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PROGRAMME COMMITTEE

Hundred and Sixth Session

Rome, 21 - 25 March 2011

CORPORATE STRATEGY ON CAPACITY DEVELOPMENT

Executive Summary

- The 104th session of Programme Committee requested the Secretariat to submit to its 106th session an Implementation Plan for the Corporate Strategy on Capacity Development that addresses eight specific points raised by the Committee.
- The Secretariat recognizes that these points are extremely important, and a commentary on how these are addressed in the Implementation Plan is provided with links to relevant action items in the Plan.
- The paper describes the major challenges associated with the successful development of FAO's new Capacity Development approach which have to be addressed in the implementation of the Corporate Strategy. The Plan was developed by, and requires continuing contributions from, units from all parts of FAO.
- A summary of the main expected results from the five major categories of actions in the Implementation Plan is provided, in terms of relative priority and timing, and the full Plan is provided in the Annex.

Suggested action by the Programme Committee

- The Programme Committee may wish to provide advice on the nature and scope of the Implementation Plan for the Corporate Strategy on Capacity Development.
- The Programme Committee may also wish to recommend to the Council that governments and other actors in agriculture and rural development be urged to commit to the Capacity Development approaches advocated in the Paris Declaration and Accra Agenda for Action, and to promote the integration of Capacity Development into programming, planning and prioritization. These approaches are integral to FAO's Corporate Strategy on Capacity Development and are essential for its successful implementation.

Queries on the substantive content of this document may be addressed to:

Mr Anton Mangstl
 Director, Office of Knowledge Exchange, Research and Extension
 Tel. +39 (06) 570-53579

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1. This paper provides the background and key issues for the attention and guidance of the Programme Committee on *FAO's Corporate Strategy on Capacity Development* and its Implementation Plan.

Background

2. The Programme Committee at its 104th session of October 2010 considered the Corporate Strategy on Capacity Development. The Programme Committee noted that “*the corporate strategy on capacity development had addressed a very important segment of the Organization’s work. The Committee gave its general support to the corporate approach and the principles contained in the strategy, but serious concerns were expressed about the lack of a well-defined plan of action in implementing the corporate strategy*”. The Programme Committee requested that: (1) the corporate strategy be resubmitted to the Programme Committee at its session in March 2011, and (2) the revised paper provide an implementation plan which covers some particular aspects as below.

3. The Council at its 140th Session considered the Corporate Strategy and stressed the importance of sustainability. In addition, the Council requested the Secretariat to prepare an implementation plan on the capacity development strategy to be presented to the Programme Committee at its session in March 2011 and “*recommended that the use of the Technical Cooperation Programme (TCP) resources for capacity development be utilized in a more strategic and sustainable manner*”. As requested, the Corporate Strategy with a detailed Implementation Plan is provided in Annex 1.

4. Management recognizes that the points identified by the Programme Committee are all extremely important, and a commentary on how these are addressed in the Implementation Plan is provided in this document. Management also recognizes that there are major challenges associated with the successful development of FAO’s new Capacity Development approach which have to be addressed in the implementation of the Corporate Strategy. Many of these challenges are being faced by every organization working in international development, as the whole sector strives to be more effective in this key area.

5. In the case of FAO, there are three main challenges. Firstly, every part of FAO has to embrace and commit to the new corporate objectives and concepts in Capacity Development, and deliver on its role in the implementation of the strategy. Secondly, the success of some of the major reform agendas such as results-based management and decentralization is essential to an effective implementation of the strategy. Thirdly, the competencies and knowledge of individual staff at all locations and in FAO’s collaborators have to be brought up to required standards, if they are to be truly effective agents of Capacity Development. The Implementation Plan includes action items designed to address these challenges, but commitment at all levels of the Organization is key to success.

6. Some external challenges outside the reach of FAO may impede successful Capacity Development at country level if they are not addressed. The most important of these is that Member countries and other actors need to adopt a similar vision for sustainable Capacity Development, and recognize their co-responsibility in the process.

The Implementation Plan of the Corporate Strategy

7. An Implementation Plan for the Strategy was first developed in early 2010 with inputs from many FAO units, including decentralized offices, which contribute towards action items that will lead to the enhancement of FAO’s Capacity Development approach and achievement of results at the country level. The Plan has been modified to address the specific points raised by the Programme Committee and the Council, and it includes all of the action items from the Management Response to the “Evaluation of FAO’s activities on Capacity Development in Africa¹”. The Plan will continue to be regularly updated and reviewed by OEK² and the Inter-Departmental Working Group (IDWG) on Capacity Development. The Plan shows action items, participating units, timeframes, requirements for further funds, the current status, and cross-reference items against the points raised by Programme

¹ PC 104/5 Sup.1

² Office of Knowledge Exchange, Research and Extension

Committee. The participation of FAO technical departments in follow-up actions will be ensured through the IDWG on Capacity Development.

Main actions and time schedules

8. The Implementation Plan is shown in the appendix to Annex 1 and comprises the five areas of action identified in the Corporate Strategy (Annex 1, paragraphs 16-20). Around half of the 69 action items are already “in progress”, with 5 items completed. A third of the action items are classified as “ongoing” and will continue for at least the next two biennia. The Plan realistically covers action items planned over the next two years; however, it will be updated on an ongoing basis as the full implementation of the Strategy is a long-term process. The main features of each area of action are summarized below.

A. Internal Capacity Development governance and coordination. This is a high priority area of the Plan, and almost all action items are ongoing. Mechanisms are being established to ensure the effective delivery of the Implementation Plan, with OEK taking the lead role.

B. Capacity Development in programming. This area has around a third of the action items in the Plan, many of which are already in progress or due to start in 2011. The actions that have been prioritized relate to enhancement of FAO’s principal programming mechanisms, including the Country Programme Framework and the Field Programme Manual, which are being adapted to include processes, support tools, and milestones aimed at ensuring that Capacity Development is properly addressed and mainstreamed.

C. Planning, monitoring and reporting mechanisms. This area of the Plan is a high priority. There are three action items, all of which are in progress and due to be completed in 2011. Sound approaches for monitoring and evaluation of Capacity Development activities are being developed to provide guidance to the Strategic Objective teams.

D. Communication. The main messages from FAO’s corporate strategy and the new approaches will be communicated within FAO and with external stakeholders. The internal dimension of this area of action has been scheduled for 2011, with external communication deferred to 2012.

E. Institutionalization of the Capacity Development function in FAO’s human resources policies and procedures. This is a high-priority area of work. Work on a comprehensive staff development programme on the new approaches to Capacity Development began in 2010, and will continue through to 2012. Learning materials will be developed and offered to FAO staff and collaborators. Over the next two years, appropriate skill profiles and responsibilities will be incorporated into post descriptions and terms of reference, the staff competency framework, and into performance evaluation and monitoring of staff and consultants.

9. The principal tasks in the Implementation Plan are monitored in FAO’s results-based management system under Organizational Result X2 (Effective and coherent delivery of FAO core functions and enabling services across Organizational Results).

Specific points raised by the Programme Committee

10. The eight specific points raised by the Programme Committee³ have been addressed at various places in the Plan and are described in the following paragraphs.

11. **Sustainability of FAO’s work in capacity development.** If FAO’s interventions are to be sustainable, they need to be based on long-term joint efforts of governments supported by FAO. Therefore, sustainability is a central theme of the Corporate Strategy, and most of its basic principles aim to enhance the likelihood of sustainable impacts of FAO’s efforts. For example, programmes and projects should: (a) appropriately target the three dimensions of Capacity Development, (b) promote national ownership and leadership, and (c) include an exit strategy for FAO. These matters are taken up in various parts of the Implementation Plan. For instance, Strategic Objective teams will consider and include Capacity Development approaches in the formulation of the Strategic Objectives. ([Plan](#)

³ CL 140/8 para 14b

Items: 6.4, 7.1, 8.1, 11.1-3 and 12.1-3) Appropriate Capacity Development principles are being included in FAO's Field Programme Manual so that issues related to sustainability are adequately addressed during project formulation and approval, and the revision of the project appraisal and approval process will ensure that such points are consistently applied. (Plan Items: 5.1, 9.1-9.2 and 11.4). Awareness-raising and learning materials and events are the principal means to bring these messages to FAO staff and collaborators. (Plan Items: 13.1-13.6 and 16.2-16.6) Finally, the principles are made easily accessible to FAO staff and collaborators⁴ who work on Capacity Development programmes and projects, via the FAO Web site⁵. (Plan Item: 6.3)

12. FAO working as one. “One-FAO” is a major feature of the IPA, and some aspects of this topic are addressed in the next two paragraphs. Headquarters departments, decentralized offices and Strategic Objective teams are responsible for integrating effective Capacity Development approaches into FAO’s programme of work. As a practical measure to facilitate improvements in the quality of delivery, the integrated approach to FAO’s programme and budget now encompasses all of FAO’s Capacity Development interventions that are being planned, implemented and monitored in programmes and projects by all units. (Plan Items: 11.1-11.5)

13. The coordination between headquarters' departments (including the Technical Cooperation Department), decentralized offices and Strategy Teams, with the Office of Knowledge Exchange, Research and Extension having the coordination and facilitation role. FAO has put in place measures to establish effective governance of the Core Function on Capacity Development, in order to ensure that the Strategy can evolve in accordance with Members’ demand. Within the Secretariat, the IDWG and its various task groups provide the central coordination, including adjustment and monitoring of the Implementation Plan. Headquarters' departments (including the Technical Cooperation Department), decentralized offices and Strategy Teams are all actively represented in the IDWG, and most are lead units in actions items of the Implementation Plan. The IDWG and the Capacity Development Core Function are coordinated by OEK, whose principle tasks are to lead on the Strategy implementation, monitoring, and reporting. (Plan Items: 1.1-1.2 and 2.1-2.2)

14. The roles and functions of decentralized offices. Even though broadly speaking, most FAO units have roles in improving the quality of FAO’s Capacity Development work, the country representations, subregional and regional offices are particularly important as they interact most directly with national and regional actors and are responsible for leading FAO’s response to country and regional priorities. The roles and functions of the decentralized offices are being described in the revised Circular on Responsibilities and Relationships which will be issued in 2011, and related actions are being implemented on Decentralization in the Immediate Plan of Action (IPA). Headquarters units and decentralized offices have common objectives but complementary roles, with the latter taking the lead in FAO’s engagement in long-term country-led processes to enhance technical and functional capacities that address the three dimensions in an integrated way. Decentralized offices require adequate resources, orientation, and staff development to be able to fully adopt this role. (Plan Items: 11.1, 11.5, and 18.2)

15. The inclusion of capacity development activities in the Country Programming Framework. The new guidelines for the Country Programming Framework will contain clear guidance to country offices to ensure the inclusion of Capacity Development issues in programming, planning, and prioritization. (Plan Item: 8.1-8.2)

16. The role of the different sources of funding, including TCP and trust funds. The Technical Cooperation Department has coordinated the development of a corporate strategy on resource mobilization, which has been adjusted to reflect key points from the Capacity Development Strategy (Plan Item: 15.1-15.2). FAO now plans and implements its programmes of work funded from

⁴ Collaborators are FAO consultants, contractors, and partner organizations which work on FAO programmes and projects.

⁵ FAO Capacity Development Portal: <http://www.fao.org/capacitydevelopment>

both assessed and voluntary contributions, with the latter complementing the former to meet the Organization's planned results in priority areas identified at the global, regional or national level. These priorities include various key aspects and dimensions of Capacity Development, which are specifically referenced in the Strategy. Criteria have been established by the Organization when reviewing project/programme proposals for funding, among which are appropriate approaches to capacity development that will ensure sustainability. These matters will also be considered in the new Field Programme Manual being prepared by FAO. (Plan Item: 9.1). With regard to TCP, management recognizes that there are certain limitations to the use of TCP for capacity development, especially as regards the duration of projects, the inability to introduce follow-up projects, and the need for intensive consultation on priorities with individual Member States. Points related to enhancing the use of TCP for Capacity Development need to be taken up by the Programme Committee in the context of determination of the TCP criteria. (Plan Item: not applicable)

17. **The role of partnerships.** Partnerships with national and regional actors, other UN agencies and institutions are critical to the success of Capacity Development efforts at national and regional levels. At a corporate level, the development and broad dissemination of the corporate strategy on partnerships throughout the Organization is led by OCE⁶. Regional representatives will ensure more systematic partnering with regional and local institutions involved in Capacity Development to complement the expertise available in decentralized offices. (Plan Items: 11.6 and 13.7)

18. **The role of South-South Cooperation.** South-South Cooperation is an effective modality to strengthen national capacities, as reflected in the Management Response to the "Evaluation of FAO's Activities on Capacity Development in Africa". In order to make certain that South-South experts are well suited to the country of service, FAO will ensure that the profiles and skills of the experts reflect a thorough knowledge of local context, as well as knowledge and experience regarding Capacity Development. (Plan Items: 11.7 and 20.3)

Guidance sought

19. The Programme Committee may wish to provide advice on the nature and scope of the Implementation Plan of the Corporate Strategy on Capacity Development. The Programme Committee may also wish to recommend to the Council that governments and other national and international actors in agriculture and rural development be urged to commit to the Capacity Development approaches advocated in the Paris Declaration and Accra Agenda for Action and to promote the integration of Capacity Development into programming, planning and prioritization process. These approaches are integral to FAO's Corporate Strategy on Capacity Development and are essential for its successful implementation.

⁶ Office of Corporate Communications and External Relations

Annex 1

FAO's Corporate Strategy on Capacity Development

A. DEFINITION OF CAPACITY DEVELOPMENT

1. In international development, capacity is seen as “the ability of people, organizations and society as a whole to manage their affairs successfully”⁷, leading to attainment of the Millennium Development Goals and FAO’s three Global Goals in line with national development plans. Capacity Development (CD) is the “process whereby people, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time”⁸.
2. CD has traditionally been associated with knowledge transfer and training of individuals, yet it is a complex, non-linear and long-term change process in which no single factor (e.g. information, education and training, technical assistance, policy advice etc) can by itself be an explanation for the development of capacity. It contributes to addressing specific needs of member countries and (sub)regions across the three inter-linked **individual, organizational, and policy** dimensions. FAO’s approach to CD is intended as a principal ‘modus operandi’ underpinning FAO’s programme of work. All of FAO’s technical work in headquarters and in countries has some CD aspect. Some of FAO’s work (e.g. in the development of standards, global information systems, or international treaties) is not focused primarily on CD, but national and regional actors do need to develop their capacities to contribute to and use these products and services.
3. The general trend in the international development community is to replace the term “**capacity building**” with “**capacity development**”. The shift in terminology reflects an evolution from an original concept of an essentially externally-driven process in which there were no pre-existing capacities, to a new concept that places strong emphasis on national ownership and on endogenous change processes. In conformity with other UN agencies, FAO will adopt the new term ‘capacity development’, although the previous term will continue to be valid as it is pervasive in existing FAO documentation.

B. THE BUSINESS CASE FOR CHANGE: A NEW APPROACH TO CAPACITY DEVELOPMENT

4. Capacity is a critical aspect of development, which is reflected throughout the Paris/Accra Aid Effectiveness agenda. Ever since FAO’s inception, CD has been at the core of its mandate and one of the most important result areas for the Organization. In the complex, crowded and competitive sector of Agriculture and Rural Development (ARD)⁹, FAO has to change to become a more effective CD actor. Inaction would cause the Organization’s CD role to become obsolete and unfit for the current needs at country and regional level, with consequences to the Organization’s effectiveness, credibility, and reputation.
5. Pressure for change comes from FAO’s internal reform processes and from the global environment, including the United Nations and the evolving needs and demands from member countries. As a core function, CD is closely associated with the Organization’s key processes that are being transformed – such as managing for results and the improving FAO’s programming practices and approach to measuring impact. At the same time, changes in the **global aid environment** affect the way the Organization traditionally positions itself as a player in the international development arena. These changes include:

⁷ Source: Organization for Economic Cooperation and Development / Development Assistance Committee (OECD/DAC)

⁸ Source: OECD/DAC

⁹ ARD includes all sectors of FAO work, including food security, forestry, fisheries and natural resources.

- increasing calls on FAO to participate in UN-wide country approaches focusing on CD, and to plan and coordinate CD under multi-donor mechanisms;
- countries increasingly leading their own development programmes and managing the allocation of resources, with several implications for the role that FAO plays;
- global challenges of climate change, environmental degradation, and the worldwide financial and economic crises, and the resulting complex new development needs, which have increased the demand for specialized advice on a wider range of agricultural problems, and led to the demand for support in development of non-technical “Functional” capacities such as leading, managing, adapting to and sustaining change;
- increasing availability of other sources of expertise in the ARD sector, with FAO no longer being the only global expert in its domain.

6. The combined effect of such factors makes CD a compelling topic on FAO’s agenda and calls for new instruments, approaches and skills to attract resources, make partnerships, and relate to national and regional actors. Hence the new corporate strategy introduces some key improvements in FAO’s approach to CD, which include:

- A shift in the nature and quality of CD support aimed at accelerating the transformation of FAO’s role from that of a provider of technical assistance to that of **facilitator of change** over extended time horizons. This new approach builds on local resources, including people, skills, technologies and organizations, and it focuses on strengthening the **sustainability** of CD interventions by encouraging national ownership in development processes.
- More emphasis on **dialogue** with national partners and stakeholders, to move from supply-driven to **demand-driven** CD efforts, involving joint setting of goals and strategies based on assessed needs, mutual interests and collaborative relations between FAO and national and regional actors.
- A more **integrated** approach whereby capacities of individuals, organizations and enabling policy environment are considered, with attention to Technical and Functional capacities as explained below.
- An increased focus on forming **partnerships** with other CD actors, for FAO to complement the limitations in its own capacity at country level while covering other sectors across the development environment, which leverages a greater impact on CD processes for all actors.

C. BENEFITS OF THE NEW CAPACITY DEVELOPMENT APPROACH

7. The new approach will benefit FAO in various ways as it will result in: an increased coherence and effectiveness of CD activities across the ARD sector; a strengthened impact and visibility and a strategic re-branding of FAO’s CD role; a strengthened credibility for FAO as a CD partner within the international community and in the context of the UN “Delivering-as-One”; and an increased and more effective application of FAO’s resources for CD linked to achieving outcomes in the MTP-PWB. Ideally, countries will also engage in this new approach to CD jointly with FAO as mutually accountable parties, and become more capable of creating, adopting, leading, implementing and sustaining change initiatives towards achievement of their objectives in food security and ARD.

D. FAO’S NEW CAPACITY DEVELOPMENT VISION

8. FAO will be an important actor for CD in its areas of work in agriculture and rural development (including forestry and fisheries). FAO will play a catalytic role in partnership with national, (sub)regional and international actors by delivering high quality CD support grounded in national, regional and global plans and strategies. FAO’s CD role will be geared towards facilitating the development of a sustainable capacity base of member countries and regions in food security, agriculture and rural development to help achieve the three Global Goals of FAO Members and the MDGs.

E. FAO'S CAPACITY DEVELOPMENT FRAMEWORK

9. The new CD framework, introduced in the Corporate Strategy on CD is an analytical tool that will guide FAO staff and their partners to analyse jointly existing situations in terms of capacities and to identify the appropriate type(s) of intervention for fostering the development of capacities in member countries. The framework (Figure 1) is based on the enhancement of Technical and Functional capacities, which are pre-requisites to achieve the three Global Goals of FAO Members, across three dimensions: the individual, the organizational and the enabling policy environment. The components of the framework are discussed in the following paragraphs.

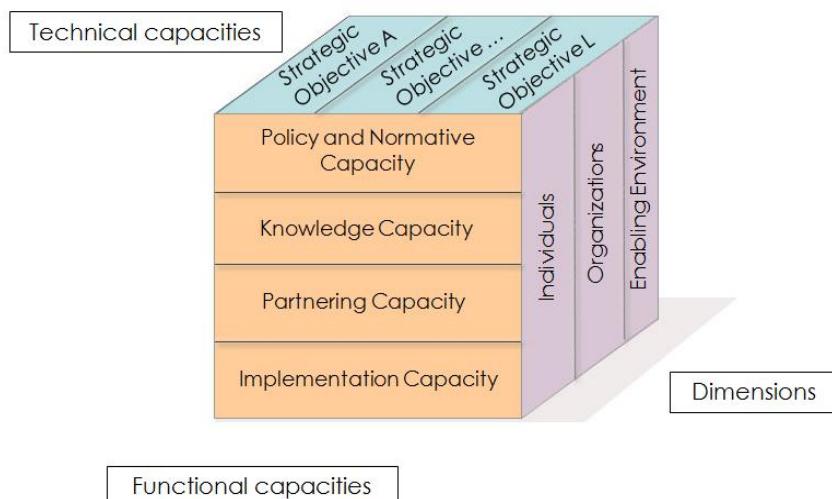


Figure 1: The CD Framework in FAO

10. **Technical capacities** are required in the broad areas of food and agriculture to enable national and (sub)regional actors to carry out all technical tasks required to intensify production sustainably, manage natural resources, and eventually to improve food safety and security for all. FAO's technical work is reflected in the eleven Strategic objectives (A-L) in the Strategic Framework.

11. In addition, four **Functional capacities** enable countries and (sub)regions to plan, lead, manage and sustain change initiatives in ARD to ensure that technical know-how is embodied in local systems and processes in a sustainable way:

- a) Policy and Normative: capacities to formulate and implement policies and lead policy reform;
- b) Knowledge: capacities to access, generate, manage and exchange information and knowledge;
- c) Partnering: capacities to engage in networks, alliances and partnerships;
- d) Implementation: management capacities to implement and deliver programmes and projects, from planning to monitoring and evaluation.

12. Technical and Functional capacities, which are themselves interrelated, exist across three dimensions of enabling policy, organizations and individuals (Figure 2).

- a) The dimension of enabling **policy** environment relates to political commitment and vision; policy, legal and economic frameworks; national public sector budget allocations and processes; governance and power structures; incentives and social norms.

- b) The **organizational** dimension relates to public and private organizations, civil society organizations¹⁰, and networks of organizations¹¹ in terms of: (a) strategic management functions, structures and relationships; (b) operational capacity (processes, systems, procedures, sanctions, incentives and values); (c) human and financial resources (policies, deployment and performance); (d) knowledge and information resources; and (e) infrastructure.
- c) The **individual** dimension¹² relates to the people involved in ARD in terms of: knowledge, skill levels (technical and managerial) and attitudes that can be addressed through facilitation, training and competency development.



Figure 2: The three dimensions of CD

13. In CD interventions, all three dimensions are interlinked; individuals, organizations and the enabling policy environment are parts of a broader whole. CD often involves the enhancement of knowledge of individuals, although the output of individuals greatly relies on the quality of the organizations in which they work. Furthermore, the effectiveness of organizations and networks of organizations is influenced by the policy environment¹³. Conversely, the policy environment is affected by organizations and the relationships between them.

F. MOVING TOWARDS IMPROVED CAPACITY DEVELOPMENT PRACTICES

14. The new approach will require FAO staff in all locations to adopt improved practices and tools as well as participate in learning programmes on CD. An internal review of good CD practices identified the strengths of FAO's current CD practices with critical success factors that apply at three different stages in CD interventions (Table 1). These have been documented and are available internally and via the Organization's CD Portal website. Technical departments and decentralized offices will strengthen FAO's CD approach by embedding these factors systematically into their CD work.

¹⁰ e.g. central and decentralized government agencies and ministries, social protection systems, inspectorates, laboratories, national agricultural research systems, global and regional economic commissions, enterprises, cooperatives, commerce chambers, consumer groups, producer associations, community-based organizations, NGOs, and formal and non-formal education and training institutes, etc.

¹¹ e.g. research and extension systems, transboundary natural resources management systems, surveillance systems, and public-private partnerships, etc.

¹² e.g. public servants and staff of ARD organizations, producers, farmers, fishermen, herders, rural service providers, distributors, technicians, traders, food inspectors, etc.

¹³ adapted from DAC, *The Challenge of Capacity Development: Working towards Good Practice*, February 2006

Table 1. Critical success factors in CD

Early stage: identification of CD demands	Formulation & implementation	Finalization and sustainability aspects
<ul style="list-style-type: none"> • Use of frameworks derived from international initiatives (e.g. conventions, treaties) • Early involvement of national actors using participatory approaches • Commitment of national actors to policy implementation and performance improvements • Identification of local/national champions to catalyze change • Undertaking of targeted needs assessment 	<ul style="list-style-type: none"> • Attention to national, regional and sub-regional context • Attention to all three dimensions of capacity • Attention to Technical and Functional capacities • Combination of modalities of intervention • Application of sound training methodologies with appropriate pedagogy • Adoption of medium to long-term approaches • Creation of networks for knowledge and experience sharing 	<ul style="list-style-type: none"> • Internalization of changes by national actors into their priorities, systems and processes • Ongoing strategic budget allocations • Incremental approaches building on feedback from previous phases • Empowerment of local communities • Monitoring and evaluation of outcomes and impact

G. AGENDA FOR ACTION TO IMPLEMENT THE STRATEGY

15. The organizational changes required in FAO to adopt its new CD approach have been formulated into an implementation plan which requires the contribution of all FAO units in all locations. The implementation plan comprises five main areas of action as below.

16. **Internal CD Governance and Coordination.** FAO will take measures to establish effective CD governance in order to ensure that FAO's approaches to CD are appropriately guided by member needs, and that CD is fully institutionalized within FAO's systems and procedures. The governance tasks will be led by an Interdepartmental Working Group on CD, and coordination will be ensured amongst FAO's eight core functions based on synergies identified between the different strategies and implementation plans. Actions on CD will also be integrated with the ongoing processes under the Immediate Plan of Action for the reform of FAO.

17. **CD programming.** Guidelines and criteria for formulation, approval, and monitoring and evaluation of FAO's projects and programmes will be revised to reflect and emphasize the new CD approach, leading to increased corporate coherence.

18. **Planning, monitoring and reporting mechanisms.** FAO's Strategic Framework provides the means for structured and inclusive planning, monitoring and measuring the impact of CD activities contributing to agreed outcomes as measured by targets and indicators. FAO's CD activities are critical to achieving many of the specific results (outcomes)¹⁴ in the Medium Term Plan that contribute directly and indirectly to fighting poverty and defeating hunger, reinforcing FAO's external accountability for CD outcomes by its Members.

19. **Communication** of FAO's CD strategy will be important to raise awareness, firstly internally amongst FAO staff who will engage actively in making CD practices more effective, and it will promote understanding of the Organization's enhanced CD role and its operational implications. Secondly, external communication about FAO's CD strategy and achievements will become an

¹⁴ Approximately one third of the Organizational Results in FAO's Medium-Term Plan (MTP) explicitly refer to CD, and many other Organizational Results involve CD.

integral part of the Organization's corporate communication activities with member countries and the general public.

20. Institutionalization of the CD function in FAO's Human Resources policies and procedures will include: establishment of clear roles and responsibilities in CD amongst technical departments and decentralized offices; reflection of CD-related responsibilities and targets in job descriptions and performance evaluation processes of staff at all levels including FAO Representatives¹⁵ and Regional Representatives¹⁶; personal development frameworks and learning programmes for CD-related competencies for FAO personnel at all levels; inclusion of appropriate selection criteria for short-term personnel recruited for assignment on CD-oriented programmes.

¹⁵ Based on the latest revision of the ADM manual (4/2/2008), a FAOR "assists their countries of accreditation with *developing national capacity*, mobilizing resources, developing partnerships and exchanging knowledge and information in favor of food, agriculture and rural development".

¹⁶ The Regional Representative "supports capacity development and resource mobilization for food security, agriculture and rural development in the region" [Admin Manual, revision 4 Feb 2008, Section 117.2.32 (iii)]

Appendix: Capacity Development Implementation Plan as at January 2011

Action Item	Reference to Programme Committee points	Participating Units	Target Completion Date	Recommendation from Management Response to CD Evaluation in Africa	Further funding (Y/N)	Status on Progress
Area of Action A: Internal CD Governance and Coordination						
<i>Manage and monitor the implementation of FAO's Capacity Development (CD) strategy to ensure suitability to member needs, buy-in from stakeholders and coherence with other UN agencies.</i>						
1.1 Manage and monitor the Implementation plan - ensure it is accurate and up-to-date and being auctioned.	Coordination	OEKC	ongoing	N	N	In Progress
1.2 Chair the Inter-Departmental Working Group (IDWG) and organize IDWG meetings.	Coordination	OEKD	ongoing	N	N	In Progress
1.3 Strengthen the network of CD focal points within departments.		OEKC	NA	N	N	Complete
1.4 Develop the strategy, consolidating input from headquarters and decentralized offices, case studies, and country missions.		OEKC with input from IDWG-CD	NA	N	Y	Complete
1.5 Coordinate Status Reports on CD for the Director General.		OEKC	ongoing	N	N	In Progress
1.6 Participate in meetings with governing bodies.		OEKC and other Units	ongoing	N	N	In Progress
<i>Work closely with the other core functions and other units, aligning strategies, activities and staff development whenever possible.</i>						
2.1 Align with other core functions and other units to ensure that strategies, activities and staff development initiatives are compatible and integrated whenever possible.	Coordination	OEKC & IDWG-CD	ongoing	N	N	In Progress
2.2 Further the communication between core function groups to enhance cross-	Coordination	OEKC	ongoing	N	N	In Progress

Action Item	Reference to Programme Committee points	Participating Units	Target Completion Date	Recommendation from Management Response to CD Evaluation in Africa	Further funding (Y/N)	Status on Progress
<i>support of national CD, including capacity assessments and standards for quality design of CD projects/programmes.</i>						
6.1 Develop Capacity Assessment tool for CD at country level in coherence with the Country programming process (reference activity 8) and at sector level.		OEKC	NA	N	N	Complete
6.2 For Capacity Assessment tool, ensure successful implementation by the following: <ul style="list-style-type: none"> • Liaise with Inwent, UNDP, World Bank, Learning Link and other externals for quality check; conduct capacity needs assessments in programme and project design; • Pilot the Capacity Assessment tool at country level; • Support the implementation of the Capacity Assessment tool by providing ongoing help to FAO divisions and Decentralized Offices as requested. 		OEKC and other FAO units	ongoing	N	N	In Progress
6.3 Maintain inventory of existing FAO learning resources and good practices and publish on CD portal.	Sustainability	OEKC	ongoing	N	N	In Progress
6.4 Develop guidelines and tools for projects and specific CD guidance to supplement the Organization's results-based programming guidelines so that FAO staff and collaborators: <ul style="list-style-type: none"> • conduct capacity needs assessments in programme and project design; • understand organizational and institutional context; • encourage beneficiary and other stakeholders to participate in the design and implementation of projects; • encourage interdisciplinary and internally coordinated approaches; 		OEKC with support of OSP, TCDM & IDWG-CD	by end 2011	MR 4.3	N	In Progress

Action Item	Reference to Programme Committee points	Participating Units	Target Completion Date	Recommendation from Management Response to CD Evaluation in Africa	Further funding (Y/N)	Status on Progress
<ul style="list-style-type: none"> use implementation strategies that systematically make maximum use of local experts and institutions; and provide mentoring, monitoring, evaluation and exit strategies that take into account the iterative nature of CD. 						
6.5 Develop and provide guidelines to mainstream gender aspects in all stages of project and programme design, implementation and monitoring and evaluation.		ESW	by end 2011	MR 4.6	N	To start in 2011
6.6 Consult stakeholders and carry out field analyses to ascertain factors either raising or lowering the quality of Farmer Field Schools (FFS) when scaling up/scaling out.		AGP	by end 2012	MR 7.3	Y	To start in 2011
6.7 In collaboration with other divisions and field projects implementing FFS, produce guidelines on planning, design, implementation, monitoring, and evaluation of FFS, with documentation from field examples, with a view to strengthening existing local, national, regional and global FFS networks, and ensure high standards and sustainability in large scale programmes.		AGP	by end 2012	MR 7.4	Y	To start in 2011
6.8 Develop guidelines to ensure that the distribution of key FAO print and digital products is effective by requiring that headquarters divisions: <ul style="list-style-type: none"> Develop communication and distribution plans for key products focusing, where relevant, on African audiences, including stakeholders in CD; Connect to partner networks that will assist in the distribution and dissemination of FAO products; Track the distribution and use of materials where possible; Overcome or compensate for restrictions on Internet access in many 		OEKP	by end 2011	MR 8.1	N	To start in 2011

Action Item	Reference to Programme Committee points	Participating Units	Target Completion Date	Recommendation from Management Response to CD Evaluation in Africa	Further funding (Y/N)	Status on Progress
parts of Africa by targeted dissemination of printed or digital formats such as CD-ROMs.						
<p>7. <i>Facilitate the development of national capacity for policy analysis and implementation and in technical matters.</i></p> <p>7.1 Further develop guidelines, communication pieces and learning solutions to ensure that country counterparts are closely involved in the activities carried out under FAO policy projects and are provided with opportunities to improve analytical skills, thereby expanding on the Policy Learning Programme and incorporate such recommendations in the Country Programming Guidelines. The guidelines will reflect:</p> <ul style="list-style-type: none"> • that all policy assistance projects include provision for sufficient follow-up and include CD for developing investment and operational plans to implement policies; • that CD experience and competencies are in the terms of reference of any consultant hired to provide policy support in countries; • that means be identified, including through partnerships with local actors, whenever possible, to support CD at subnational level in countries that are decentralizing. 						
7.2 Further develop systems and mechanisms for country, regional and headquarters staff and collaborators to identify and anticipate emerging policy needs.		TCS	by end 2011	MR 6.1	N	To start in 2011
7.3 Further develop e-learning resources and continue to increase partnerships with educational institutions.		OEKC	ongoing	N	N	In Progress

8. *Enhance and institutionalise Country Programming Frameworks (CPFs) as tools for improving CD dialogue, for identifying national CD priorities and negotiating the most appropriate CD approach or blend of*

Action Item	Reference to Programme Committee points	Participating Units	Target Completion Date	Recommendation from Management Response to CD Evaluation in Africa	Further funding (Y/N)	Status on Progress
<i>approaches for FAO to support national CD.</i>						
8.1 Ensure that Corporate Country Programming guidelines include the planning of long-term mutually established CD goals and priorities, addressing capacity strengths and gaps, so that national actors can plan and lead their CD activities.	Country Programming Framework	TCS with input from OEKC	by end 2012	MR 4.4	N	In Progress
8.2 Provide feedback on the quality of CD aspects in country CPFs and attend CPF working group meetings.	Country Programming Framework	OEKC	ongoing	N	N	In Progress
9. Incorporate CD in existing programming tools (<i>logframe, project cycle management, standard project document format</i>), including review of approval criteria for TCP and Extra Budgetary projects.						
9.1 As one of the five strategic and cross-cutting principles of UN country programming under the UNDAF, CD needs to be considered by FAO as an essential component in order to guarantee an inclusive approach to UN Common Country Programming. This will be achieved by: Mainstreaming CD in the project cycle by amending the Field Programme Manual, monitoring guidelines and other project standards.	Sustainability; Sources of funding	TCDM with support of OEK	by end 2010 (First drafts completed and final due mid 2011)	MR 4.2	N	In Progress
9.2 Review the Project Cycle Overview Course manual, Standard Project Document, project review sheet, Program and Project Review Committee, and checklist for Operational clearance regarding project/programme design and implementation.	Sustainability	TCDM with support of OEKC	by end 2011	N	N	In Progress
10. Review and upgrade FAO's approaches to organizational development and institutional reforms.						
10.1 Develop tools and guidelines on institutional building and organizational development. OEKC to disseminate and incorporate materials in the CD spectrum of tools. (Reference 16.3 on learning module on Organizational development).		OEKC and IDWG Institution Building	by end 2012	N	N	To start in 2011

Action Item	Reference to Programme Committee points	Participating Units	Target Completion Date	Recommendation from Management Response to CD Evaluation in Africa	Further funding (Y/N)	Status on Progress
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11. Ensure that the enhanced CD approach is implemented in FAO's programmes and projects.

11.1 Ensure that FAO's decentralized planning and programming processes, especially CPFs and (sub)regional priority areas, give due consideration to CD.	Sustainability; FAO as One, Decentralized Offices	ADG/RRs with support of OSP and OEKC	by early 2012 and ongoing for all Regional Conferences	MR 3.2	N	To start in 2011
11.2 Review the inclusion of CD initiatives in the results-based framework, taking into account the long-term nature of CD.	Sustainability; FAO as One	Strategic Objective Leaders	ongoing during every PWB preparation cycle	MR 3.3	N	In Progress
11.3 Ensure that the enhanced CD approach is given adequate priority and attention, and accordingly is implemented in FAO programmes and projects and reflected in FAO's Strategic Framework. Specifically, ensure that staff are aware of the importance of and adhere to the revised programme and project guidelines.	Sustainability; FAO as One	DDO and DDK	ongoing	MR 4.1	N	In Progress
11.4 Ensure that FAO projects adhere to CD guidelines for projects.	Sustainability; FAO as One	PPRC process	ongoing starting in mid 2011	MR 4.5	N	To start in 2011
11.5 As part of the preparation and implementation of the PWB, give due attention to allocating human and financial resources necessary to enable decentralized offices in Africa to incorporate CD concerns. For decentralized technical officers, this could include orientation, training, retooling, and greater exposure to headquarters activities and to current trends in officers' fields, and motivation and incentives to ensure that CD is given a higher profile in their work.	FAO as One, Decentralized Offices	Regional offices, OSD and OSP	ongoing during every PWB preparation cycle	MR 9.1	Y	To start in 2011
11.6 Ensure more systematic partnering with regional and local CD institutions, to fill gaps and complement expertise available in decentralized offices.	Partnerships	ADG/RRs with support	by end 2012	MR 9.2	N	To start in 2011

Action Item	Reference to Programme Committee points	Participating Units	Target Completion Date	Recommendation from Management Response to CD Evaluation in Africa	Further funding (Y/N)	Status on Progress
	of OEKC					
11.7 When engaging in South-South exchanges, ensure that profiles and skills reflect a thorough knowledge of the local context, as well as some CD knowledge and experience (especially in Africa).	South-South cooperation	TCSF with support of OEKC	ongoing from 2011	MR 9.3	N	To start in 2011
11.8 When using volunteers, ensure that their profiles and skills reflect a thorough knowledge of the African context, as well as some CD knowledge and experience.		Decentralized offices with support of OEKC, CSH	ongoing from 2011	MR 9.4	N	To start in 2011
11.9 Provide feedback, advice and guidance on CD aspects of FAO projects.		OEKC	ongoing from 2011	N	N	In Progress
Area of Action C: Planning, monitoring and reporting mechanisms						

12. *Review and promote a corporate tracking and reporting system for FAO CD-related interventions within the FAO strategic framework. Ensure that FAO's CD activities are tied to specific outcomes and that monitoring and tracking of FAO's CD activities is improved.*

12.1 As part of the development of Learning Module 2, develop M&E approaches for CD by working closely with OED, OSP, TCD and Inwent. Specifically, define suggestions, samples and guidelines for CD indicators for Monitoring and Evaluation of CD at programme and at project level. Liaise with necessary core functions to ensure consistency of approach.	Sustainability	OEKC & TCDM	by end 2011	N	N	In Progress
12.2 Provide guidance to Strategic Objective teams, organizational units and decentralized offices to adopt a systematic CD approach in tracking and reporting.	Sustainability	OEKC	by end 2011	N	N	In Progress
12.3 Contribute to the formulation/review process of Organizational Result and Unit Result formulation in the Strategic Objectives through the Awareness Raising events or working with Strategic Objective teams.	Sustainability	OEKC	by end 2011	N	N	In Progress

Action Item	Reference to Programme Committee points	Participating Units	Target Completion Date	Recommendation from Management Response to CD Evaluation in Africa	Further funding (Y/N)	Status on Progress
Area of Action D: Communication						
<p>13. In the context of FAO corporate communication strategy, promote a broad understanding of FAO's enhanced CD function and its operational implications across FAO's technical work with both headquarters and decentralized offices, including providing guidance to country offices on FAO's approach to CD communication and advocacy.</p>						
13.1 Develop an awareness raising plan for the CD strategy for internal and external parties.	Sustainability	OEKC	NA	N	N	Complete
13.2 Coordinate development of communication materials on CD for internal use in FAO	Sustainability	OEKC	by mid 2011	N		In Progress
13.3 Through awareness raising activities, clarify for FAO staff and collaborators throughout the Organization what is meant by CD and what CD approaches FAO will take. Specifically, plan and organize Share Fairs at headquarters and decentralized offices.	Sustainability	OEKC with input from IDWG-CD	by end 2011	MR 1.1	N	In Progress
13.4 Disseminate the Corporate Strategy throughout the Organization.	Sustainability	OEKC with input from IDWG-CD	by late 2010 (due to forthcoming events, will be by end 2010)	MR 1.2	N	In Progress
13.5 Provide short, jargon-free briefs outlining the key principles and examples of how these can be applied to FAO staff and collaborators.	Sustainability	OEKC with input from IDWG-CD	by early 2011	MR 1.3	N	In Progress
13.6 Develop and maintain the CD Portal to facilitate access to CD information and resources within FAO and externally.	Sustainability	OEKC	ongoing	N	N	In Progress
13.7 Disseminate the corporate Strategy on Partnerships to staff and collaborators as well as guidance on assessing partnerships.	Partnerships	OCE with support from	by end 2013	MR 5.1	N	To start in 2012

Action Item	Reference to Programme Committee points	Participating Units	Target Completion Date	Recommendation from Management Response to CD Evaluation in Africa	Further funding (Y/N)	Status on Progress
		OSD, OEKC				

14. Ensure that communication about FAO's CD efforts and achievements becomes an integral part of the Organization's corporate communication priorities with donors, member countries and the general public.

14.1 Develop CD strategy marketing materials for external stakeholders.		OEKC & IDWG-CD	by end 2012	N	N	To start in 2011
14.2 Senior Staff to participate in events on CD with donors, member countries and the general public.		TBD	by end 2012	N	N	To start in 2012
14.3 Support FAO representatives and staff who hold awareness raising workshops for external stakeholders.		OEKC	by end 2012	N	Y	To start in 2012
14.4 Document, showcase and disseminate successful case studies widely to development partners (government agencies, universities and research organizations, NGOs and community-based organizations).		OEKC	by end 2012	MR 7.1	N	To start in 2012
14.5 Document and disseminate the core principles of FAO CD approaches, in particular those which are or could be taken-up widely by other agencies.		OEKC	by end 2012	MR 7.2	N	To start in 2012

15. Align FAO's resource mobilization strategy with an improved tracking, reporting and communication practice in CD.

Action Item	Reference to Programme Committee points	Participating Units	Target Completion Date	Recommendation from Management Response to CD Evaluation in Africa	Further funding (Y/N)	Status on Progress
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16. *Based on a needs assessment for an internal CD competency development programme, develop relevant learning material and courses, in alignment with the competency development processes of UNCT.*

16.1 Conduct needs assessment of target audience for CD learning events via interviews and focus groups in headquarters and survey and teleconferences for Decentralized Offices.		OEKC	NA	N	N	Complete
16.2 Based on a needs assessment, design a training programme tailored to fortify FAO's competencies in CD. Specifically, develop learning programme framework and learning material including: three modules (CD in FAO, CD programming, Support learning processes) to be delivered through face-to-face workshops, resource books and/or e-learning.	Sustainability	OEKC	by mid-2011	MR 1.4	N	In Progress
16.3 Develop an additional learning module on organizational analysis and change management to be delivered through blended methods (classroom and e-learning).	Sustainability	OEKC and IDWG-Institution Building	by end 2011	MR 1.4	Y	To start in 2011
16.4 Develop an additional learning module on Advisory Skills.	Sustainability	OEKC	by end 2012	MR 1.4	Y	To start in 2012
16.5 Provide training of the above-mentioned CD modules for staff and collaborators, especially those in decentralized offices.	Sustainability	OEKC	by end 2012	MR 1.5	Y	To start in 2011
16.6 Produce and deliver e-learning. Design and pilot face-to-face events for the learning modules.	Sustainability	OEKC	by end 2012	N	N	To start in 2011

Action Item	Reference to Programme Committee points	Participating Units	Target Completion Date	Recommendation from Management Response to CD Evaluation in Africa	Further funding (Y/N)	Status on Progress
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17. Identify relevant elements of current HR systems that need realignment with an improved CD function, including competency framework, staff development opportunities, accountability frameworks, performance management systems for staff incentives. Review current performance evaluation processes with a view to hold FAO staff accountable for their CD-work as well as strengthening career incentives.

17.1 Ensure that competencies required for good CD are fully reflected in FAO's competency framework.		CSH with support of OEKC	by end 2013	MR 2.3	N	To start in 2012
17.2 Issue guidelines so that CD is systematically included in the duties and PEMS of all relevant technical officers.		CSH with the assistance of OEKC	by end 2011	MR 2.1	N	To start in 2012

18. Review CD-related job descriptions and reinforce decentralization of CD responsibilities. Ensure clear responsibility for CD functions in decentralized offices and that adequate resources are allocated. Improve HR systems to ensure that necessary personnel are in place. Ensure that clear FAO CD processes are available to ensure quality CD delivery.

18.1 Ensure that the minimum levels of CD field experience is a requirement for posts in regional and subregional offices by ensuring it is adequately described in job descriptions and vacancy announcements.		CSH with the assistance of OEKC	by end 2011	MR 2.2	N	To start in 2011
18.2 Review the Circular on Responsibilities and Relationships to include new emphasis on CD.	Decentralized offices	OSD	by end 2010 (1st draft completed, final due mid-2011)	MR 2.4	N	In Progress

19. Review and upgrade current systems for the selection, induction and assignment of Technical Assistance consultants to specific CD-oriented programmes, particularly in complex areas involving organizational change and institutional reform.

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19.1 Develop sample Terms of Reference to be used in non staff recruitment and selection processes.		OEKC	by end 2011	N	N	In Progress
<i>20. Provide support for furthering capacities of individuals from developing countries through educational opportunities and enhancing institutional abilities to network.</i>						
20.1 Organize and promote the FAO- Hungarian Ministry of Rural Development Fellowships Programme, the FAO- Brazilian Fellowships Programme at UNILAB and other fellowship programmes.		OEKC	ongoing	N	N	In Progress
20.2 Assess the extent and quantity of Fellowships supported by FAO trust funds, managed through decentralized offices, and assess existing FAO short-term training with the CG Centers with a view to identify mechanisms for expanding upon them.		OEKC	by end 2011	N	N	To start in 2011
20.3 Strengthening and operation of international thematic training centers (in China) through South-South cooperation to provide short-term training to technical professionals from developing countries.	South-South cooperation	TCS	by end 2012ongoing	N	N	In Progress