work Planning, Monitoring and Reporting System: HTTP://WWW.FAO.ORG/DOCREP/MEETING/020/K9131E.PDF Programme Implementation Report 2008-2009 : HTTP://WWW.FAO.ORG/DOCREP/MEETING/019/K8460E.PDF
		2. (If first criterion is met) the most recent performance report sampled makes reference to the expected results identified in the organisation-wide DRF and MRF.	Met <ul style="list-style-type: none"> Medium Term Plan 2010-13 (Reviewed) and Programme of Work and Budget 21012-13: HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA061E.PDF Medium Term Plan 2010-13 (Reviewed) and Programme of Work and Budget 2012-13 Information Note no. 1 – April 2011- Explanation of Resource Shifts between and within Strategic and Functional Objectives: http://www.fao.org/docrep/meeting/022/ma061e_1.pdf Mid-term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-11) (March 2011): HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA403E.PDF Programme Implementation Report 2008-2009 : HTTP://WWW.FAO.ORG/DOCREP/MEETING/019/K8460E.PDF

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		3. (If criterion two is met) the most recent performance report sampled describes the extent of achievement to date of results identified in the DRF and MRF, along with an explanation of any variances.	Met As above
		4. (If all above criteria are met) all above criteria are met for all performance reports sampled.	Not met As above
		5. There is an independent evaluation/review confirming the quality of organisation-wide reporting on results.	Not met • FAO: The Challenge of Renewal – Report of the Independent External Evaluation of the Food and Agricultural Organization (FAO) of the United Nations: FTP://FTP.FAO.ORG/DOCREP/FAO/MEETING/012/K0827E02.PDF
OVERALL SCORE MI 20.3		Adequate	
MI 20.4	Reports against its Paris Declaration commitments using indicators and country targets	1. An annual, organisation-wide report on the MO's performance against Paris Declaration (PD) commitments exists (this may not be a separate report, but part of another report, such as the annual performance report).	Not met
		2. (If the first criterion is met) the most recent report describes the extent of overall achievement to date on PD commitments, using indicators	Not met
		3. (If the first two criteria are met) the most recent report shows country targets for PD commitments.	Not met
		4. (If all above criteria are met) the most recent report shows the extent of achievement to date of PD commitments by country.	Not met

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		5. (If all above criteria are met) all above criteria are met for all reports sampled.	Not met
OVERALL SCORE MI 20.4		Very weak	Overall comments: Relevant reporting on MI 20.4 has not been located in organisation-wide reports. A specific report on the FAO's performance in respect of the Paris Declaration was not provided by the organisation or located during document review.
MI 20.5	Reports on adjustments made or recommended to the organisation-wide policies and strategies based on performance information	1. The Executive Board receives periodic/informal updates on performance information and how it affects strategies/policies and budgets.	Met <ul style="list-style-type: none"> Medium Term Plan 2010-13 (Reviewed) and Programme of Work and Budget 21012-13: HTTP://WWW.FAO.ORG/DOCREP/MEETING/021/MA061E.PDF Medium Term Plan 2010-13 (Reviewed) and Programme of Work and Budget 2012-13 Information Note no. 1 – April 2011- Explanation of Resource Shifts between and within Strategic and Functional Objectives: http://www.fao.org/docrep/meeting/022/ma061e_1.pdf
		2. The MO has an approach to performance reporting in which annual performance reviews are systematically used to adjust strategies/policies and budgets.	Met As above
		3. (If second criterion is met) there is evidence (in performance reports, in the strategies themselves, etc.) that performance information is used to adjust strategies/policies.	Met As above
		4. (If third criterion is met) there is evidence (in performance reports, in the strategies and budgets themselves, etc.) that performance information is used to adjust both strategies/policies and budgets.	Met As above
		5. The Board receives specific reports on strategy and/or budget changes based on performance information.	Not met <ul style="list-style-type: none"> Joint Meeting of the Hundred and Fourth Session of the Programme Committee and the Hundred and Thirty-fifth Session of the Finance Committee (October 2010) – Results-based Work Planning, Monitoring and Reporting System: http://www.fao.org/docrep/meeting/020/k9131e.pdf

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
OVERALL SCORE MI 20.5		Strong	Overall comments: The reviewed MTP/PWB, followed by the explanations of resource shifts between and within strategic and functional objectives of the FAO serve as evidence that the FAO adjusts its strategies based on performance information.
MI 20.6	Reports on country (or other) level programming adjustments made or recommended based on performance information	1. MO reports to the management or governing body on performance at the country level (i.e., outputs and contributions to outcomes).	Not met <ul style="list-style-type: none"> • Special programme for food security – Bangladesh: http://www.fao.org/pbe/pbee/eval/db?v=evalSummary&a=search&m=load&lang=en&id=661 • Evaluation of FAO cooperation with Brazil 2002-2010: http://www.fao.org/pbe/pbee/common/ecg/394/en/Eval_FAO-Brazil_Final_with_Annexes_pdf.zip • Management Response to the Evaluation of FAO Cooperation with Brazil in the period 2002-2010: http://www.fao.org/pbe/pbee/common/ecg/394/en/Eval_FAO_Brazil_Management_Response.pdf • Appui a la securite alimentaire et a la gestion de l'environnement – burundi : http://www.fao.org/pbe/pbee/eval/db?v=evalSummary&a=search&m=load&lang=en&id=541 • Apoyo al desarrollo forestal comunal en los andes del ecuador – ecuador: http://www.fao.org/pbe/pbee/eval/db?v=evalSummary&a=search&m=load&lang=en&id=8035 • Technical assistance to hills leasehold forestry and forage develop.proj. – Nepal: http://www.fao.org/pbe/pbee/eval/db?v=evalSummary&a=search&m=load&lang=en&id=201 • Apoyo a la estrategia nacional para el desarrollo forestal – peru: http://www.fao.org/pbe/pbee/eval/db?v=evalSummary&a=search&m=load&lang=en&id=465 • Strategic Evaluation of FAO Country Programming: HTTP://WWW.FAO.ORG/PBE/PBEE/COMMON/ECG/369/EN/COUNTRYPROGEVAL.PDF
		2. (If first criterion is met) for at least half of the country reports there is a description of the implications of this performance information for planning new interventions (i.e., how new interventions in the planning stage need to be altered, or what new interventions should be developed, in response to the performance information).	Not met <ul style="list-style-type: none"> • Evaluation of FAO cooperation with Brazil 2002-2010: http://www.fao.org/pbe/pbee/common/ecg/394/en/Eval_FAO-Brazil_Final_with_Annexes_pdf.zip • Management Response to the Evaluation of FAO Cooperation with Brazil in the period 2002-2010: http://www.fao.org/pbe/pbee/common/ecg/394/en/Eval_FAO_Brazil_Management_Response.pdf

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		3. (If first criterion is met) for at least half of the countries, one of the reports describe changes made to the planning of new interventions as a result of what was learned from performance information.	Not met <ul style="list-style-type: none"> Evaluation of FAO cooperation with Brazil 2002-2010: HTTP://WWW.FAO.ORG/PBE/PBEE/COMMON/ECG/394/EN/EVAL_FAO-BRAZIL_FINAL_WITH_ANNEXES.PDF.ZIP Management Response to the Evaluation of FAO Cooperation with Brazil in the period 2002-2010: HTTP://WWW.FAO.ORG/PBE/PBEE/COMMON/ECG/394/EN/EVAL_FAO_BRAZIL_MANAGEMENT_RESPONSE.PDF
		4. (If all above criteria are met) for at least half of the countries, the reports or subsequent strategies confirm that new interventions have been implemented according to the required changes.	Not met
		5. (If all above criteria are met) all criteria met for all countries.	Not met
OVERALL SCORE MI 20.6		Very weak	
KPI 21 DISSEMINATION OF LESSONS LEARNED			
MI 21.1	Reports on lessons learned based on performance information	1. There is evidence that the organisation is committed to the identification of lessons learned and/or best practices.	Met <ul style="list-style-type: none"> Mid-Term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-2011 (March 2011): http://www.fao.org/docrep/meeting/021/ma403e.pdf Budget 2010-11) (March 2011): http://www.fao.org/docrep/meeting/021/ma403e.pdf The use of monitoring and evaluation in agriculture and rural development projects: http://www.fao.org/docrep/013/am292e/am292e00.pdf Lessons Learning Exercise from FAO's Initiative on Soaring Food Price (ISFP): HTTP://WWW.FAO.ORG/DOCREP/014/AM440E/AM440E00.PDF Results-Based Work Planning, Monitoring and Reporting System (Oct.2010): http://www.fao.org/docrep/meeting/020/k9131e.pdf

KPI/MI	MICRO-INDICATOR	CRITERIA	EVIDENCE/DISCUSSION
		2. There is a unit/coordinating group responsible for documenting and disseminating lessons learned and/or best practices.	Met <ul style="list-style-type: none">Joint Meeting of the Hundred and Fourth Session of the Programme Committee and the Hundred and Thirty-fifth Session of the Finance Committee (October 2010) – Results-based Work Planning, Monitoring and Reporting System: HTTP://WWW.FAO.ORG/DOCREP/MEETING/020/K9131E.PDFResults-Based Work Planning, Monitoring and Reporting System (Oct.2010): http://www.fao.org/docrep/meeting/020/k9131e.pdf
		3. The MO has a system for collecting and disseminating lessons learned and/or best practices internally.	Not met As above
		4. (If third criterion is met) The MO has an easily accessible system that collects and disseminates <i>both</i> internal <i>and</i> external lessons learned and/or best practices.	Not met As above
		5. There is evidence that the MO uses lessons learned and/or best practices based on performance information to change management and program practices.	Met <ul style="list-style-type: none">Mid-Term Review Synthesis Report – 2010 (of the Programme of Work and Budget 2010-2011 (March 2011): http://www.fao.org/docrep/meeting/021/ma403e.pdfBudget 2010-11) (March 2011): http://www.fao.org/docrep/meeting/021/ma403e.pdfResults-Based Work Planning, Monitoring and Reporting System (Oct.2010): http://www.fao.org/docrep/meeting/020/k9131e.pdf
OVERALL SCORE MI 21.1		Adequate	Overall comments: According to the FAO, the dissemination of lessons learnt and best practices is to be conducted through work plan monitoring by individual units across the organisation. The FAO was rated adequate as opposed to very strong in this area as both the publication of MTRs and work plan monitoring processes remain works in progress