



منظمة الأغذية
والزراعة
للأمم المتحدة

联合国
粮食及
农业组织

Food
and
Agriculture
Organization
of
the
United
Nations

Organisation
des
Nations
Unies
pour
l'alimentation
et
l'agriculture

Organización
de las
Naciones
Unidas
para la
Agricultura
y la
Alimentación

CONFERENCE

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| FAO: The Challenge of Renewal |
| Report of the Independent External Evaluation of the Food and Agriculture Organization of the United Nations (FAO) |
| Annexes 2-4 |
| Submitted to the Council Committee for the Independent External Evaluation of FAO (CC-IEE) |
| November 2007 |

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Annex 2: Terms of Reference – Independent External Evaluation (IEE) of FAO as contained in CL129/10

Report to the Council of the Inter-sessional Working Group (ISWG) for the Independent External Evaluation of FAO (IEE), November 2005 (paragraphs 26-90)

BACKGROUND

1. FAO was founded with a membership of 42 countries in October 1945 to ensure humanity's freedom from hunger through the promotion of agricultural development and trade, improved nutrition, rural development and the pursuit of food security. Today, the Organization serves 188 Member Nations and one Member Organization, the European Community.
2. Since 1994, FAO has been engaged in a programme of reform and has made efforts to overcome organizational weaknesses and to deliver its services more effectively. A plan to refocus, reorganize and reinvigorate the Organization was enacted with the approval of the Governing Bodies. Key elements of this plan included restructuring of the Organization's functions to provide greater focus for normative and operational work and to achieve synergies between the two; downsizing of personnel; equitable representation of member countries; achieving gender parity; streamlining of processes and procedures; decentralization and assignment of more responsibilities to staff in the field; modernization through the use of new technologies; forging new partnerships; strengthening the cooperation with donor countries; and a communication strategy.
3. In November 1999, the FAO Conference at its Thirtieth Session approved the Strategic Framework for FAO 2000-2015. This framework defines a set of strategies that are based on the principles of interdisciplinary work and partnership and are designed to provide a platform in the drive to ensure that the Organization meets new challenges in a changing world.
4. At the same time, international developments in recent years have become increasingly dynamic. This is marked, among others, by: the Millennium Declaration adopted by 189 Heads of States and Governments at the UN in the year 2000, including the eight Millennium Development Goals; the World Food Summit Goal; the reform of the UN system; the emergence of a new international architecture in the area of FAO's competence and mandate; and major international events such as the Monterrey and Johannesburg Conferences¹ and the Doha Round of Trade Negotiations; and, most recently, the UN Summit Declaration of September 2005. In September 2005, the FAO Director-General presented a further set of far reaching reform proposals for consideration by the Conference in November.
5. There also have been fundamental changes in national approaches to development and international cooperation, characterized by ownership and partnership and by harmonization and alignment for greater aid effectiveness. International developments are characterized by the continuing threat of international terrorism and the fight against it; by natural and man-made disasters leading to humanitarian catastrophes; and by a much more differentiated assessment of the costs and benefits of globalization and a growing uneasiness in many parts of the world with the negative impacts of globalization on significant groups of people.
6. Progress has been achieved in the overall performance of the Organization. However, a comprehensive, integrated and in-depth analysis of where FAO stands today is now essential, especially in the context of a dynamic and rapidly changing world under globalized conditions.

¹ Monterrey International Conference on Financing for Development, 2002; Johannesburg World Summit on Sustainable Development, 2002.

The evaluation will take place during a period of ongoing reform in the UN system and in FAO which may accelerate if the Conference mandates further changes following the recent presentation by the Director-General of reform proposals for its consideration.

7. At its Hundred and Twenty-seventh Session in 2004, the FAO Council agreed to launch a comprehensive Independent External Evaluation of FAO. The Council also decided to establish an Inter-Sessional Working Group (ISWG) to formulate proposals for the evaluation for consideration by the Council, including the formulation of proposed terms of reference. These terms of reference (ToRs) for the Independent External Evaluation of FAO are based on the consensus-building processes and the decisions in the ISWG and draw heavily on the expert input by two independent consultants to the ISWG (Mr. Horst Breier – Germany and Dr. Dunstan Spencer – Sierra Leone).

OBJECTIVES OF THE EVALUATION

8. When approving the launching of the Independent External Evaluation of FAO, the Council agreed that *“the evaluation aims at strengthening and improving FAO, taking into consideration FAO’s performance in conducting its mandate. In doing this, the evaluation process represented FAO’s contribution to the overall efforts of the international community to strengthen the UN system through appropriate reform. The evaluation would consider all aspects of FAO’s work, institutional structure and decision processes, including its role within the international system. It could also be a resource for the review of the Strategic Framework.”*²

9. Thus, the Independent External Evaluation of FAO will be comprehensive in scope, reflecting the aspirations and concerns of the whole membership. Findings, conclusions and recommendations emanating from this evaluation will be directed to the Governing Bodies of the Organization, to the Director-General and to Member Nations for their review and action. They will also contribute to informing the policy debate of Member Governments as well as that of the UN and the wider international system. Similarly, the evaluation will help to convey to the general public an evidence-based assessment of the achievements of the work of FAO and of the challenges lying ahead for the Organization.

10. The Director-General has stated in his foreword to his current reform proposals³: *“I seek neither to anticipate nor to pre-judge the outcome of other processes underway, most notably the Independent External Evaluation of the Organization which the Council is undertaking. In fact, I believe that the implementation of my proposals now will create a more favourable context for such an evaluation”*. The evaluation will thus take place during a period of ongoing reform in the UN system and adjustment in FAO which may accelerate to the extent that the Conference mandates further changes following its consideration of the Director-General’s proposals for reform. The evaluation will thus examine the effectiveness of the Organization’s work and its existing strengths and weaknesses and, in formulating its findings and recommendations, relate them to the validity of, and needs for, further adjustment in the process of the Organization’s reform and its areas of priority.

11. The analysis will be approached from the point of view of the crucial needs and concerns in a situation of limited resources where not all expectations can be met. In assessing this, full account will be taken of the views of member countries on the services they require and receive, on their quality, effectiveness and impact, and on their relevance. Comparison with arrangements in other agencies will provide a useful benchmark.

12. In analysing past and present processes and activities of the Organization, the evaluation is expected to be forward-looking and to emphasize findings, conclusions and targeted

² Report of the Hundred and Twenty-seventh Session of the Council, November 2004, CL 127/REP paras 113-117.

³ Supplement to the Director-General’s Programme of Work and Budget (Reform Proposals), C 2005/3Sup.1.

recommendations that would allow the Membership, the Director-General and the Secretariat of the Organization to chart the way forward, to better meet the challenges of the future in an evolving global environment, including newly emerging needs of member countries, and to position FAO, based on its strengths and comparative advantages. Consequently, the evaluation has the potential of becoming a milestone for FAO, reinforcing its role in a reformed UN system and the emerging new multilateral architecture. It should help to strengthen the sense of unity and purpose among the membership of the Organization, and to make FAO fit for the twenty-first century and the challenges ahead.

13. The cornerstones for the evaluation of FAO have been clearly defined by the Council. The evaluation is to be comprehensive, external, independent and professional. It will cover the institutional performance as well as the technical work of FAO, operational as well as normative. The focus will be on relevance, efficiency and intended and unintended results, including outcomes and impacts and their effectiveness and sustainability.

14. The mandate of FAO, as laid down in the Preamble and Article I of the FAO Constitution, is taken as the basis and will not be open to question by the evaluation. The mandate will provide the overarching yardstick for assessing the performance and the impact of the work of the Organization, which plays an important role as a multilateral institution, with equality between Members, providing knowledge-based global public goods and development services. Other important sources of reference in examining the Organization's work include contributions to the goals and objectives established by the World Food Summit, the Millennium Declaration, the Conferences of Monterrey, Johannesburg and Doha and the UN Summit Declaration of 2005. The Organization's own Strategic Framework approved by the Conference in 1999 (immediately prior to the Millennium Declaration) and the subsequent Medium-Term Plans will also provide important statements against which to gauge the Organization's performance.

15. In order to meet the requirement of comprehensiveness the evaluation will encompass the following four key components of analysis, which are all closely interlinked:

- a) *Technical work of FAO*: There is a vast array of technical work of FAO that has to be evaluated and analysed with regard to its relevance, efficiency, outcomes, impacts and sustainability. The evaluation will examine the main elements of the technical work of the Organization, including the interconnectedness between them. These elements include work addressed to overcoming hunger, safeguarding the environment and improving the conditions for economic and social development, including gender mainstreaming and attention to the rights of children. Issues are addressed through: advocacy; policy development and advice; regulatory and standard setting work; information; statistics; studies; technical cooperation; emergency response; networking and dialogue with respect to: access to food, crops, livestock, forests, fisheries, commodity trade and rural development. It includes policy dialogue and agreement in international meetings, including those of the FAO Statutory Bodies. The technical work of FAO also includes lead programmes, such as the Special Programme for Food Security and encompasses the total effort in building global, regional and national knowledge and capacity. The analysis will cover issues of relevance and timeliness; the Organization's service orientation responsiveness to expressed and changing needs of Member Countries; supply-side and demand-driven elements in shaping FAO's work; the number of activities versus the depth of their treatment; project versus programme approaches; the matching of work programme and resources and their impacts.
- b) *Management and organization of FAO*: This includes budget, administrative and financial systems; the organizational structure of FAO (e.g. departmental set-up; decentralized structures; accommodation of cross-cutting issues; oversight; and evaluation); the Organization's corporate culture, including the existence of enabling environments for the full utilization of staff potential, the delegation of authority and the requirements of a knowledge organization; risk management; the

human resources policy and management including accountability for gender mainstreaming; the decentralization and the respective roles of headquarters, Regional and Country Offices and the opportunities and constraints of this arrangement; communication strategies; as well as infrastructure issues.

- c) *FAO governance*: This includes the roles and the efficiency and effectiveness of the Governing Bodies (Conference, Council, Programme and Finance Committees, and Committees on Agriculture, Commodity Problems, Fisheries, Forestry and World Food Security); key aspects of the relationship between the Members and the Secretariat, as exemplified, for instance, in the area of priority setting and in programming and budgeting processes; the funding structure of FAO (regular budget and voluntary contributions), including the opportunities and constraints of the present structure and the extent to which it contributes to member ownership of the Organization and its multilateral character; governance relationships within the UN system; and wider participation of stakeholder groups.
- d) *FAO's role in the multilateral system*: The evaluation will examine the role of FAO within the multilateral system based on the demonstrated strengths of the Organization, its comparative advantages and its ability to enter into alliances and contribute to the UN and wider international system as a whole. Important issues for the evaluation findings and recommendations thus include: critical gaps in the international architecture in FAO's area of mandate; identification of those areas where the mandate is well filled by a number of other agencies; and the questions of comparative advantage, and the related issue of bench-marking against other agencies. Partnerships, including those with non-UN actors such as international agricultural research institutions, regional organizations, international NGOs and business organizations, and in particular partnership with the Rome-based UN agencies, will all be areas for enquiry. These will be evaluated in conjunction with the three preceding components so as to link the role of FAO in the multilateral system with concrete examples of work such as that on international trade and international efforts to achieve the Millennium Development Goals (MDGs).

16. Utmost care will be taken to maintain the comprehensiveness requested by the Council throughout the evaluation process, to secure a holistic approach to the evaluation and to assure that synergies are explored and fully developed and that the interconnectedness of the different components of FAO processes and technical work are adequately reflected in the evaluation. The core team (see below) will have responsibility for this task.

17. Although the evaluation will be comprehensive, the evaluation team will have the independence and degree of flexibility, within the scope of the ToRs, to define and concentrate on those areas in which it feels there are particular strengths to be built and weaknesses to be addressed, and to explore in greater depth those issues which it identifies as being of importance. The team will ensure, however, that this process will be free from any biases that could undermine the independence, impartiality and credibility of the evaluation, and that it has the expertise and time to deal with the issues selected.

THE EVALUATION TEAM AND ITS ROLE

18. **The core team** will consist of four members, including the team leader. Under the direct authority of the team leader, the core team will have the sole responsibility for the direction, supervision and conduct of all substantive work of the IEE, including full involvement in the execution of the evaluation work. Each member of the core team, including the team leader, will have responsibility for the leadership of one of the four main areas to be covered by the evaluation as discussed above (para. 15). The core team functions will include:

- a) decisions on methodology and approach, including defining the work plan, within the Council agreed terms of reference, budget and timeframe;

- b) selection of countries for country visits and FAO programmes for case studies, according to the criteria set out in the terms of reference and confirmed in the inception report;
- c) selection of supporting specialist evaluators and research assistants in open competition;
- d) leadership of the evaluation including leadership of specialist teams and supervision of all supporting evaluators and research assistants;
- e) ensuring coherence of the evaluation;
- f) preparation of periodic reports, reports on each main area of work and the synthesis report; and
- g) finalization of, and final decision on, all reports, including the findings and recommendations.

19. **Specialist evaluators:** The core team will be supported in its work by specialists, who will bring in their knowledge and experience with the international intergovernmental system as well as additional cutting edge knowledge and experience (for example from the practice of the private and NGO sectors and from academia).

20. **Evaluation teams:** Interdisciplinary teams including, where possible, a member of the core team, will undertake visits to countries, decentralized FAO offices and to other organizations of the multilateral system. In as far as possible, these teams will have common membership, i.e. consultant evaluators will take part in teams visiting several parts of the world. These same consultant evaluators will also in most cases be members of the specialist teams evaluating FAO's technical programmes and, where appropriate, working on management and organization, governance and FAO's role in the multilateral system. The supporting specialist evaluators in each area of work will therefore be limited in number and take part in several field missions, plus the headquarters work.

21. Annex 2 Appendix 1 provides information on the competencies required for the core team and supporting specialist evaluators and the criteria for their selection. The evaluation core team will be supported in its work by an evaluation operations administrator (see also Annex 2 Appendix 1).

22. The evaluation team will be overseen in its work by the **Committee of the Council for the IEE**. This Committee will provide overall oversight for the management and operation of the evaluation, including on financial matters and adherence to standards of quality and independence. It will be responsible for approving the proposals of the core team for the conduct of the evaluation in the inception report (see Annex 1, Governance of the IEE and Functions of the IEE Council Committee).

SCOPE OF THE EVALUATION

Key evaluation issues

23. Underlying the approach to all aspects to be covered by the evaluation will be the fundamental questions common to evaluations, which include:
- a) key changes in the external environment in which FAO functions;
 - b) FAO's relevance to the needs and priorities of the governments and people of member countries and the international community;
 - c) functionality and clarity of the objectives, strategy, design and implementation plan to meet those needs and priorities;
 - d) efficiency and effectiveness of the processes followed;
 - e) institutional strengths and weaknesses, including institutional culture and the inclusiveness of process;
 - f) quality and quantity of outputs, in relation to resources deployed in undertaking the work;

- g) quality and quantity of the outcomes (effects) resulting from the activities and outputs also in relation to resources deployed for the work;
- h) impacts and their sustainability in terms of benefits to present and future generations for food security, nutrition, social and economic well-being, the environment, etc.; and
- i) FAO's comparative advantage in addressing the priority needs.

24. There are a number of overarching or lead evaluation questions which deal with impact; needs and priorities; comparative advantage (including gaps in the international architecture); and efficiency. They need to be answered in order to arrive at an overall assessment of the impact of FAO and its work. These questions *inter alia* include:

- a) FAO's overall institutional strengths, weaknesses and contribution to sustainable impacts (including the issues of gender equity and rights of children): - in addressing for the Organization's areas of mandate:
 - i) the Millennium Development Goals, the World Food Summit Goal, and the goals of FAO Member Nations as agreed in the FAO Strategic Framework, in particular those relating to:
 - 1) hunger and poverty (MDG 1) - To what extent does FAO contribute to the eradication of food insecurity and rural poverty? and
 - 2) the Environment (MDG 7) - What are the results of FAO's support to the conservation, improvement and sustainable use of natural resources for food and agriculture?
 - ii) rural and national socio-economic growth and development, in particular as it relates to poverty reduction. In what way does FAO contribute to creating sustainable increases in the supply and availability of food and other products from the crop, livestock, fisheries and forestry sectors and what is the income generation from this?
 - iii) global and regional requirements for information. Does the provision by FAO of information and assessments and its fostering of knowledge management for food and agriculture lead to improved decision-making nationally and internationally? and
 - iv) global and regional requirements for international legislative, standard-setting and regulatory frameworks. How successful is FAO in promoting, developing and reinforcing policy and enabling frameworks in standards and regulation for food, agriculture, fisheries and forestry?
- b) to what extent do FAO resource levels and the application of limited resources reflect Members' priorities and needs and are they commensurate with the tasks the Organization is attempting to undertake, its comparative advantages, and areas of effectiveness as revealed by the evaluation analysis?
- c) what is the changing global perspective for requirements in FAO's area of mandate?
- d) how does FAO focus in its area of mandate and what is its capacity to:
 - i) identify and adjust to changing needs and priorities; and
 - ii) identify improvements and adjust its institutional structures and ways of working in line with changing needs and opportunities created by new technology, improved communication, etc.?
- e) what are the relevance, potential for effectiveness and implementability of the Director-General's reform proposals, including those agreed for implementation by the Conference (November 2005) and what are the continued relevance and adequacy of key FAO strategy documents, including the Strategic Framework? and
- f) to what extent, in achieving the Organization's objectives and goals, are the following conducive: governance structure and practice; budget and funding arrangements including the relationship between the core regular budget and extra-budgetary resources; institutional structures; management culture; administrative and financial systems; and human resources policy and practices?

25. The IEE will also pay attention to the process through which FAO ensures the adoption and implementation of recommendations generated by its own evaluations and other oversight and quality assurance activities.

26. Annex 2 Appendix 2 provides a check list of issues identified by the ISWG for the reference of the core team in preparing its evaluation inception report.

Period covered by the evaluation

27. The evaluation is forward looking. Its central concern is thus in identifying strengths and weaknesses in FAO's programmes, approaches and structures with relevance for the future. In examining the institution's capacity to change, flexibly responding to medium-term changes in members' requirements and the external environment, it will be necessary to examine the background of reform in the Organization since the present round of reforms was initiated in 1994. However, in examining the effectiveness and impact of programmes, a time-frame examining the outcomes and impacts of work undertaken over the last four to six years will generally be appropriate, as for longer periods than that, both detailed information and the lines of causality in terms of impact become difficult to trace. For many institutional issues, the evaluation will be essentially concerned with the efficiency and effectiveness of current, rather than historical, practice as well as the likely benefits of ongoing reforms.

METHODOLOGY OF THE EVALUATION

28. It is expected that the evaluation will apply the Norms and Standards for Evaluation in the UN System, as approved by the United Nations Evaluation Group (UNEG) in April 2005 (these are largely in accordance with the OECD-DAC Principles for Evaluation). There are a number of standard elements of evaluation methodology that would need to be drawn on in any evaluation. They comprise well-tested social science methods for sampling; the identification of indicators; benchmarking; guidelines for interviews (open, structured or semi-structured; face-to-face, by telephone, or in group sessions); the use of questionnaires and their design; triangulation; validation and weighting. The range of methods available also includes simple tools for cost-benefit analysis; participatory data collection (such as rapid rural appraisal techniques); the design of an overall evaluation matrix; and stakeholder/verification and peer review workshops.

Maximising the use of existing information

29. The IEE is conceived as maximising the use of existing information. This will start with the preliminary review necessary to prepare the inception report and will be continued throughout the evaluation process. The core team will carry out a desk review of FAO strategy and corporate policy documents, evaluation reports, guidelines, country programmes and major outputs, tracing the course of development since the start of the current phase of reform in 1994 but concentrating on the last six years. This will be supported by a wide range of interviews with representatives of Member Countries and the FAO Secretariat during the inception phase.

30. The evaluation will maximise the use of existing evaluations and similar work and will thus not itself examine all aspects in detail but will, to the extent possible, rely on the work of others in forming its judgements. Several of the more recent independent evaluation reports produced by FAO's own Evaluation Service are believed to provide useful information and not require duplication but the evaluators will need to assess the quality of this existing work, including its independence and impartiality. This should also include examining the extent to which the reports of previous evaluations have been acted upon by the Organization.

Assessing impacts

31. The evaluation team will have to rely for the most part on secondary data from FAO's own evaluations and other documentation and from stakeholders in Member Countries in both verbal and written presentations. It will be imperative for the consultants, however, to assess on their own the quality of the data that they intend to use and where possible to back this up with

some primary data, perhaps through separately commissioned country and/or programme impact studies. Areas for impact assessment will be carefully selected in the light of these constraints. In view of the relatively small inputs by FAO to development processes at the national and global level, key questions will concern the extent to which there has been contribution to a plausible line of causality. The inception report should include specific proposals for impact assessment.

A consultative and transparent process

32. Consultation with all stakeholders will be key, in order to ensure confidence and ownership in the evaluation process. During the inception phase it will be important in determining issues, areas for concentration, etc. It will also be essential for information gathering; to verify findings and to examine the potential implementability of recommendations (which is expected to be particularly important in the areas of governance and of administrative, financial and human resource procedures). In the countries and decentralized office site visits, as well as at headquarters, consultations and interviews with government representatives, civil society, the private sector, NGOs, development agencies, in-country coordination and advocacy groups, policy research bodies and beneficiaries, will all be important. In addition, a number of stakeholder workshops may be considered in key areas such as governance and to verify major outputs of the evaluation. Questionnaires and possibly electronic bulletin boards will also be important in obtaining an input from all stakeholders, as well as helping to ensure transparency and ownership.

33. Major intermediate evaluation deliverables, such as the inception report, will be made available on a public website dedicated to the IEE.

Samples for in-depth evaluation and analysis

34. Sampling will be informed by the review and consultation process in the inception phase, which may also usefully include a preliminary analysis of FAO strengths, weaknesses, opportunities and threats (SWOT).

35. **Country visits and country case studies:** It is essential for all aspects of the evaluation that the evaluation team visit Member Countries, in addition to working through other forms of enquiry such as questionnaires and telephone interviews. It is through country-level studies that results of FAO's work will be confirmed and the views of Member Countries most fully explored. Countries to be visited should be selected by the core team on the basis of a set of clearly defined, transparent criteria which should be detailed in the inception report.

36. With a focus on those countries where there are large numbers of poor and hungry people, sampling will be purposive for selected groups of countries to ensure that key variables, including: regional balance; level of development; the number of malnourished; both large and small populations; and the size of the FAO programme (normative and technical and emergency assistance) are well represented. Logistic considerations will also be a factor. Within these criteria, selection will be randomised (stratified random sampling).

37. It is envisaged that country visits will cover some 12-14 percent of FAO membership (about 25 countries), which would enable a representative sample of key countries to be covered. At the same time, it would be necessary to visit other international organizations and members of the UN system working in FAO's area of mandate. To the extent possible, this could be combined with country visits. A limited number of more in-depth country case studies of the FAO programme as a whole, or particular aspects of it may also be envisaged by the evaluation team.

38. Teams making country visits will cover all areas of the evaluation including governance and organization and management issues. The plan for country visits and related contacts should be formulated by the core team in line with the criteria defined above, and presented to the Committee of the Council, preferably as part of the inception report.

39. Prior to undertaking country visits, a workshop could usefully be convened for all those who will be involved in field work to assure the commonality of understanding and approaches to the country work, including the methodologies applied and the comparability of findings from field work.

40. **Programmes for in-depth evaluation:** In addition to the overview of all programmes required for the comprehensiveness of the IEE, more detailed analysis will be important on a sample of programmes and cross-cutting issues. The core team will be expected to present its proposals for this in the inception report. One criterion in this selection will be the extent to which work has already been assessed by existing evaluations. Also, with the aim of forward looking evaluation, criteria may include: the size of the programme or area of work; the demand from Member Countries; and areas of work being considered for expansion because of their perceived relevance and usefulness; or for elimination or downsizing. It is also the case that when work is already being reduced because of general agreement on its lack of continued priority, evaluation can be useful for accountability but is not likely to deliver forward-looking lessons.

41. **In-depth analysis of issues in management and organization** (resources, budget, administration, finance and human resources): As with programme evaluation, an overview is required of the totality of the issues but in sampling those areas for more in-depth study and criteria will include the availability of existing information from audit reports, management consultancy, and internal studies. In addition, criteria may include the extent of risk, both financial and political (public image) risk; perceived potential for efficiency gains; and the importance of the area for the Organization's delivery.

Consideration of other institutions and benchmarking

42. The IEE will need to review the work of institutions other than FAO, especially in the multilateral system. This will be important for benchmarking on procedures, processes, quality of work, etc. As the performance of FAO cannot be judged in isolation from that of its partners and competitors, it will also be essential to make judgements on FAO's areas of comparative strength and weakness in the multilateral system, with respect to its areas of mandate. The inception report should provide clarification on how, in addition to visits to other institutions, the evaluation intends to approach assessment in this area.

Recommendations of the IEE

43. The core team is solely responsible for the evaluation findings and recommendations but it is expected to consult widely on these in order to ensure both their factual evidence base and the potential for practical follow-up action. Where appropriate, alternatives may be presented with their advantages and disadvantages. Evaluation recommendations should, to the extent possible, be presented in operational terms, while respecting the roles of management and the Governing Bodies in developing operational plans.

DELIVERABLES AND TIMETABLE

44. **Deadline for final report:** The final report of the IEE is to be considered by the FAO Council in November 2007, together with the response of the Director-General, and possibly after preliminary consideration by subsidiary bodies of the Council. It is thus essential for the final report of the IEE to be available in at least advanced draft by July 2007.

45. **Deliverables:** The inception report will specify the key deliverables proposed for delivery by the IEE core team for consideration by the IEE Committee of the Council (see Annex 1) The Council Committee is responsible for approving the inception report for the evaluation prepared by the core team and "it will ensure that the terms of reference are adhered to in a timely manner, with quality and independence of process and outputs and within budget"....."comments on findings and recommendations will be restricted to quality assurance, i.e. that the findings and

recommendations are analysis and evidence based. “Deliverables can be expected to include, among others to be identified during the course of the evaluation work:

- a) inception report (to be presented for approval by the IEE Committee of the Council some two months after evaluation start-up);
- b) progress reports, including reports on individual areas covered by the IEE (technical work, governance, etc.); and
- c) drafts and final of the report of the IEE for consideration by the FAO Council.

46. **The inception report:** The first task of the core team will be to prepare an inception report, within two months of evaluation start-up, for approval by the Council Committee for the IEE. In preparing its proposals in the inception report, the core team will take account of the considerations for coverage, issues and methodology discussed above. The core team is, however, encouraged to suggest alternatives where it considers this appropriate, as well as including additional considerations in its proposals. The inception report will provide a comprehensive road map for the evaluation, including proposals on:

- a) issues to be addressed by the evaluation and how it intends to address the range of issues identified;
- b) methodology proposed for evaluation and criteria for selection with respect to:
 - i) countries for visits and for case studies and the plan of visits and studies based on those criteria;
 - ii) programmes and areas of work for more in-depth evaluation, and the programmes selected;
 - iii) governance, institutional, administrative, financial and human resource issues for study in depth;
 - iv) other agencies to be visited and studied for purposes of benchmarking and reviewing FAO’s place in the multilateral system; and
- c) the plan of visits and studies based on those criteria.

47. **All deliverables** will be as concise as possible and submitted in English. The language used should be direct, free of jargon, avoid euphemisms in describing problems and weaknesses, and be reader-friendly. Annexes and appendices should only be included if there is a clear rationale for doing so. Executive summaries should be included and address findings and recommendations. If certain issues agreed for analysis in the inception report could not be addressed satisfactorily in the course of the evaluation, the reasons should be explained.

48. **Website:** Deliverables will be placed on a special web site to be created for this evaluation and thus be made accessible to a wider public in order to strengthen the transparency of the evaluation process.

Annex 2 Appendix 1: Required Qualifications for the Evaluation Core Team and Evaluation Operations Administrator

49. Candidates for all posts will be selected on the basis of technical competence. Regional and gender balance will also be considered. Language capability will be an important factor in selection, with good spoken and written English essential and knowledge of Arabic, Chinese, French and/or Spanish an advantage and a significant selection factor. In order to avoid conflicts of interest, for the core team persons who have been FAO staff members within the last three years, who have undertaken substantial non-evaluation work for FAO within the last three years, or who have represented their governments in the governance structures of FAO within the last three years, are excluded from consideration. Those in continued employment of their national government, or an organization which works directly at international level in FAO's area of mandate, are also excluded.
50. **The core team**, under the direct authority of the team leader, will have sole responsibility for the direction, supervision and conduct of all substantive work of the IEE, including full involvement in the execution of the evaluation work. Core team members will work for extended periods from January/February 2006 to September 2007. The core team leader will be required to do some preliminary work in December 2005 and he/she and possibly some other members of the core team will be required to make inputs up to the end of November 2007.
51. Each member of the core team, including the team leader, will have responsibility for the leadership of one of the four main areas to be covered by the evaluation:
- a) FAO's technical work (normative, technical advisory and capacity building including in development, emergencies and rehabilitation);
 - b) management and organizational issues;
 - c) governance issues; and
 - d) FAO's role in the multilateral system.
52. Qualifications and experience of the core team: Internationally recognized and:
- a) at least five years' experience at senior policy level in their field, preferably with a part of that work in developing countries;
 - b) evaluation experience, preferably including experience of complex evaluations;
 - c) significant exposure to the multilateral system;
 - d) demonstrated ability in:
 - i) leadership;
 - ii) communication (written and oral);
 - iii) conceptual and empirical analysis; and
 - iv) synthesis reporting, including synthesis of findings and recommendations;
 - e) experience in the public sector, with experience in the private and NGO sectors being an advantage; and
 - f) at least one member of the core team will require a knowledge of quantitative and qualitative methods of social and economic research, including participatory survey techniques and cost-benefit analysis as applied to complex situations (including substantial non-quantifiable variables).
53. Evaluation core team leader: He/she will provide overall leadership of the evaluation team and have a coordinating role, as well as taking responsibility for one of the areas of specialist evaluation work. Qualifications, in addition to those above, will include:
- a) experience of complex evaluation, preferably in the multilateral system;
 - b) knowledge of the substantive areas of FAO's mandate;
 - c) substantial experience in a range of developing countries;
 - d) experience of strategic corporate level planning; and
 - e) knowledge of the UN and wider multilateral system.

54. Core team member (technical work of FAO): Qualifications, in addition to those above, will include an in-depth knowledge at senior level of food security issues, agriculture, rural development and a working knowledge of fisheries and forestry. This will include substantial experience in a range of developing countries.

55. Core team member (management and organizational issues): Qualifications, in addition to those above, will include a knowledge of best business management practice in a multinational and multicultural public sector context (knowledge of cutting-edge private sector practice will also be a considerable advantage, as will knowledge of the UN common system). Experience will include:

- a) programming, budgeting and results-based management;
- b) human resource management;
- c) financial and administrative management, including risk management and accounting standards; and
- d) application of information and communication technology (IT/CT) in all aspects of business practice to a multi-locational organization.

56. Core team member (governance issues): Qualifications, in addition to those above, will include expertise and experience in UN and other international public sector institutions, governance issues and in institutional analysis. Experience of being a member of the governing bodies of a major international organization will be an advantage, as will experience of the involvement of non-state actors in governance.

57. Core team member (FAO's role in the multilateral system): Qualifications, in addition to those above, will include expertise and experience of the multilateral system, particularly in FAO's areas of mandate. Knowledge of other UN organizations, the multilateral financing institutions, the international agricultural research system and the multilateral non governmental sector will all be an advantage.

Evaluation operations administrator

58. The evaluation operations administrator will be responsible for carrying out the day-to-day administration of the IEE. The selected candidate will be required for a continuous period of service from January/February 2006 to September/October 2007. Reporting directly to the evaluation core team leader, support functions will include:

- a) advertisement for and recruitment of consultants and other staff supporting the IEE;
- b) contracting, travel and payments;
- c) work-plan and budget monitoring for the core team;
- d) managing the independent external evaluation website; and
- e) supervising a limited number of support staff.

59. Qualifications and experience will include:

- a) provision of operational and management support to large multilateral projects;
- b) understanding of evaluation;
- c) it would be an advantage to have a knowledge of:
 - i) FAO administrative and financial systems; and
 - ii) FAO institutional structure, including the decentralized offices.

60. In line with FAO procedures, full payment of honoraria to all consultants engaged in the evaluation, including the core team and its leader, would be dependent on timely delivery of the outputs of the evaluation in line with the work-plan.

Annex 2 Appendix 2: Indicative Listing of Issues to be Addressed in the Independent External Evaluation of FAO

Background

61. **The evaluation core team will define its proposals for issues to be addressed by the evaluation in its inception report.** Also, during the course of the evaluation, other issues may be identified which require in-depth study. It will not be possible to cover all issues in the same degree of depth and some issues will require greater analysis than others. The core team will thus make its proposals for how it intends to address the range of issues identified also as part of its inception report. To assist in this process, a preliminary indication of issues of concern to member countries for coverage in the evaluation and discussion in the finding and recommendations has been identified by the ISWG and is summarized below. In presenting the inception report, the core team is encouraged to both suggest alternative issues and exclude from consideration those issues which it regards as inappropriate. The issues are further elaborated for:

- a) the technical work of FAO;
- b) FAO management and organization;
- c) FAO governance; and
- d) FAO's role in the multilateral system.

62. **The technical work of FAO** and its relevance, effectiveness and impact are at the core of the Independent External Evaluation and it will address the issues common to all evaluations, as discussed above. Issues for focus may include:

- a) needs and priorities of Members, including the extent of need of different categories of Members (regions, levels of income, numbers of poor and food insecure, etc.);
- b) technical work in areas of FAO's mandate (food security, nutrition, overcoming rural poverty, crops, livestock, forestry, fisheries, environment and sustainable use of the natural resource base, agricultural trade, etc.);
- c) types of work (policy, regulatory, capacity building and institutional development, scientific technical, advocacy, etc.);
- d) level of intervention (global, regional, national, sub-national);
- e) target group (e.g. rural poor and women);
- f) manner of intervention (e.g. piloting, Regular Programme information outputs, advisory support);
- g) extent to which needs are met by other organizations (see FAO's role in the multilateral system);
- h) extent to which FAO resources and outputs are aligned with the needs and priorities of Members;
- i) process and efficiency issues for FAO's technical work including:
 - i) integration of cross-cutting themes such as gender, sustainable livelihoods and HIV/AIDS;
 - ii) integrated work across technical boundaries;
 - iii) synergies between different types of work and the integration of normative and operational development work; and
 - iv) partnerships with other organizations at country, regional and global levels, including partnership to build global knowledge;
- j) quality, quantity and appropriateness of outputs, including information outputs and their dissemination;
- k) results and sustainable impacts including the use made and implications for development at national, regional and global levels of the results of FAO work in all areas. This may give particular attention to the potential for identification of FAO specific contributions and the verification of plausible contributions to impacts in terms of human welfare from work, including but not restricted to:

- i) the forum function for exchange of information and movement towards regional and global policy and institutional coherence in the areas of FAO's mandate;
- ii) international agreements, treaties, regulations and standards;
- iii) policy work and policy advisory products;
- iv) advocacy;
- v) knowledge management and information;
- vi) global and regional assessment analysis of trends (state of the sector), statistics and projections, including for trade;
- vii) piloting and demonstration;
- viii) capacity and institutional development;
- ix) resource mobilization and investment;
- x) early warning and surveillance; and
- xi) emergency response.

63. **Management and organization of FAO** – Issues with respect to efficiency, effectiveness, transparency, and capacity to adjust flexibly to changing needs and technological opportunities, including:

- a) overall issues of organizational culture and practice with respect to:
 - i) transparency;
 - ii) information flows, communication and reporting;
 - iii) decentralization and delegation of authority;
 - iv) results orientation and results-based management, including the extent to which FAO's intended outcomes and impacts are verifiable; and
 - v) dealing with risk and uncertainty;
- b) oversight, audit and evaluation:
 - i) coverage, adequacy and quality of analysis and reporting;
 - ii) institutional arrangements including authorities, reporting lines and independence in providing information for accountability and decision-making to management and the Governing Bodies; and
 - iii) arrangements in place for verifiable design and monitoring of programmes;
- c) programming and budgeting:
 - i) processes for identifying:
 - 1) strategic vision;
 - 2) Members' needs and priorities; and
 - 3) strengths and weaknesses including efficiency and effectiveness of programmes and comparative advantage;
 - ii) proposals for resource allocation:
 - 1) process (efficiency and effectiveness);
 - 2) link to analysis of needs and performance; and
 - 3) coherence, transparency and comprehensiveness of documentation for decision-making;
 - iii) process for in-course adjustments in resource allocation and in implementation;
 - iv) integration of extra-budgetary resources into the programme of work and their implications for the agreed regular programme of work financed from the core budget;
 - v) duration of the budget cycle and its implications for long-term work and efficiency; and
 - vi) implications of currency movements and US dollar and Euro based budgeting.
- d) organizational structure – appropriateness, efficiency and effectiveness to meet the needs of member countries, including:
 - i) role, structure and distribution of tasks and resources between headquarters and decentralized offices;
 - ii) internal organization of headquarters, regional and other decentralized offices;

- iii) lines of reporting and authority and distribution of levels of decision-making;
 - iv) work across institutional boundaries and matrix programming and management;
 - v) adequacy of communications infrastructure; and
 - vi) opportunities for off-shoring and contracting out.
- e) administrative and financial systems and procedures – including conformity to accepted international standards and issues for different sizes and categories of transaction (e.g. for emergencies and development projects) of:
- i) purchasing and contracting including implications of procedures and authorities;
 - ii) financial arrangements and procedures including arrangements for:
 - 1) budget control; and
 - 2) reserves and contingencies;
 - iii) place of ex-post and ex-ante monitoring and control;
 - iv) gaps and/or redundancies in procedures;
 - v) information and communication technology supporting systems;
 - vi) opportunities at country level for:
 - 1) common UN system operations; and
 - 2) national execution;
- f) resource mobilization and project systems and procedures, including:
- i) integration with the Organization's priorities and programming and budgeting; and
 - ii) flexibility, efficiency and responsiveness; and
- g) human resource policies and procedures and their capacity to efficiently provide FAO at a competitive price with the human resources it needs of the required competencies, motivation and flexibility to meet the changing challenges of the programme, including arrangements for:
- i) selection at all levels;
 - ii) appropriate contractual arrangements;
 - iii) flexible adjustment of the staff competency profile in response to changing demands;
 - iv) use of short-term consultants and part-time staff and the positive and negative impacts on efficiency, flexible and appropriate delivery, recruitment of full-time staff, and on maintenance and dissemination of knowledge;
 - v) incentive structures for staff;
 - vi) staff performance assessment;
 - vii) staff training;
 - viii) separation and retirement of staff;
 - ix) ensuring geographical and gender balance; and
 - x) ensuring transparency and confidence in decision making with respect to staff.
64. **FAO Governance** - Issues with respect to:
- a) multilateral and democratic efficiency, effectiveness and inclusiveness of governance in FAO as an integral part of overall UN system governance, including:
 - i) capacity of the governance mechanisms to arrive at coherent positions and make informed decisions on major issues (including priorities, resource levels and institutional arrangements) and factors strengthening or limiting such capacities;
 - ii) capacity of the governance mechanisms for independent initiative;
 - iii) extent to which Governing Body decision-making is able to take adequate account of:
 - 1) national and regional needs and positions, including the role of regional bodies;
 - 2) needs and positions of different sectors within FAO's areas of mandate, including the role of the specialized committees of the Council; and

- 3) development and priorities elsewhere in the multilateral system, in particular the UN system and the General Assembly;
- iv) inclusiveness and balance in governance mechanisms and the extent to which these contribute to confidence and ownership by member country governments and the wider public, including:
 - 1) capacity for all categories of Member Country to input to decision-making;
 - 2) issues of balance in governance decision-making mechanisms within a multilateral context with respect to such issues as size of country population and size of contributions to FAO;
 - 3) role of the non-governmental sector, including civil society and the private sector in governance;
 - 4) role of other intergovernmental organizations, in particular of the UN;
- v) factors for efficiency and coherence including such aspects as:
 - 1) the size, frequency and duration of meetings;
 - 2) gaps and/or potentials for overlap in the role of the different Governing Bodies; and
 - 3) clarity of mandates of the different Governing Bodies;
- vi) factors for transparency and member confidence, including:
 - 1) language policy (including efficiency implications);
 - 2) availability of information; and
 - 3) secretariat arrangements for the Governing Bodies (independence, competence, etc.);
- vii) information to the Governing Bodies to facilitate decision-making and its:
 - 1) comprehensiveness;
 - 2) clarity on issues, format and length; and
 - 3) cost;
- viii) effectiveness, efficiency and coherence with respect to key areas including:
 - 1) overall priority setting;
 - 2) establishing resources and their application including:
 - the regular (core) budget of FAO (including the budget cycle and the documents presented to the Governing Bodies);
 - extra-budgetary funding (trust funding including the growing extra-budgetary funding for emergency work);
 - other potential supplementary funding arrangements (e.g. voluntary core and pool funding, multilateral trust funding);
 - the balance between, and complementarity of, core-budget activities and those funded by voluntary contributions;
 - 3) appointment of the Director-General and officers of the Council;
 - 4) institutional structure and arrangements;
 - 5) approach to risk, including financial risk; and
 - 6) human resource policies;
- b) Clarity and balance in roles for decision-making between the Governing Bodies and the Director-General (actual and as set out in the Basic Texts); and
- c) efficiency and effectiveness of the existing Governing Body structures in combining functions of governance and functions as an international forum for exchange of information and obtaining international policy and regulatory coherence in FAO's areas of mandate.

65. **FAO's role in the multilateral system** – The organizational strategy, arrangements, culture and procedures in FAO for multilateral partnership (working jointly towards synergies, reducing competition and avoiding overlaps and duplication) and awareness of the costs and benefits of multilateral partnership. In addition to benchmarking FAO performance against other comparable organizations, the evaluation may address issues with respect to FAO's comparative advantage and role in the multilateral system, including:

- a) the adequacy of the international architecture for FAO's area of mandate and those areas of member country priority and need which are:
 - i) inadequately addressed at present by the international system and may require to be strengthened;
 - ii) have adequate coverage without any input from FAO; and
 - iii) are being ineffectively addressed, in part due to competition and/or lack of partnership between organizations.
- b) the extent to which FAO's areas of mandate and competence are clear and respected by other partners in the multilateral system, including the sustainability of other agencies' intervention in areas of FAO's mandate (e.g. the World Bank has moved heavily into and then again out of several sectoral areas covered by members of the UN system over the past two decades);
- c) relation of FAO at the Governing Body and managerial level to other organs of the UN system, decisions of the major organs of the UN system and the UN Secretary-General;
- d) effective partnership collaboration and integration, including:
 - i) participation and contribution in the central coordinating and partnership mechanisms of the UN system, including Chief Executives Board (CEB) and the UN Development Group (UNDG);
 - ii) work at country level (including UNDAF, PRS process and collaboration in the UN country team); and
 - iii) partnering with the Rome-based international food and agriculture organizations (IFAD and WFP);

And also:

- iv) collaboration on treaty and international regulatory work;
- v) collaboration on research and its application, including with the institutions of the CGIAR;
- vi) collaborative technical programmes;
- vii) collaboration in building accessible global knowledge;
- viii) collaboration with non-governmental multilateral organizations; and
- ix) collaboration with regional organizations.

Annex 2 Appendix 3: Definitions of Terms used in the Terms of Reference

| | |
|-----------------------|---|
| Benchmark | Reference point or standard against which performance or achievements can be assessed. A benchmark often refers to the performance that has been achieved in the recent past by other comparable organizations or what can be reasonably inferred to have been achieved in the circumstances. |
| Effectiveness | The extent to which the intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance and the volume of resources deployed. |
| Efficiency | A measure of how economically resources/inputs (funds, expertise, etc.) are converted to results. |
| Evaluability | Extent to which an activity or a programme can be evaluated in a reliable and credible fashion. Assessing evaluability calls for an early review of a proposed activity in order to ascertain whether its objectives are adequately defined and its results verifiable. |
| Impacts | Positive and negative, primary and secondary long-term effects produced by an intervention, directly or indirectly, intended or unintended. |
| Indicator | Quantitative or qualitative factor or variable that provides a simple and reliable means to verify achievement, to reflect the changes connected to an intervention, or to help assess the performance of an actor. |
| Outcomes | The likely or achieved short-term and medium-term effects of an intervention's outputs. |
| Outputs | The products, goods and services which result from an intervention |
| Performance | The degree to which an intervention or a partner operates according to specific criteria/standards/guidelines or achieves results in accordance with stated goals or plans. |
| Relevance | The extent to which the objectives of an intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies. |
| Results | The output, outcome or impact of an intervention. |
| Stakeholders | Agencies, organisations, groups or individuals who have a direct or indirect interest in the intervention or its evaluation. |
| Sustainability | The continuation of benefits from an intervention after major assistance has been completed. The probability of long-term benefits. The resilience to risk of the net benefit flows over time. |
| Triangulation | The use of three or more, sources or types of information, or types of analysis to verify and substantiate an assessment, in order to overcome the bias that comes from single informants, single-methods, single observer or single theory studies. |

Annex 3: Supplementary Information on Sources and Methodology⁴

THE APPROACH

1. The overall evaluation framework and methodologies were described in the **IEE Inception Report**, presented to and approved by the Council Committee for the IEE in May 2006. Chapter 2 of the IEE Report (paragraphs 200-208) and a full description of the initial methodology, the reasoning behind it and working hypotheses were given in the Inception Report, presented to the Council Committee for the IEE (CC-IEE) in May 2006. During the course of the IEE some important, but relatively small, improvements and additions were made. Overarching considerations in the approach to the evaluation were inherent in the basic provisions of the terms of reference, i.e. the evaluation should be:

- a) formative making proposals for the future of FAO;
- b) comprehensive covering FAO in its entirety; and
- c) consultative with and take account of the interests of all stakeholders.

2. Thus in its Inception Report, the IEE team stated⁵, the terms of reference for the IEE “underscore that this is to be an exceptionally ambitious undertaking that is:

“... expected to be forward-looking and to emphasize findings, conclusions and targeted recommendations that would allow the membership, the Director-General and the Secretariat of the Organization to chart the way forward, to better meet the challenges of the future in an evolving global environment, including newly emerging needs of member countries, and to position FAO, based on its strengths and comparative advantages. Consequently, the evaluation has the potential of becoming a milestone for FAO, reinforcing its role in a reformed UN system and the emerging new multilateral architecture. It should help to strengthen the sense of unity and purpose among the membership of the Organization, and to make FAO fit for the twenty-first century and the challenges ahead.” (Underlining ours).

3. The ToRs make clear, therefore, that this work should go far beyond the framework of a conventional evaluation which would centre on a diagnosis of institutional performance by assessing outputs, outcomes and results. They assign primary emphasis to the future and to the evaluation’s role in supporting and facilitating the Governing Bodies and FAO management in defining the future role and modus operandi of FAO itself.

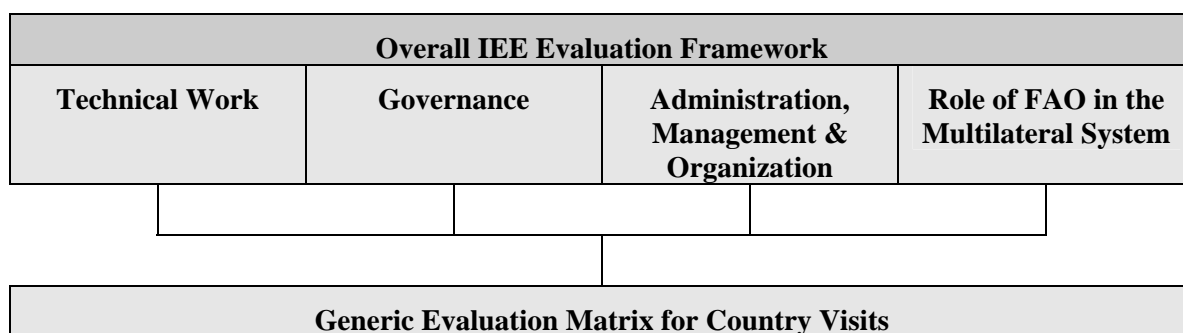
4. There were four main phases to the IEE:

- I. Preliminary Assessment, from late March to early April 2006;
- II. Main Investigation, from April 2006 to early April 2007;
- III. Derivation of draft Conclusions and Recommendations, from April to early July 2007; and
- IV. Finalization, from mid-July to mid-September 2007.

5. For each of the main areas of work, an evaluation matrix was drawn up as a living document. The initial versions of these were reproduced on the IEE website for public information and comment. The key questions for each area as provided for in the Inception Report are reported as the last section of this annex.

⁴ All of the documents with titles shown in bold are publicly available on the FAO website at <http://www.fao.org/pbe/pbee/en/219/index.html> and have been throughout the IEE.

⁵ Inception Report paragraphs 1 and 2.

Figure A3.1 Relationship between evaluation matrices

6. Preliminary assessment involved intensive fact-finding for an initial situation assessment, based on an extensive literature review and open-ended interviews and meetings with about 100 FAO senior staff. Interviews were also held with specialists in the four core areas of the IEE and with regional specialists. From this base, team members developed together a core methodology for the IEE, a division of labour and an initial critical path. Each core team member then developed the detailed methodology for his/her main area of work, which was then discussed and agreed by the IEE team leader.

7. The core team met together as a group several times in the course of the IEE, in addition to regular distance communication. This enabled integration of findings between the four core areas of the IEE and formed a firm foundation for the evaluation's overall conclusions and recommendations. Twenty-six specialized consultants worked in sub-teams. They covered the various technical disciplines relevant to FAO, specific aspects of governance and supporting areas such as knowledge management, budgeting and IT; eleven regional experts took part in the country visits; and ten consultants were recruited to provide research support (see Annex 4).

METHODS AND TOOLS

Review of existing materials and desk analyses

8. An extensive review was made of written materials from multiple internal and external sources, including, among others, internal FAO reports and previous studies, internal and external audit reports, and UN system-wide reports. Literature was also reviewed with respect to each of the areas of work, including by technical consultants (see below).

9. A review was made of many FAO corporate-level evaluations, project evaluations and auto-evaluations. In addition, for many corporate evaluations, the IEE systematically tracked the recommendations made, management responses and subsequent follow-up. The IEE made a separate evaluation of the evaluation function in FAO which enabled it to verify the quality and reliability of the existing evaluation reports.

10. Also produced were:

- a) a review of the extent of literature citations and internet references to FAO;
- b) an inventory of key global and (inter)regional organizations supplying services in the agriculture and food sector, ranked by FAO technical staff by importance to FAO as partners and as competitors, and drawing on relevant studies produced by independent research institutions as well as the experience of FAO staff; and
- c) a retrospective examination against set criteria of historical institutional initiatives and reforms undertaken within FAO.

Consultation process

11. Extensive efforts were made to ensure that the views of all major stakeholders were heard. Besides formal surveys, meetings and interviews, the IEE team received numerous informal communications during the course of the evaluation from different stakeholders via email and direct contact. The Director-General met with the team leader(s) at various key stages during the course of the IEE.

12. The balance between different categories of stakeholder varied according to the topic – e.g. internal and external, different categories of external stakeholder. They were detailed in each of the background working papers, so that the core team could take that factor into account during triangulation.

13. Structured and semi-structured interviews (face-to-face and by telephone) and focus groups were conducted, using the same questions or generic frameworks. Over 2 500 individuals were involved, many on more than one aspect of the IEE. Focus groups and interviews formed an especially important part of the work on culture, administration, management and organization and the country visits (see below).

14. Over 3 000 responses to 12 separate questionnaires, each with different purposes (on Culture, Governance, Gender, Partnerships, Agriculture, Forestry, Statistics, Research, International Law and Standards, Nutrition, Emergency Assistance and Demand for Technical Support Services). Questionnaires generally employed a mix of closed questions allowing respondents to grade their responses (e.g. what is your level of satisfaction with x or what priority to give to y) and open questions for which responses were subjected to content analysis as well as being reviewed by research support staff.

15. After preparation of the draft report, a series of consultation meetings were held with FAO Members and staff for the IEE to receive final corrections on points of fact, clarify intent and any ambiguities and to hear points of disagreement with the IEE analysis. The meetings were structured by regional grouping of Members and by department and region for headquarters and field staff (the latter by video and telephone link). Hundreds of staff participated in these meetings. An additional meeting was held for General Service staff only, which attracted over 100 participants. Many comments were also received by email or direct communication. These comments were systematised and carefully weighed and considered by the core team, while reserving its right to independent assessment.

Comparison of FAO with other agencies

16. In each of the four core areas of the IEE, agencies were selected primarily for comparison based on similarity of functions (i.e. technical agencies) and/or size, with some additional comparisons on specific areas (including WHO, UNESCO, ILO and UNIDO for both technical and administrative comparisons and OECD and IMF for administrative benchmarking). Comparison was also made with the other Rome-based agencies (WFP and IFAD), where appropriate. This was done by data review and direct interviews, as well as benchmarking within the UN system more widely (e.g. through review of UN-HLCM data).

Expert professional input

17. For each of the areas of work expert professional inputs and review papers were prepared (and the specialist consultants are listed in Annex 4). In the technical areas, specialists were contracted to prepare analytical papers. For each paper, generic terms of reference and standard outlines were employed incorporating, the key evaluation questions referred to above and addressing in particular the relevance and comparative advantages of FAO's work in the light of key changes and trends that have taken place over the last several years in their specific areas of enquiry. In total, 29 background working papers were prepared. A round-up workshop was held with the technical specialists for each of the core areas and their papers were then used as one

input for arriving at conclusions on FAO's work triangulated against the other sources of information referred to above and against each other.

Specific methods and approaches in the four core areas

18. Additional specific methods and approaches appropriate to each of the four core areas of the IEE were used, as follows:

- a) for FAO technical work the IEE assessed FAO performance applying standard UNEG and OECD/DAC methods and evaluation criteria⁶, supplemented by methods suited to the evaluation of activities on global public goods⁷;
- b) in the work on administration, management and organization a bottom-up approach through focus groups and questionnaires was used to explore the strengths and weaknesses in rules and processes from the working level up through line management to senior management. Standard management consultancy approaches benchmarking against best practice were also applied;
- c) for governance case studies were prepared of trends in Members' funding of the major issues being addressed by FAO; of recent measures taken on decentralization and the implications for governance; and of interagency governance arrangements on a regional basis. Together with those team members responsible for assessing FAO's role in the multilateral system, close consultative relationships were established with groups working on UN Reform and with donor agencies reviewing how to strengthen multilateralism and to assess future needs and modalities of development financing (the OECD/DAC "New Rules Coalition").

Country visits

19. Visits were made to 35 member countries, which included 23 developing countries, ten OECD capitals, the Russian Federation and the European Commission. The visits were designed to look at all aspects of the IEE work and gather evidence, and views at the country level. They were led by core team members accompanied by regional and technical specialists and generally had a duration of slightly over a week for developing countries and two days for developed countries. In some cases, the missions were prepared beforehand by national consultants and in all cases they were supported by country profiles, prepared in advance, covering, for example, an inventory of FAO projects over the last six years and key donor and government programming documents. Among the hypotheses tested were cross-cutting issues, such as policy and programme measures and their effectiveness in gender, sustainable development and the mainstreaming of poverty reduction.

20. Annex 3 Appendix provides a listing of countries visited. The aim in **selecting** which developing countries to visit was to achieve broad-based representation of the breadth, depth and diversity of the results of FAO's work. The number of countries per region was determined in rough proportion to the relative size of FAO activities in that region. The selection of countries within these groupings was made by applying stratified random sampling including as criteria: i) the magnitude of the FAO programme in the country (excluding emergencies); ii) percentage of total population reported as under-nourished and; iii) percentage of total population engaged actively in agriculture. Weighting or segmenting by total population was also used to ensure that not only low population countries would be selected⁸.

21. A generic **evaluation matrix for country visits** was used. It included issues from each of the four core areas of the IEE: technical work, governance, administration, management and

⁶ Relevance, efficacy, efficiency, institutional impact and sustainability.

⁷ By World Bank/IEG.

⁸ Similarly structured selection was made in other sampling choices for the IEE.

organization and FAO's role in the multilateral system. A generic annotated outline for country reports was also used (see Annex 3 Appendix).

22. Around 850 **people were consulted** during visits to developing countries; usually between 30 and 45 people in each country. The proportions of people consulted in different categories varied according to country circumstances. Overall, 80-90 percent were external informants (that is, not FAO staff). They included representatives of national government (around 40 percent of those external informants), bilateral donors (just under ten percent), other agencies in the multilateral system, including IFIs (ranging from six percent in Latin America and the Caribbean to 18 percent in Africa), civil society organizations and NGOs (between 15 percent and 22 percent), the private commercial sector (just under ten percent), research institutions and academia (six to nine percent) and regional organizations (under five percent). Some 55 people were consulted in OECD countries.

23. **Ratings of the quality and added value of FAO's work** were scored on a four-point scale to render an overall picture of comparative strengths and weaknesses. A coherence analysis was made of the scores given by three different analysts on a sample of country reports. This showed a high level of convergence⁹.

KEY QUESTIONS BY IEE CORE AREA

*FAO's technical work*¹⁰

24. The review of technical work used the standard UNEG and OECD prescribed evaluation criteria (relevance, efficacy, efficiency, institutional impact and sustainability) and key questions included:

- a) What is FAO currently doing, where (what in which regions and which countries within regions), how, with what sets of (financial and administrative) resources, how efficiently and with what results?—data are being collected on this but these activities will need to be prioritized and evaluated—see more on this below?
- b) What are the key alternative sources of supply and what are they doing? How well is FAO doing relative to others both using objective measures of performance and in terms of perceptions of its stakeholders (i.e. all those who are directly or indirectly affected by it)?
- c) What do the management, staff and clients of FAO think of what it is doing, how well and what it should be doing in the future in a highly changed context both absolutely and relative to others - some of which are to be benchmarked?
- d) What are the technical areas of FAO's strong comparative advantage?
- e) What are technical areas in which FAO does not have a comparative advantage but carries out functions anyway and why? Would/could FAO gain comparative advantage by not carrying them out?
- f) How does FAO's UN set up give it the strengths of legitimacy, access to governments, convening power and ability to forge global agreements and how do the potential weaknesses of lack of independence, limited staff incentives relative to non-UN institutions and constrained and uncertain financial resources limit the realization of the strengths? and
- g) What are the implications for the future for FAO from four perspectives: acting alone, through reforms, collaboration with other institutions, and in comparison with benchmarked institutions?

⁹ Convergence analysis was also used in other situations and background working papers, where applicable (e.g. on the quality assessment by independent reviewers of samples of past FAO evaluations).

¹⁰ See paragraph 46 Inception Report.

*Administration, management and organization*¹¹

25. Issues of trust and transparency are themes that have to be examined, in as much as they can be addressed through human resources activities and administrative processes in general. Another overarching issue is the degree to which FAO has become risk averse and subject to micro-management while at the same time moving into activities and structures that call for a culture which accepts greater accountability balanced with a degree of risk acceptance. At a macro level, questions have been asked as to the cost-effectiveness of administrative support in the Organization. This leads to a seeming contradiction, with some indicators showing that administrative services have, over a long period, responded well to demands to cut costs. The following provided an illustrative listing of areas for in-depth analysis:

- a) **Human Resources:** Grading, competencies and ICSC broad banding proposals particularly in the light of trials being undertaken for the UN common system by IFAD and WFP; Recruitment and appointment process and objectives including nationality and gender targets and the linkages between people management and personnel decisions; Mobility and rotation (the possible scope for rotation between FAO and other UN agencies); Performance assessment and the potential for performance pay also given current ICSC proposals, which are currently being tested in IFAD and WFP; Human Resources programmes and their ability to support a flexible workforce given UN common system requirements and constraints; The use and cost of consultants in the work of FAO given that shifts have taken place in the modalities for employing short-term expertise;
- b) **Administration:** Security and risk; Analysis of potential and ongoing joint/third party administrative activities in Rome or elsewhere including outsourcing; Mechanisms to ensure joined-up thinking in the provision of administrative support, given the tendency to compartmentalize or decentralize activities for budgetary reasons; The feasibility of the Administration and Finance Department becoming involved in national institution building as suggested in the Director-General's reform proposals;
- c) **Finance:** Issues of financial risk; The flow of resources into FAO in the light of the payment of assessed contributions by Members; The impact of the forthcoming changeover to International Accounting Standards, including the need to provision for after-service liabilities, including health insurance; Benchmarking of financial and accounting procedures; Ex-post versus ex-ante controls;
- d) **Budget:** The strengths and weaknesses of different budget instruments, such as the Strategic Framework, the Medium-Term Plan (MTP) and the Programme of Work and Budget (PWB); The utility and cost-effectiveness of preparing different budget scenarios; The adequacy of existing budget instruments in priority setting; The rolling Medium-Term Plan and its "best fit" to the biennial Programme of Work and Budget; Transparency and informed decision-making in the budget process; Appropriateness of performance indicators used in the budget under the Results-Based Management (RBM) approach adopted by the UN system; Benchmarking the budget and planning process;
- e) **The relation between Regular Budget and Extra-budgetary Resources and the management of extra-budgetary resources, including:** the arrangements for agreement on receipt of funds; the efficiency and flexibility of procedures; arrangements for substantive accountability; integration of the funding under extra-budgetary and Regular Programme resources; benchmarking against practices of other organizations for application and management of voluntary funding;
- f) **Organizational Structure and Management:** Fit of structure to programme needs (cross-reference to the work of the technical evaluation team and governance as well as Director-General's reform proposals); Structure to best support a de-layered

¹¹ Paragraphs 52 and 57 Inception Report.

- management; Best practice review of oversight structures; Decentralization structure (cross-reference to the work of the technical evaluation team as well as Director-General's reform proposals); Results of management training in FAO including participation in activities of the joint management centre (cross-reference to knowledge); Leadership - perceptions and realities; Suitability of management information systems (cross-reference to IT);
- g) Information Technology (IT): Risk assessment in IT infrastructure; Suitability of IT infrastructure for a knowledge-driven and transparent organizational management (cross-reference also to infrastructure); The implementation methodology and objectives for the major human resources software system under construction at the present time; The need to further incorporate legacy systems into the financial system architecture; Ability of IT systems to support a decentralized operation; and
- h) Knowledge: The way in which FAO supports a knowledge environment; The FAO outreach programmes in the field of communications and public information including the publications programme and the programmes associated with fund raising activities; The degree to which knowledge management is integrated internally and externally (cross-reference to interagency review team and technical requirements of member countries); Internal training programmes (cross-reference to Human Resources); The nature of management in a knowledge environment (cross-reference to management).

*Governance*¹²

26. To be forward looking, the questions that the evaluation will have to address are what kind of FAO does the international community require today and what kind of FAO it would wish to see in the future and:

- a) the analysis of institutional structure and functions: How are the Governing Bodies integrated? To what extent are the Governing Bodies perceived as inclusive and representative of the interests of all Members of the Organization? Are the Governing Bodies able to make decisions and set priorities? Are there agreed criteria, including transparency, for establishing priorities? Are there power asymmetries in governance and, if so, how do these affect confidence in the Organization? Do the Governing Bodies measure their own performance for efficiency and effectiveness (this is becoming a standard best practice)? What might be the benefits of different types of institutional governance? How are the substantive items for governance agendas decided? How does FAO governance compare and contrast with that of other multilateral organizations? Is it desirable and feasible for new entities, such as representatives of civil society, to become more directly involved in governance as is now the practice in some other multilateral organizations such as The Global Fund (to Fight AIDS, Malaria and Tuberculosis)? If so, what modalities might apply? Are the evaluation and audit roles performed adequately and with sufficient independence and do these provide the Governing Bodies with adequate, reliable and sufficient information to ensure that these are able to meet their fiduciary responsibilities?
- b) on governance concerns the relationship between governance and management: What is the nature of the relationship between governance and management in FAO, both according to statute and in practice? Are role definitions clearly specified and are they applied? Is accountability clear and adequate? In practice, do the definition of objectives, and the policy and strategy setting of the Organization respond to the initiatives of governance or of the management? Do tensions exist and, if so how are they addressed and resolved? Following the collapse of ENRON, World Com and Arthur Anderson, major changes have been

¹² Paragraphs 59 and 62-66 Inception Report.

introduced in governance-management relationships and these have not been limited to the corporate sector, but are now being applied increasingly to the structures of charitable foundations and non-governmental organizations. Are patterns of “best practices” either now known or emerging and would these hold possible value and application for FAO?

- c) the relationship between the governance of FAO and that of the UN system as a whole, including informal elements of that governance through requests and mandates assigned by global summits and conferences, existing formal relationships with ECOSOC and the General Assembly and elements of FAO governance which have been ceded to the “Common System”, including the ILO Tribunal;
- d) the relationships between governance and financial-budgeting coherence: The nature and trend in FAO’s funding (core budget, extra-budgetary trust funding, and other supplementary funding arrangements). Some key questions to be posed from this are the extent the implications and consequences of trends in funding have been examined, understood and governed by the Governing Bodies and how impacts were examined and deleterious consequences minimized. How are the funding allocations dictating the Organization’s objectives and activities? Is the process of establishing a budget inclusive and representative of the interests of the Members of the Organization? A specific issue in this constellation involves the governance regime for trust funds consigned to FAO. Has the lack of funding led to the reduction or elimination of some traditional FAO activities? How has it affected its global reach? and
- e) efficiency of the governance processes, including the delimitation of areas of competence of the various committees; their processes, procedures and cultures; their documentation requirements and their timings in relation to the decision making processes of the Organization.

FAO in the multilateral system¹³

27. With regard to the role of FAO in the multilateral system:
- a) What has changed, is changing and is likely to change in the overall architecture for international development and what does this require or imply for FAO? In particular, what are the implications of system-wide UN reform efforts especially with regard to the three Rome-based agencies, of country-level coordination arrangements (e.g. PRS, UNDAF, “One-UN”, the role of the UN Resident Representative, developments with regard to “tightly managed entities, etc.)?
 - b) Who is now doing what (technical programmes, research, norm and standard setting, building global knowledge bases) in the area of FAO’s mandate? When FAO was founded 60 years ago it was sui generis. That is far from the case today. A myriad of institutions and institutional arrangements and a large number of alternative sources of supply now exist. Does FAO hold comparative advantages in this changed context? What are they and how are they determined, judged, measured? Is FAO clear with regard to its comparative advantages? How does it verify and validate these?
 - c) What is the level and quality of FAO’s participation in the major efforts underway to increase development coherence, build stronger and more enduring partnerships between international development organizations, governments, non-governmental actors and the private sector, and to harmonize policies, practices and organizational arrangements, especially at the country level? How does FAO decide on partnerships and what is the evidence that FAO is a valued partner? What internal mobilization has occurred in response to ECOSOC Resolutions? What are the main perceptions and views of FAO by other actors in the UN

¹³ Paragraph 71 Inception Report.

system? Is there anything of significance in the fact that FAO was not assigned a major role when the Secretary-General set up an independent group to report on “Realizing the Promise and Potential of African Agriculture”?

- d) What are the effective demands of member countries in the area of FAO’s mandate? How are these determined? Have they changed and are they changing? How do they relate to greater system-wide coherence? If there are coherence weaknesses, can the Organization’s management do anything about them or does the genesis of these lie with competing and non-reconciled demands from member countries?

Annex 3 Appendix
Table A3.1 Countries Visited

| Region and Country | Low-Income | Middle-Income |
|---|------------|---------------|
| Africa | | |
| 1. Burkina Faso | X | |
| 2. Ethiopia | X | |
| 3. Ghana (and FAO Regional Office) | X | |
| 4. Madagascar | X | |
| 5. Namibia | | X |
| 6. Niger | X | |
| 7. Tanzania | X | |
| Near East | | |
| 8. Egypt (and FAO Regional Office) | | X |
| 9. Mauritania | X | |
| 10. Tunisia | | X |
| 11. Yemen | X | |
| Asia and Pacific | | |
| 12. Bangladesh | X | |
| 13. Cambodia | X | |
| 14. India | X | |
| 15. Thailand (and FAO Regional Office) | | X |
| Latin America and the Caribbean | | |
| 16. Barbados | | X |
| 17. Bolivia | | X |
| 18. Chile (and FAO Regional Office) | | X |
| 19. Honduras | | X |
| 20. Peru | | X |
| 21. Saint Lucia | | X |
| Central and Eastern Europe | | |
| 22. Armenia | | X |
| 23. Georgia | | X |
| OECD and Other | | |
| 24. Belgium | | |
| 25. Canada | | |
| 26. European Commission (FAO Member Organization) | | |
| 27. France | | |
| 28. Germany | | |
| 29. Hungary | | |
| 30. Japan | | |
| 31. Mexico | | |
| 32. Norway | | |
| 33. Russian Federation | | |
| 34. Sweden | | |
| 35. United States of America | | |

Partially Annotated Outline for IEE Country Mission Reports

Introduction: This is intended to serve as an outline of main headings to be covered and a check-list of some of the key questions

Where there are different perceptions of different groups of stakeholders they should always be distinguished and it should be clear what the judgement is of the mission and what the judgment is of all or a group of stakeholders.

Always try and reference FAO's performance by comparison to that of other organizations working in the same country. For the purposes of this evaluation WHO has been taken as a prime comparator and specialized agencies such as ILO, UNIDO and UNESCO also provide a basis for overall benchmarking of performance. Other agencies, including the UN funds and programmes, IFIs, bilaterals and international NGOs, may provide useful lessons without being comparable as organizations.

On many aspects of the country visits it will be important to verify the judgements of the FAO Decentralization and TCP evaluations as well as the other evaluation material assembled for the IEE. Also bear in mind that information asymmetry could be a huge issue in this evaluation because the stakeholders may not have enough information.

Overall Findings and Recommendations: It is suggested that this section only be completed by teams (groups of consultants) when they have completed a series of countries together and can start to draw some common conclusions based on two, three or four countries.

Coverage of technical areas by the teams: While in all countries an overall impression can be formed from stakeholders and where possible teams should divide to follow up on a few technical areas where FAO has concentrated its efforts and try to obtain more in-depth information for these areas. See evaluation matrix for detailed questions.

**Make sure that the main findings stand out and that the forest can be seen from the trees
What are the satisfactions, dissatisfactions, successes and failures and in whose opinion?**

Outline

1) Main Thrusts of FAO Cooperation (relative importance of different forms of cooperation)

- a) FAO Portfolio in recent years, the major concentrations by sub-sector and by level of intervention (emergency response, piloting, investment development, strengthening institutional capacity, policy and legislation)

Describe portfolio of current and recently completed FAO programmes covering the period of 2000 to 2006 in country X. We have also classified them by global topics. How to assess FAO's effectiveness if not impact poses even more complicated questions which are explored in this outline below - e.g. integrated pest management can be to meet international pesticide standards, sustainable management of natural resources or in agricultural services - since FAO has a major extension programme of farmer field schools - based on the description of projects we have there is no way for us to tell which is the major thrust of these activities without some ground truthing or discussion with knowledgeable persons in the capital.

- b) Role of the FAOR (policy dialogue, dialogue on investment decisions by donors, support to programme development, project implementation, etc.). How does the FAOR see his/her role and how is it viewed by others (in government, civil society and by donor

agencies)? The Decentralization Evaluation strongly underscored the importance of having competent and experienced individuals as FAORs. It would be important to determine the qualifications of the FAORs and some inputs on how others view their professionalism.

- c) Role of regional projects: You will note from the attached table that there are a number of regional projects –some of which appear to be of a regional public goods nature. The global team did not have access to FAO’s country portfolios when it formulated questions in Rome. However, given their importance the country study should assess both the regional portfolio and national level activities. Does the regional portfolio have public goods characteristics in the sense of containing public bads (e.g. avian flu) or food safety standards in which FAO is considered to have comparative advantage, is it building capacity of countries to become a more effective trading partner? Within each we have tried to categorize activities in the areas in which the global team is preparing papers, as they are expecting inputs from your papers in each of their areas.
- d) Inputs from headquarters and Regional Offices including investment formulation (if any – comment on the relative importance of these and on the efficiency and effectiveness of inputs provided).

2) Challenges, Demands, Absolute and Felt Needs

Demands for services distinguishing from which groups of stakeholders these come and the extent to which these seem to parallel absolute needs, also taking account of the main thrusts of actions by other members of the international community. To the extent possible distinguish challenges and demands by sub-sector and by level (piloting, institutional capacity, policy and legislation)

- In general, do stakeholders feel that FAO programmes are strong on relevance, i.e. responsive to the needs of the country? In this context there may be activities that country X feels FAO should be financing but does not currently engage in. Please list such areas but ensure you address both the errors of omission and errors of commission.
- What do the stakeholders think FAO should be doing in addressing MDGs in the country?

3) FAO Decision-Making on Priorities and Resource Allocation

- a) How are decisions on resource allocations and programmes arrived at and does this produce a response in line with needs and FAO's comparative advantage? What explains the current activity mix and changes in it over time?¹⁴
- i) assess factors determining country demands for FAO's services and the response "how does the country articulate its demands to FAO"? Is there a country priority-setting process? What are the various methods and means by which demand is articulated and aggregated — regional and subregional conferences, meetings of technical experts, requirements of individual ministries, emergencies, a PRSP (Poverty Reduction Strategy Paper) process? Where does the country stand on Millennium Development Goals (MDGs)?
 - ii) what are the respective roles of the government, UN country team (UNDAF) donors, FAOR, Regional and headquarters technical officers? How important is partnership in determining what FAO does?
 - iii) do national drivers in the process extend beyond the Ministry of Agriculture to other ministries and non-governmental and private sector stakeholders?
 - iv) do FAO global and/or regional priorities have much influence?
 - v) is the programme demand- or supply-driven or just opportunistic? What do the indicators tell us about the balance between supply and demand-driven programme mix (e.g. the SPFS)?
- b) How near to optimal is the relevance of the FAO response within the Organization's constraints - In which area(s) does FAO have a distinct current or a likely future dynamic comparative advantage? (See the definition of comparative advantage and dynamic comparative advantage in the attached list of definitions)
- Keep in mind the stage of development of the country in addressing its needs (not all needs but only those that FAO is ideally suited to meet). Develop a basis for testing some overarching hypotheses. FAO's existing evaluations state that.
 - The great majority of developing countries want assistance with application of norms and regulations;
 - Most LDCs and many middle-income countries want assistance in development of policies, strategies and legislation;
 - Many LDCs want assistance with piloting but most countries do not see a strong FAO comparative advantage in small- or large-scale development projects;

¹⁴ Currently evaluation findings and the global technical team's interviews suggest that the current portfolio is a result of a combination of:

- FAO's mandate (please ensure you read FAO's Strategic Framework <http://www.fao.org/strategicframework> also attached for its mandate and how it proposes to fulfil it)
- core competence
- supply and predictability of budgetary funds
- supply, predictability and duration of extra-budgetary funds
- specific demands from country under consideration
- specific supply of bilateral aid from developed countries for certain activities
- external shocks caused by natural disasters
- emergencies (caused by natural disasters as well as man-made disasters—e.g. the past neglect of warnings on Avian Flu and other animal borne disease vectors leading to current risks of epidemics)
- partnership arrangements with other institutions (e.g. FAO's Cooperative Programme with the International Financial Institutions leading to demand for FAO's technical expertise beyond the resources of the Investment Centre)
- demands articulated by sub-sector specific technical committees in various areas
- activities out of global and regional consultations
- Director-General's initiated activities
- other factors.

You could provide support or refutation of these as hypotheses.

- Direct use of FAO's information products by LDCs and many middle-income countries is low.
- Would you have any reason to either lend support or reject these statements for country X?

4) Partnership and Networking

- a) How does FAO function as a member of the UN country team and the wider international community including donors – if there are faults, are they all on the side of FAO? Is shared UN premises a real issue?
- b) Is there a fundamental problem if the overall priorities of the PRS and UNDAF do not align with FAO priorities?
- c) Does FAO reach out to ministries beyond agriculture and to non-state actors and how does it do this?
- d) How well do partnerships function at country level with:
 - IARCs?
 - IFIs?
 - bilateral donors?
 - national stakeholders?
- e) Partnership has costs as well as benefits. Should FAO partner more or less and how?
- f) How well does FAO relate to and integrate its activities with those of regional organizations?
- g) Does FAO optimize on partnerships?

5) FAO Administration, Organization and Management (Is the overall judgement that FAO is an efficient organization?)

- a) Workings of the FAOR:
 - i) work planning;
 - ii) staffing and human resource policies of the FAOR. Are staff profiles and competencies in line with needs?
 - iii) communications and IT;
 - iv) administrative and financial procedures (purchasing, contracting, letters of agreement, authority levels, etc.).
- b) Efficiency, transparency etc. of project planning, formulation and approval procedures? Indicators of average response times for different activities would be valuable.
- c) Efficiency of project operations distinguishing between emergencies managed from Rome and development technical cooperation managed principally by the FAORs
 - i) quality of project staff and consultants;
 - ii) appropriateness of teams (competency mix)

6) Results of FAO's Work

- a) Technical Cooperation: While in all countries an overall impression can be formed from stakeholders, where possible teams should divide to follow up on a few technical areas where FAO has concentrated its efforts and try to obtain more in-depth information for these areas. See evaluation matrix for detailed questions.

Outputs

- i) Are outputs produced in as an efficient and timely way as possible?
- ii) What is the quality of outputs in terms of absolute technical standards?
- iii) Are the outputs in a form in which they can be used best by beneficiaries?

- iv) Do the processes followed contribute to the broad-based ownership of the results whether that be in the area of policy, new technology, or institutions?

Outcomes, impacts and their sustainability: Are FAO activities making a cost-effective contribution to a plausible line of causality in delivering sustainable benefits to the country and its people?

- b) Use made of outputs of headquarters and the Regional Offices divided to the extent possible by technical area and by category of stakeholder:

Are the stakeholders aware of the various types of services which FAO currently provides and which are outlined in the matrix of FAO activities and discussed in its strategic mandate?

- i) Publications (hard copies) and information available on the internet:
- (1) is there awareness of what is available?
 - (2) what use is made of what is available and by whom?
 - (3) are there difficulties in accessing what is available?
 - (4) what improvements would users like to see?
- ii) FAO as a knowledge broker: Is FAO seen as a knowledge broker bringing together knowledge and/or making knowledge available from different sources?
- iii) Meetings, seminars and training courses:
- (1) do the right people attend?
 - (2) how relevant are the subject matter and contents?
 - (3) are the processes appropriate?

7) What are FAO's Comparative Advantages

- a) In the light of the above analysis what are FAO's genuine comparative advantages in country X and are there important lacunae where FAO should be building comparative advantage? To assess FAO's contribution you may wish to bear in mind that its unique assets are typically suggested to be:
- Intergovernmental status and legitimacy contributing to both convening power and neutrality;
 - Global intergovernmental developer of norms and standards in which it also has the capacity to deliver technical assistance;
 - Global outreach with network of country offices;
 - Membership of UN family;
 - Quality of FAO expertise;
 - Neutrality of its expertise – some say FAO is not neutral but accepting and needs to be tougher in taking a stand;
 - Its ability to provide quick and efficient responses;
 - Its ability to mobilize resources from local or international donors;
 - The small and flexible natures of its assistance.
- b) Views on UN reform and the role of FAO

8) FAO Governance (Perception of the agricultural ministries, other ministries and of non-governmental stakeholders on FAO Governance).

- a) Global Governance

- i) effectiveness of FAO at the global and regional levels in developing and contributing to international treaties, undertakings, regulations, consultative mechanisms, international coherence, etc.
 - ii) appropriateness of the international agreements, regulations etc. to needs
- b) Governance of the Secretariat (of FAO as an organization)
- i) role of the Regional Conferences (what do stakeholders expect from these? What do they think they get? What are their overall assessment and any suggestions/recommendations for changes?).
 - ii) satisfaction with the main FAO meetings in which they participate (for many this will be just the Conference and some of the main technical committees like forestry and fisheries);
 - iii) satisfaction that their voice is heard;
 - iv) views on involvement of non-governmental stakeholders;
 - v) any views on whether the WHO model is better with elected regional directors and more power to Regional Conferences.
- 9) **Views on FAO Reforms** (if any)
- a) Are they aware of FAO's reorganization in headquarters and how do they think it has affected how technical staff are deployed and backstopped?
 - b) Are they aware of FAO's decentralization effort and how has it affected what FAO does in the country?
 - c) Are stakeholders aware of FAO's budgetary constraints?

Overall Findings

Annex 4: IEE Consultants and Quality Assurance Advisers

IEE Core Team

Team Leader: Mr. Leif E. Christoffersen (Norway) is an experienced development economist who has conducted a number of major institutional evaluations including of the World Conservation Union (IUCN) and the Global Environment Facility (GEF). He worked for 28 years with the World Bank, during which time he served in various managerial positions in the fields of agriculture, rural development and the environment. He is Senior Adviser at Noragric, the Centre for International Development and Environment Studies at the Norwegian University of Life Sciences. Mr. Christoffersen has also led the Norwegian Research Council's program committee on multilateral development. He has chaired various Boards of foundations and educational institutions, including the GRID-Arendal foundation in Norway and Scandinavian Seminar College in Denmark. He currently serves on the Board of Directors of Earth University in Costa Rica.

Former Team Leader and Core Team Member: Dr. Keith Bezanson (Canada) is a distinguished expert in international development and has conducted a number of major evaluations including of the African Development Bank. He was most recently the Director of the Institute of Development Studies (IDS) UK. He has also been President of the International Development Research Centre (IDRC) Canada; Vice President (Administration) of the Inter-American Development Bank; Canadian Ambassador to Bolivia and Peru; and has held senior positions in Canadian International Development Agency (CIDA) including Director General Multilateral Programs, Vice President Americas Branch and Regional Director Eastern Africa (1973 – 1985). Dr Bezanson is fluent in English, French and Spanish.

Technical work of FAO: Dr. (Ms) Uma Lele (USA/India), an agricultural economist, has substantial international reputation. She has occupied various research, management and advisory positions in the World Bank and recently retired as senior adviser in the Operations Evaluation Department (OED, now known as the Independent Evaluation Group of the World Bank). She led the independent meta evaluation of the CGIAR as part of the larger evaluation of 70 World Bank supported global partnerships. She also led the independent evaluation of the World Bank's 1991 forest policy. She was Director of the Global Development Initiative of the Carnegie Corporation & Carter Centre and was a tenured Graduate Research Professor and Director of International Studies at the University of Florida. She has published widely and is fellow of the American Agricultural Economic Association and of the National Academy of Agricultural Sciences in India.

Management, organization and administration of FAO: Mr. Michael Davies (UK) is currently a senior consultant on management support systems (WTO, BIS, EIB, Aga Khan Development Network and WHO), has broad administrative experience including human resources, IT systems, payroll and budget. He published a comprehensive book on all facets of administration in international organisations. He has been a senior adviser in the human resources department of IDB, a senior compensation officer in the World Bank and an administrative officer both in the field and at headquarters for FAO. Mr. Davies speaks English, French and Spanish.

Governance of FAO: Mr. Carlos Pérez del Castillo (Uruguay) is currently an international consultant on international economic issues. He served as Uruguay's Ambassador, Permanent Representative to the WTO and UN organizations in Geneva, chairing most of the top bodies of the WTO, including its General Council. He was Special Advisor on international trade negotiations to the President of Uruguay. He has had Ministerial rank, been Vice-Minister of Foreign Affairs of Uruguay and the country's top negotiator at multilateral, hemispheric, regional and bilateral levels. He was Permanent Secretary of the Latin American Economic System. He held senior positions in UNCTAD and ECLAC. He has extensive public and private consultancy

experience and is a distinguished international authority on agricultural negotiations. He is fluent in English, French and Spanish.

FAO's role in the multilateral system: Ms. Thelma Awori (Uganda) is a former Assistant Secretary- General at UNDP (Director of the Regional Bureau for Africa), UNDP Deputy Assistant Administrator (Bureau for Policy & Programme Support), Deputy Director UNIFEM and UN Resident Coordinator, Zimbabwe. She has worked on evaluation methods for UNIFEM and was lead consultant and Chair of the Independent Review of FAO TCP. She has worked extensively on gender issues. She is President of ISISWICCE. She speaks English and French.

The Quality Assurance Advisers

Mrs. Mary Chinery-Hesse (Ghana) is currently Senior Adviser to the President of Ghana. She was a Permanent Secretary of the Ministry of Finance and served as UNDP Resident Representative (resident coordinator) in Sierra Leone, Tanzania, Seychelles, and Uganda. She was ILO Deputy Director-General from 1989-2000. She has served on several high level panels including: the Un Secretary General's panel on threats, challenges and change; Financing for Development (Zedillo Commission); Commonwealth panel on structural adjustment and women; UN Panel on progress of LDCs; Advisory panel to the African Union; and African advisers to the World Bank. She was also chair of the International Civil Service Commission. She served on the Advisory Board for the UNDP Development Effectiveness Evaluation Report; has been author of a number of papers on new trends in evaluation including for the IDEAS evaluation network and was Co-team leader of the Independent Evaluation of FAO Decentralization.

Mr. Robert D. van den Berg (Netherlands) is Director of the GEF Evaluation Office which is an independent office reporting directly to the GEF Council. He served with the Dutch Ministry of Foreign Affairs for 24 years working in development cooperation and policy and was Director of the Policy and Operations Evaluation Department of the Dutch Ministry of Foreign Affairs (1999-2004) when he was also chairman of the OECD/DAC Network on Development Evaluation. He served as the Executive Secretary of the Netherlands' National Advisory Council for Development Co-operation, and as the Head of the special program for research of Dutch development cooperation. He has co-edited three books on development cooperation and has published more than 20 articles on various aspects of policy formulation, evaluation, research and development cooperation.

Management Support

Carlos Tarazona
Melanie Derba

Evaluation Operations Administrator/Research Officer
Operations assistant

Specialist consultants

Administration, Management and Organization: Charlotte Jones-Carroll (Budget); Enrique Zaldivar (Finance); Teresa Saavedra (Information Technology); Vanessa Bertelli (Culture)

Knowledge management and communication: Ernest "Ernie" Wilson

Governance: Sholto Cross; Martin Piñeiro; Abdelaziz Megzari; Advisers: David Sands Smith; Gerald Moore

Technical Work: Bruce Gardner (Agricultural, Rural Development and Food Policy); Hans Gregersen (Forestry); Carl Eicher; (Sustainable development and food security); Eric Tollens (a. Technical Assistance and b. Agricultural support services); Cornelius (Cees) de Haan (a. Livestock and b. Investment support); Cornelius (Kees) van der Meer (International law and standard-setting); David Sahn (Nutrition); Tim Marchant (Statistics and databases); Michael Ward (Statistics and databases) Trond Bjorndal (Fisheries); Patrick Webb (Emergencies and immediate rehabilitation); Lukas Brader (Crops); Mohammed Ait Kadi (Water and irrigation); Torkil Jønch

Clausen (Water and irrigation); Achola Pala Okeyo (Gender); Kristen Timothy (Gender); Sarah Burrows (Gender)

FAO's Role in the Multilateral System: Douglas Lindores; Alex McCalla

Country and Regional: **Africa:** Dunstan Spencer; Mandi Rukuni; Achola Pala Okeyo; **Asia:** Inder Abrol; F.N. Zhong; Rashid Faruqee; Suntra Hang; **Europe:** Joe Goldberg; **Latin America & Caribbean:** Eugenia Muchnik; Julio Berdegué; Julio Paz; Norberto Quesada; **Near East:** Abdelaziz Mezari

Research Support & Support to Report Preparation

| | |
|-------------------|---|
| Alexander Shakow | Senior Consultant & regional team leader, Near East |
| Sally Burrows | Senior Consultant & specialist work on evaluation function and gender |
| Zeynep Elif Aksoy | Researcher – investment |
| Federica Coccia | Researcher – administration and management team & gender |
| Hua Di | Researcher – technical work |
| Anna Guerraggio | Researcher – technical work & various |
| Victoria Heymell | Researcher – environment |
| Anabella Kaminker | Researcher – multilateral system & various |
| Michele Mifsud | Researcher |
| Mario Picon | Researcher – governance & various |
| Sandhya Rao | Researcher – past evaluations |