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para la
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COMMISSION ON GENETIC RESOURCES FOR FOOD AND AGRICULTURE

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REVIEW OF THE *FUNDING STRATEGY FOR THE IMPLEMENTATION OF THE GLOBAL PLAN OF ACTION FOR ANIMAL GENETIC RESOURCES*

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REVIEW OF THE FUNDING STRATEGY FOR THE IMPLEMENTATION OF THE GLOBAL PLAN OF ACTION FOR ANIMAL GENETIC RESOURCES

I. INTRODUCTION

1. The Commission on Genetic Resources for Food and Agriculture (Commission), at its Twelfth Regular Session, adopted the *Funding Strategy for the implementation of the Global Plan of Action for Animal Genetic Resources*¹ (Funding Strategy) and requested FAO to implement it.²
2. At its Thirteenth Regular Session, the Commission requested FAO to launch the first call for proposals for the use of funds received through the FAO Trust Account, and provided detailed guidance on the process.³ It also requested FAO to prepare draft monitoring procedures, as envisaged in the Funding Strategy⁴, for consideration at its Fourteenth Regular Session in order to use experience gained in the first round of projects in preparing for subsequent calls for proposals.⁵
3. According to the Funding Strategy, reporting to the Commission is required at each of its regular sessions. At its Fourteenth and Sixteenth Regular Sessions, the Commission will review progress reports on the operation and effectiveness of the Funding Strategy.
4. The Funding Strategy covers all known and potential sources of financial resources that support the implementation of the *Global Plan of Action for Animal Genetic Resources (Global Plan of Action)*. This document provides information on resources under the FAO Trust Account, and gives a brief account of FAO's regular programme and extrabudgetary financial resources dedicated to the implementation of the *Global Plan of Action*. It reports on the status of implementation of the first project cycle under the FAO Trust Account, and considers monitoring and evaluation procedures. More detailed information on resources dedicated to the implementation of the *Global Plan of Action* as well as partnerships and alliances pursued by FAO with other international mechanisms and organizations to facilitate the implementation of the *Global Plan of Action* is given in the document, *Detailed FAO Progress Report on the implementation of the Global Plan of Action for Animal Genetic Resources*.⁶

¹ CGRFA-12/09/Report, Appendix C.

² CGRFA-12/09/Report, paragraph 43.

³ CGRFA-13/11/Report 12, paragraph 85-88.

⁴ Annex I Section C, II Project Cycle, paragraph 8c.

⁵ CGRFA-13/11/Report 12, paragraph 88.

⁶ CGRFA/WG-AnGR-7/12/Inf.2.

II. PROGRESS IN THE IMPLEMENTATION OF THE FUNDING STRATEGY

A. Use of resources under the FAO Trust account

Contributions to the FAO Trust Account

5. In line with the *Global Plan of Action*, FAO established in 2009 the FAO Trust Account for the Funding Strategy.⁷ Contributions received as of 1 August 2012 are shown in *Table 1*. In addition, Switzerland provided financial resources for an Associate Professional Officer to support the Animal Genetic Resources Branch in the implementation of the Funding Strategy.

Table 1. Voluntary contributions to the FAO Trust Account (GCP/GLO/287/MUL)⁸

Donor	Donor group	Donor region	Starting date	Total contribution and currency
Switzerland	Government	Europe	December 2009	50 000 USD
Switzerland	Government	Europe	December 2010	250 000 USD
Norway	Government	Europe	December 2010	100 000 USD
Germany	Government	Europe	July 2011	480 000 Euro

First Call for proposals and submission of concept notes

6. The first call for proposals under the Funding Strategy was published on 15 September 2011. The concept note submission form was posted on the website of the Funding Strategy.⁹ Within the deadline of submission (15 November 2011), the secretariat received 52 eligible concept notes, 43 single-country and 9 multiple-country concept notes (see *Table 2*).

7. For the first call for proposals, the Commission agreed to limit the initial maximum allocation per project to USD 50,000 for single-country projects and USD 100,000 for multiple-country and the project duration to a maximum of two years. The Commission also agreed that countries could submit under the first call for proposals not more than one country proposal. At the same time, it encouraged the submission of multiple-country project proposals without specifying, however, how many proposals of this kind a country could join.¹⁰ The Bureau of the Working Group, in considering the concept notes in the light of the Commission's instructions, agreed that each country should be entitled to submit no more than one single-country concept note and to join no more than one multiple-country concept note.

Table 2. Geographical distribution of eligible concept notes

Region	Number of concept notes	Number of Commission Member countries involved
Africa	27	28
Latin America and the Caribbean	8	11
Asia	7	6
Europe	5	8
Near East	4	4
South West Pacific	1	2
Total	52	59

⁷ *Global Plan of Action for Animal Genetic Resources*, paragraph 68.

⁸ Field Programme Management Information System (FPMIS), and <http://www.fao.org/tc/tcom>

⁹ http://www.fao.org/ag/againfo/programmes/en/genetics/Funding_strategy.html

¹⁰ CGRFA-13/11/Report, paragraph 85 and 87.

Screening and response to concept notes

8. The Secretariat collated all the submissions, verified adherence to eligibility criteria as given in section B of Annex I to the Funding Strategy, and prepared relevant background documentation, as a preparatory task in the screening of concept notes.

9. In response to a specific request by the Commission,¹¹ Regional Focal Points for Animal Genetic Resources (RFP) and some sub-RFPs as well as regional networks provided support in facilitating the screening of concept notes by the Bureau. Some RFPs held wide consultations among their member countries and provided detailed evaluations.

10. Taking into account the appraisals of the Regional Focal Points and regional networks, the Bureau of the Working Group ranked the concept notes according to five selection criteria, identified as the most relevant and distinctive criteria for the selection of concept notes. Each member of the Bureau of the Working Group evaluated each of the 52 concept notes using a point system under which each concept note is rewarded between 1 to 10 points for each criterion, with 10 points being the highest achievable score.

11. The Bureau of the Working Group selected the 26 concept notes with the highest total score and submitted them to the Bureau of the Commission which accepted the proposal without any changes by written procedure.

Submission of project proposals from approved concept notes

12. The relevant proponents have been invited to submit a project proposal by 15 August 2012 using a standardized submission form which follows the structure of the Funding Strategy and requires an executive summary and a logframe with time plan, deliverables and identified responsibilities; the submission form also asks for a reporting and monitoring plan. Proponents were encouraged to submit project proposals in English, in order to reduce possible translation costs. The Secretariat also informed the proponents of all concept notes that were not selected. A summary of the selection process is available online.¹²

Appraisal of project proposals

13. In accordance with the Funding Strategy, the Bureau of the Working Group designated a panel of experts for the screening of the project proposals. Following the experience of the International Treaty, each full project proposal will be reviewed by three experts. In order to keep the workload manageable for the experts, members of the Working Group Bureau nominated two experts from each of their regions.

Approval of projects for funding

14. The Bureau of the Commission will consider the project proposals for approval, on the basis of recommendations submitted by the Bureau of the Working Group and an appraisal report by the panel of experts. Letters of Agreement (LoA) will be concluded once a final decision on the project proposals has been taken.

Lessons learned

15. The first call for proposals resulted in a number of significant advances in the implementation of the *Global Plan of Action*, such as: the increase in awareness of countries, private and public sectors, of the important roles of animal genetic resources for food and agriculture. The high dedication and effort and substantial time that the Bureau of the Working Group invested shows the

¹¹ CGRFA-13/11/Report, paragraph 87.

¹² http://www.fao.org/ag/againfo/programmes/en/genetics/Funding_strategy.html

commitment towards the *Global Plan of Action* and its Funding Strategy. Equally, the effort and valuable contributions of the Regional Focal Points and Regional networks need to be recognized. The Secretariat used the launch of the Funding Strategy to stress the importance of creating Regional Focal Points, as they have a role to play not only in regional coordination and technical support, but also in consultations related to the pre-screening of Concept Notes.

16. The number of concept notes received within a relatively short period of time, from all regions and from a wide range of institutions, groups and entities is indicative of some of the unmet financial needs required for the implementation of the *Global Plan of Action*.

17. The initial experience in the operation of the Trust Account demonstrates the importance of having efficient and simple procedures. In order to improve subsequent calls for proposals, the Commission may wish to clarify the role of Regional Focal Points in the pre-screening of concept notes as well as the number of single-country and multiple-country concept notes a country may submit under the same project cycle.

18. According to the Operational Procedures, concept notes and project proposals have to be submitted through Commission members (or their National Focal Points) to the FAO Secretariat. The question may be raised why project proposals need to be submitted through Commission members, although Commission Members have previously approved the concept notes for the project proposals. The Commission may therefore wish to consider changing the Funding Strategy as to allow for the direct submission of project proposals to the FAO secretariat.

Administrative arrangements

19. The Commission, at its Twelfth Regular Session, noted that the level of administration associated with the FAO Trust Account should be commensurate with the size of its available budget.¹³

20. During the implementation of the first call for proposals, it has become evident that there is a need to standardize the process of receiving applications and systematizing the information through appropriate information, communication and management tools. These tools are important to address inquiries in time, monitor and report on the development of the project cycle, and reduce the workload of the Secretariat.

21. In line with FAO administrative procedures, standard Letters of Agreement (LoA) will be used as contractual instrument, with the approved project document as an annex. LOAs contain a schedule for the disbursement of funds in tranches based on time-specific milestones and deliverables as agreed in the project document; they include technical and financial reporting obligations and require progress and terminal reports prior to the disbursement of funds.

B. Information on FAO's regular programme and extrabudgetary resources dedicated to the implementation of the *Global Plan of Action*

FAO Regular Programme resources of direct relevance to the *Global Plan of Action* for Animal Genetic Resources

22. In FAO's Medium Term Plan (MTP) 2010-13 and its Programme of Work and Budget (PWB) 2010-11¹⁴ and 2012-2013,¹⁵ animal genetic resources-related activities are listed under three Organizational Results. In addition, the majority of decentralized offices have planned activities and outputs related to the implementation of the *Global Plan of Action*, based on the requirements of each region.

¹³ CGRFA-12/09/Report, paragraph 43.

¹⁴ C 2009/15.

¹⁵ C 2011/3.

23. FAO has been involved in the development of national and regional Technical Cooperation Projects contributing to the implementation of the *Global Plan of Action*. The FAO wide funding for the 2012-2013 biennium adds up to approximately USD 4.8 million of assessed contributions and USD 3.5 million of voluntary contributions, plus USD 1.9 million for TCPs by FAO and another USD 1.1 million for TCPs by the Joint FAO-AGE Division. An overview of resources by Organizational Output, Strategic Priority Area and location can be found in document, *Detailed FAO Progress Report on the implementation of the Global Plan of Action for Animal Genetic Resources*.¹⁶

24. An increasing number of countries requesting technical assistance, the continued need to keep up-to date with fast-emerging new technologies in animal genetics and breeding, and the need to support capacity development and the implementation of the Funding Strategy put high pressure on FAO's human resources.

Voluntary contributions to FAO

25. Trust funds in support of the *Global Plan of Action* have been made available under the Strategic Partnership for Rural Development between Sweden and FAO, under the FAO-Norway Partnership Cooperation Agreement and the FAO-Turkish Partnership Programme, and by Germany. The funds under these programme cooperation agreements help FAO to provide catalytic funds for special activities at all levels. FAO is also associated with two GEF and several projects funded by the European Commission that support the generation and dissemination of knowledge. FAO prepared a multi-donor trust fund programme to facilitate the implementation of the *Global Plan of Action* which has so far not received any contribution.

Resources not under FAO control

26. The Funding Strategy also includes resources which are not under FAO control. FAO has a facilitating role in enhancing countries' access to information on funding, in that it continues to provide information on funding sources and grants through the DAD-net discussion network and through the website.¹⁷ The information provided in the document, *Synthesis progress report on the implementation of the Global Plan of Action for Animal Genetic Resources – 2012*¹⁸, provides an overview of various policies, programmes and activities undertaken at different levels to promote the wise management of animal genetic resources.

III. DRAFT MONITORING AND EVALUATION SYSTEM

27. Results-based management forms part of the Funding Strategy.¹⁹ The Commission, at its Thirteenth Regular Session, requested FAO to administer, implement, monitor and evaluate projects funded under the Trust Account, in line with the rules and procedures laid out in the Funding Strategy and FAO procedures. It also requested FAO to prepare draft monitoring procedures, as envisaged in the Funding Strategy.²⁰

28. Draft procedures for monitoring and independent evaluation are given in Annex I to this document, for consideration by the Working Group. It should be noted that the Funding Strategy, in Section C, II, 8 sets out reporting and monitoring requirements for individual projects funded under the Trust Account, whereas Section D describes reporting requirements for the portfolio of projects. The application of standard FAO procedures, as applicable to LoAs, and financial rules will ensure routine reporting and monitoring in line with those requirements.

¹⁶ CGRFA/WG-AnGR-7/12/Inf.2.

¹⁷ http://www.fao.org/ag/againfo/programmes/en/genetics/Funding_strategy.html

¹⁸ CGRFA/WG-AnGR-7/12/Inf.3.

¹⁹ Funding Strategy, Annex I, Section C, II 8c.

²⁰ Funding Strategy, Annex I, Section C, II 8c.

29. The Funding Strategy requires independent evaluations for the use of the resources under the Trust Account²¹. Such substantial evaluations are necessary to assess, analyze and further improve the impacts of the use of the resources for the implementation of the *Global Plan of Action*.²² Evaluations can be undertaken at the level of individual projects, or at the programme or portfolio level which may review more closely a small sample of projects. An independent evaluation as foreseen in the Funding Strategy, Part C, 9, could be requested by the Commission after the projects under the first call for proposals are completed. In order to be commensurate with the budget of the first call for proposals, it is proposed that any possible evaluation of the projects under the first call for proposals should be at portfolio rather than individual project level. The costs of such an evaluation which normally includes visits to two countries managed by FAO's Office of Evaluation (OED) would amount to approximately 35,000 USD to be paid from the Trust Account (see *Table 3*).²³ A simple and relatively low-cost project portfolio evaluation is described in *Annex I.C*.

30. The Commission, at its Fourteenth Session, may wish to consider the timing, scope and budget of the possible evaluation.

Table 3. Budget estimate for monitoring and evaluation of the first project cycle funded under the Trust Account of the Funding Strategy (USD)

	Initial or one-off	Continuous p.a.
Development of results framework and database (baselines, indicators, targets etc)	70,000	20,000
Extension and refinement of "Reporting system" and "Funding Strategy" websites	11,000	5,000
Development of project database	26,000	20,000
Development and population of "best practices" section	13,000	5,000
Development and population of "success stories" section	13,000	5,000
Independent evaluation incl. visits of two country	35,000	

31. The reporting to the Commission on the implementation of the *Global Plan of Action* and the Funding Strategy is supplemented by FAO's regular reporting on programme implementation and the use of assessed and voluntary contributions.²⁴ As regards projects, online access to project information provided through the Field Programme Management Information System (FPMIS) is already available to recipient governments and donors. The information provided includes project details, financial data and relevant project documents for projects operated in a recipient country or funded by a specific donor.

²¹ Funding Strategy, Section C, II, 9; Section D, II.

²² Funding Strategy for the Implementation of the Global Plan of Action for Animal Genetic Resources, Annex I, Section D, chapter 2, paragraphs 4-6: Information and reporting requirements.

²³ http://www.fao.org/fileadmin/user_upload/oed/docs/Evaluation_Docs/Guidelines/OED_procedures_project_evaluation_November_2011_EN.pdf

²⁴ C 2013/8 PIR 2010-11, paragraph 71, 110 and annexes.

IV. GUIDANCE SOUGHT

32. The Working Group may wish to:
- review and finalize the draft procedures for monitoring and independent evaluation, for adoption by the Commission.
33. The Working Group may wish to recommend that the Commission:
- thank Governments having contributed to the FAO Trust Account; and urge Governments and other potential donors to provide or increase funding to the FAO Trust Account and to other funds that support the implementation of the *Global Plan of Action*;
 - thank the members of the Working Group Bureau, the Regional Focal Points and the Panel of Experts for their significant work and valuable contributions in the first project cycle of the Funding Strategy;
 - request FAO to continue providing regular programme funds and technical advice to support country implementation of the *Global Plan of Action*;
 - request FAO to continue to pursue partnerships and alliance with other international mechanisms and organizations to enhance mobilization of financial resources for implementation of the *Global Plan of Action*;
 - consider changing the Funding Strategy (Annex I, Section B.II.4(f)) as to allow for the direct submission of project proposals to the FAO secretariat;
 - decide, with regard to future calls for proposals, that countries may submit a single-country concept note and join, in addition, one multiple-country concept note; and
 - define more clearly the role of the Regional Focal Points in the pre-screening of concept notes.

Annex 1

Draft procedures for monitoring and independent evaluation

A. Objectives

These monitoring and evaluation procedures aim to promote:

- a. Accountability and transparency for the achievement of priorities established by the Commission for use of resources under Trust Account through the assessment of outputs, outcomes and impact, effectiveness, processes, and performance.
- b. Learning, feedback, and knowledge sharing on results and lessons learned, as a basis for decision-making on policies, strategies, programmes, and project management.

B. Reporting and monitoring

In line with the reporting and monitoring requirements for individual projects funded under the Trust Account (Section B.8 of Annex 1 to the Funding Strategy), result-based management is part of the Funding Strategy and will be achieved through:

- a. use of standard reporting and monitoring procedures;
- b. recipients' reports prepared in accordance with an agreed reporting schedule and progress milestones identified in the project document and approval process;
- c. FAO standard monitoring procedures, as applied by FAO to Letters of Agreement (LoA);
- d. Responsibility for project monitoring: The executing entity will develop agreed monitoring products and deposits them with the Secretariat as set out in the project approval process.

C. Evaluation

- a. A terminal independent evaluation of the project portfolio is conducted at the end of the project cycle.
- b. The minimum requirements for such evaluation are:
 - compliance with norms and standards of the United Nations Evaluation Group.
 - assessing at a minimum:
 - the achievement of outputs and outcomes, and provide ratings for targeted objectives and outcomes;
 - the sustainability of outcomes after project completion, with a scale of rating;
- c. The minimum contents of the terminal evaluation report are:
 - basic data on the evaluation:
 - when the evaluation took place,
 - who was involved,
 - the key questions, and
 - the methodology;
 - basic data on the project, including expenditures from the Trust Account and other sources;
 - lessons for broader applicability; and,
 - the terms of reference of the evaluation (in an annex).
- d. The independent evaluation shall be based mostly on review of project documents and reports, and interviews, questionnaires, focus group discussions via electronic communication.
- e. It shall include visits to the locations of a limited sample of projects.

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- f. The evaluation report shall be submitted to the Secretariat within a reasonable time after termination of the projects.
 - g. The evaluation report shall contain findings and recommendations and will be made public through the website.
 - h. Responsibility: the evaluation team is composed by independent experts not involved with the projects and the Trust Account. An approach paper and Terms of Reference for evaluation are prepared by the Secretariat and the FAO Evaluation Office. The evaluation report is reviewed, if needed, by the evaluation office of the executing entity. The evaluation team is solely responsible for the independent evaluation report.