

**Chair's Aide Mémoire – Thirteenth Meeting of CoC-IEE WG I**  
**Friday 13 June 2008, 17:00 – 19:00**

Vic Heard, Chair

1) **Strategic Objectives:** Members resumed their discussions of Strategic Objectives, and the Management paper on possible objectives with a worked example (Annex 1). They noted that the proposal showed real progress in development of the draft Strategic Objectives and illustrates the linkages from goals to organizational results in a means-ends hierarchy. The Strategic Objectives were not prioritised, but priorities should now be established within the objectives and evident in the Results. These should reflect the outcomes of the High-Level Conference on World Food Security: the Challenges of Climate Change and Bioenergy. In addition to a number of more detailed suggestions and reiteration of previous positions on priorities, Members noted that:

- a) Categorization of the Strategic Objectives according to the three Goals of Member Nations was useful;
- b) The core functions of FAO were well defined;
- c) Sustainability of results and impacts should be reflected throughout the Strategic Objectives; and
- d) It was useful to have internal functional objective which addressed the improvement of FAO's workings and culture change.

2) It was recalled that the next meeting would address a complete picture, including Impact Focus Areas.

3) Working Group Members agreed to provide further comments in writing to Management by 20 June. (Management noted that there is a process in place for consultation with the decentralized offices).

## **Annex I Possible Strategic Objectives for FAO**

1. This second paper on possible Strategic Objectives (SOs) for FAO was prepared by management to support further discussion among Members. It recalls desirable features of Strategic Objectives which embody a key level in the overall results-based framework. It then proposes a number of revised SOs based on comments received by Members, in particular at the meeting of WG I on 21<sup>st</sup> May, taking account of the Declaration of the High-Level Conference on World Food Security: the challenges of climate change and bioenergy, in particular the need to expand agriculture and food production, and further internal management consultations.

### ***I. Desirable features of SOs and their presentation***

2. Conceptually, Strategic Objectives should adhere to the following guiding principles:
- a. reflect most important priorities identified by Members in the longer-term (10-15 years);
  - b. contribute to the achievement of one or more Global Goals, as agreed in the current FAO Strategic Framework document and to be eventually re-validated and/or amended;
  - c. while expected to be achieved primarily by Members and the international community, they should point to significant added value of FAO's involvement and assistance;
  - d. provide overall direction to substantive work and indicate main areas of impact;
  - e. facilitate responsibility and accountability for results at lower levels;
  - f. be limited in number, understandable to Members and other key stakeholders, i.e. avoiding "jargon" and being too technical in nature.
3. In presenting Strategic Objectives in the revised Strategic Framework (the final version of which would be considered by Governing Bodies in 2009), it may be noted that the following formulation components would be included:
- a. issues and challenges addressed (i.e. problem statement);
  - b. benefit/change to be achieved in Members/international community;
  - c. assumptions and risks;
  - d. indicators and targets.

### ***II. How FAO will support the achievement of Strategic Objectives***

4. FAO's support to Members for successful achievement of approved Strategic Objectives would necessarily depend on the appropriate mix of the Organization's **core functions**, and use of main **comparative advantages**, as outlined below. These build on FAO's mandate, guiding the Organization's work and means of action at global, regional and national/country level. These core functions and comparative advantages, critical to the success of FAO, are carried out at all levels of the Organization and permeate all

Strategic Objectives. In recognition of the importance and cross-cutting nature of the core functions and comparative advantages, organizational systems and procedures will need to be aligned to facilitate action, promote focus and reward achievements. These supportive measures would include, *inter alia*, staff incentives and funding of a catalytic nature.

<b>CORE FUNCTIONS AND COMPARATIVE ADVANTAGES</b>	
a.	<b>Providing long-term perspectives</b> in areas of FAO's mandate, as well as leadership in <b>monitoring and assessing trends</b> in food security and agriculture, fisheries and forestry, bringing emerging risk factors to international attention;
b.	Stimulating the <b>generation, dissemination and application of information and knowledge</b> , including <b>statistics</b> ;
c.	<b>Negotiating international instruments, setting norms, standards and voluntary guidelines, and supporting the development of national legal instruments</b> , together with promoting their implementation;
d.	Articulating <b>policy options and advice</b> ;
e.	Providing <b>technical support</b> , promoting <b>technology transfer</b> , catalysing change and building <b>effective and sustainable institutional capacity</b> ;
f.	Undertaking <b>advocacy and communication</b> , to mobilize political will and promote global recognition of required actions in areas of FAO's mandate;
g.	Bringing integrated <b>interdisciplinary approaches</b> to bear on the Organization's technical work and support services;
h.	Engaging in <b>partnerships and alliances</b> where joint action is needed.

### *III. Possible Strategic Objectives*

5. Based on the discussions and deliberations of Working Group I, building on the conceptual framework outlined above, a set of strategic objectives is presented below. In line with the Declaration of the High-Level Conference on World Food Security, they address the urgent need to help developing countries and countries in transition expand agriculture and food production, and to increase investment in agriculture, agribusiness and rural development. They are grouped by their major contributions to the achievement of the three Global Goals of Members<sup>1</sup>, focusing on:
- a. increase in food production and availability;
  - b. economic and social progress and well-being;
  - c. sustainable management and use of natural resources, and increasing the resilience of food and agriculture systems to climate change.

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<sup>1</sup> The three Global Goals as agreed in the Strategic Framework 2000-2015 are: a) Access of all people at all times to sufficient nutritionally adequate and safe food, ensuring that the number of chronically undernourished people is reduced by half by no later than 2015; b) The continued contribution of sustainable agriculture and rural development, including fisheries and forestry, to economic and social progress and the well-being of all; and c) The conservation, improvement and sustainable utilization of natural resources, including land, water, forest, fisheries and genetic resources for food and agriculture.

## POSSIBLE STRATEGIC OBJECTIVES

### *1. Increase in food production and availability*

- A. **Intensification of crop production**, with special emphasis on improved agricultural technologies, ecosystem services, and livelihoods of resource-poor farmers.
- B. **Increased contribution of livestock to food security and public health**, ensuring broad-based economic development.
- C. **Responsible use of fisheries and aquaculture resources**, contributing to human well-being, food security, and poverty alleviation.
- D. **Improved quality and safety of foods** at all stages of the food chain, including through effective pest and disease control at global, regional and national levels.
- E. **Increased public and private investment in agriculture and rural development.**
- F. **Improved preparedness for, and effective response to, food and agricultural emergencies.**

### *2. Economic and social progress and well-being of all*

- G. **Enhanced incomes and livelihoods in rural areas**, through *inter alia* competitive agro-industries and improved distribution and marketing systems, including taking advantage of expanding or new trade opportunities.
- H. **Improved food security and better nutrition**, including through clear understanding of social, economic, environmental and institutional issues and their mutual dependencies, addressing the root causes of malnutrition and the full recognition of the Right to Food.
- I. **Gender equity in access to resources, goods, services and decision-making in the rural areas**, while applying gender-sensitive approaches to policies, programmes and projects.
- J. **Comprehensive framework and legal underpinning for global governance related to food, agriculture and rural development.**

### *3. Sustainable management and use of natural resources*

- K. **Maintenance and improved use of land, water and genetic resources for food and agriculture**, also increasing the resilience of food production systems to climate change.
- L. **Mitigation of climate change and improved ecological balance** through the positive contributions of agriculture production systems and forest management practices.
- M. **Sustainable management of forests and trees**, through support to national policy-making and practices that are strategic, participatory and based on timely and reliable information.

6. To provide comprehensive coverage of the resources at the Organization's disposal and build a hierarchy for distinguishing between FAO's services to Members and internal governance and administration, an additional objective of a **more functional** nature could cover a broad range of activities intrinsic to the successful implementation of the preceding "substantive" Strategic Objectives, as follows.

**Functional objective:**

Enabling achievement of results and impact at all levels through flexible, efficient and effective **internal governance, oversight, management and administration** arrangements, and enhancement of the Organization's **financial resource base**.

7. To illustrate the import of the entire results-based framework, one of the above Strategic Objective (M - relating to forestry) has been developed in draft form as it would appear in the fully-elaborated planning documentation for the 2009 Conference ("worked example"), as in Annex I.

***IV. Additional considerations pertinent to the formulation of Strategic Objectives***

8. The set of proposed Strategic Objectives can be perceived to be of primarily **cross-cutting, sectoral, or enabling** nature. Other perceptions are also possible.

9. Another important consideration in the development of the Strategic Objectives is to maintain differentiation between the Objectives themselves (i.e. in terms of expected benefits to Members) and critical means of action, embodying FAO's comparative advantages, to be employed in generating these benefits. It is recalled that one of the criticisms of the IEE with respect to the current Strategic Framework of FAO was that it "...confuses FAO's objectives with means of action"<sup>2</sup>. Hence, the present proposed formulation attempts to differentiate to the maximum extent possible between desired benefits to Members (Strategic Objectives) and the **core functions** (i.e. means of action of the Organization) highlighted and described in Section II above as they are of keen interest to Members.

10. The present paper includes the last "functional objective" for two reasons: i.) first, in view of the importance and emphasis accorded by the IEE and Members to reform of administrative systems and culture change, it was considered desirable to treat this area within, rather than outside of, the main results hierarchy in order to promote transparency and accountability; and ii.) there has been a strong interest on the part of some Members for clear identification of administrative work and attached resources.

11. A possible outline is presented in **Annex II**.

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<sup>2</sup> IEE Final Report (C 2007/7A.1) para. 1098.

**Worked Example (SO on Forestry)<sup>3</sup>**  
**(N.B. PROVISIONAL VERSION – TO BE FURTHER DEVELOPED)**

**Strategic Objective: Sustainable management of forests and trees, through support to national policy-making and practices that are strategic, participatory and based on timely and reliable information.**

**Issues and Challenges:**

The continuing loss and degradation of forests in many countries pose a critical challenge for the global community. Rural livelihoods often depend on productive forests that support employment and income, thus reducing poverty. There is a need to improve the quality of forest management, reforestation and forest recovery after natural and human induced disasters. Furthermore, a strategic approach is needed to ensure that healthy forests can sequester carbon and thus reduce greenhouse gas emissions and help to mitigate climate change, conserve biodiversity, safeguard wildlife habitat and protect watersheds.

**Assumptions and Risks:**

- History suggests that countries that have improved the management of their forests first achieve a level of economic development that is somewhat higher than the level currently found in many developing countries in tropical regions. Success will depend on relatively consistent economic progress.
- FAO can make a significant contribution to the capacities of countries to help them to overcome some of the past obstacles to sustainable forest management through policy advice, capacity development and technical assistance.
- There is a risk that continued population growth, political instability, and/or and economic pressures will continue to result in the conversion of forests to agriculture, urban or other land uses. These pose a serious challenge and high level of risk that sustainable forest management may not be successful in some key countries.

**Indicators and Targets**

- Area of forest converted to other uses reduced **(15 year target: by half)**
- Forest area with approved management plans increased **(4 year target: doubled)**
- Forest area protected for biodiversity conservation increased **(15 year target: 20% increase)**
- Forest policies, laws, and institutions are strengthened and updated **(15 year target: 80 countries)**

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<sup>3</sup> Information to be provided to the 2008 Special Conference as part of the draft elements of the Strategic Framework and Medium-Term Plan is shown with white background; additional details to be included in the fully elaborated version of an integrated Strategic Framework/Medium-Term Plan/Programme of Work and Budget, to be presented to the 2009 Conference, is highlighted in grey.

### Core functions of FAO

- Since the underlying causes of deforestation and forest degradation are mainly generated by economic forces outside the forest sector, multi-disciplinary and cross-sectoral approaches are critical to achieving this objective.
- Noting that a large number of organizations in the private and public sectors are involved in forestry; effective action requires building and working through partnerships and networks, including vertical linkages between local, national, regional and global initiatives; as well as horizontal linkages between countries and regions.
- As effective policies are based on information that is comprehensive, timely and relevant; FAO will serve as a leader and facilitator in monitoring and assessing information about forest resources, products, policies and institutions, and sharing the resulting knowledge with member countries and a broad range of stakeholders.
- The development and dissemination of methodologies, standards and guidelines will be critical components of progress towards sustainable forest management.
- FAO has advised more than 100 countries on the development of forest policies and laws through participatory processes; a major future challenge is to assist member countries to develop the capacity to effectively implement policies and enforce laws.

Resources by Biennium					
Biennium 1			Biennium 2		
***			***		
Resources by Location - Biennium 1 (US\$ 000s)					
Global	Africa	Latin America & Caribbean	Near East	Asia Pacific	Europe
***	***	***	***	***	***
Resources by Funding Source - Biennium 1 (US\$ 000s)					
Assessed	Voluntary		Total		
***	***		***		

<b>Organizational Result 1:</b> Decisions about forests at all levels are based on improved information, including national, regional and global assessments and statistics about the forestry sector.	
Indicators	
Number of countries with credible forest assessments or inventories	Number of countries with the capability to meet international forest reporting requirements
Baseline	
12 countries	10 %
PWB (2-year) Targets	
18 countries	15 %

<b>MTP (4-year) Targets</b>	
26 countries	20 %
<b>Resources (USD 000)</b>	
Biennium 1	Biennium 2
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**Organizational Result 2:** An increasing number of countries have progressive policies and laws established through broad stakeholder participation. Capacities of forestry institutions and participatory processes are strengthened and governance is improved thus also enhancing an enabling environment for private investments in forestry.

<b>Indicators</b>	
Number of countries with new forest policies and laws established in the "post-UNCED" era based on sustainable development principles	Number of countries with effective forestry institutions (criteria to be developed)
<b>Baseline</b>	
30 countries	40 countries
<b>PWB (2-year) Targets</b>	
35 countries	45 countries
<b>MTP (4-year) Targets</b>	
40 countries	50 countries
<b>Resources (USD 000)</b>	
Biennium 1	Biennium 2
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**Organizational Result 3:** Sustainable forest management is advanced and implemented according to international agreements and instruments. An increasing area of forest is managed according to internationally agreed standards and guidelines.

<b>Indicators</b>	
Area of forest covered by management plans	Number of countries where guidelines for (harvesting, planted forests, fire management) have been implemented
<b>Baseline</b>	
100 million hectares	4 countries
<b>PWB (2-year) Targets</b>	
120 million hectares	8 countries
<b>MTP (4-year) Targets</b>	
140 million hectares	12 countries
<b>Resources (USD 000)</b>	
Biennium 1	Biennium 2
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**Organizational Result 4**

Social and economic factors that affect forests are understood; forestry sector outlook studies are used by member countries to guide decisions resulting in increased investments in forests and forestry; forest-based enterprises that promote livelihoods and reduce poverty are developed.

<b>Indicators</b>	
Effective country participation in outlook	Trends in forest-based employment, incomes and

studies	investments
<b>Baseline</b>	
Qualitative assessment	Flat or declining trend in most countries & regions
<b>PWB (2-year) Targets</b>	
Qualitative assessment	Upward trend in more countries than not
<b>MTP (4-year) Targets</b>	
Qualitative assessment	Upward trend in an increasing # of countries
<b>Resources (USD 000)</b>	
Biennium 1	Biennium 2
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**Organizational Result 5:** Countries implement effective approaches in their planning processes that consider forests as part of the overall natural resources management and livelihood system, including in particular the interface between agriculture, livestock and forests; land management planning; the management and use of water resources; and the development of bio-energy resources.

<b>Indicators</b>	
Integrated assessments carried out and the results are applied	Forestry is mainstreamed in different sector plans
<b>Baseline</b>	
2 countries	10 countries
<b>PWB (2-year) Targets</b>	
6 countries	15 countries
<b>MTP (4-year) Targets</b>	
10 countries	20 countries
<b>Resources (USD 000)</b>	
Biennium 1	Biennium 2
***	***

**Organizational Result 6:** Countries implement effective policies and programmes for the sound and protective management of forest and mountain ecosystems, including the conservation of biological diversity and the management of watersheds and wildlife resources.

<b>Indicators</b>	
Forest area under restrictive management or legal protection	Integrated watershed management programs implemented
<b>Baseline</b>	
11 % global area	10 countries
<b>PWB (2-year) Targets</b>	
12% global area	15 countries
<b>MTP (4-year) Targets</b>	
13% global area	20 countries
<b>Resources (USD 000)</b>	
Biennium 1	Biennium 2
***	***

**Organizational Result 7:** Countries successfully integrate the national disaster risk management including fire, pests and diseases, landslides and flood mitigation into national forest programmes.

<b>Indicators</b>	
Countries explicitly recognize the role of forests in the mitigation of natural hazards in their national planning strategies	Countries address the risk of forest fires, pests & diseases in their national disaster risk management strategies

<b>Baseline</b>	
0 countries	0 countries
<b>PWB (2-year) Targets</b>	
8 countries	8 countries
<b>MTP (4-year) Targets</b>	
14 countries	14 countries
<b>Resources (USD 000)</b>	
Biennium 1 ***	Biennium 2 ***

**Organizational Result 8:** The potential of forests in mitigating climate change is widely recognized and realized; strategies for adaptation to climate change are developed and implemented.

<b>Indicators</b>	
Effective carbon monitoring implemented at national level	Forest adaptation strategies adopted
<b>Baseline</b>	
40 countries	0 countries
<b>PWB (2-year) Targets</b>	
60 countries	10 countries
<b>MTP (4-year) Targets</b>	
80 countries	20 countries
<b>Resources (USD 000)</b>	
Biennium 1 ***	Biennium 2 ***

**Organizational Result 9:** International and regional dialogues have made increasing contributions to sustainable forest management and demonstrable progress is made on the ground.

<b>Indicators</b>	
COFO and regional forestry commissions are evaluated by member countries and partner organizations as being highly effective	CPF is evaluated by member countries and partner organizations as being highly effective
<b>Baseline</b>	
n/a	n/a
<b>PWB (2-year) Targets</b>	
60 countries	60 countries, 6 orgs
<b>MTP (4-year) Targets</b>	
80 countries	80 countries, 8 orgs
<b>Resources (USD 000)</b>	
Biennium 1 ***	Biennium 2 ***

## Possible content of the elements of the Strategic Framework and Medium-Term Plan<sup>4</sup>

### *I. Context, situation and gap analysis*

A summary of the macro-environmental factors affecting the development landscape, and an analysis to identify areas that need to be addressed by all development actors in order to effectively achieve food security and rural development.

### *II. Mission, Vision and Values statements*

Mission: where the organization is going now, basically describing the purpose and why the organization exists (from Basic Texts), its core functions, and its comparative advantages in addressing the gaps, given the situation analysis and alternative sources of supply. In view of the IEE, the discussion of comparative advantage should make specific reference to a few areas where FAO does not have a comparative advantage and a need within FAO's mandate may be fulfilled by others, in order to demonstrate to Members that some shift in focus is occurring.

Vision: where the organization wants to be in the future. It reflects the optimistic view of the organization's future, and its purpose in terms of the organization's values (guiding beliefs about how things should be done).

Values: Main values sought or protected by the organization, reflecting the organization's culture and priorities; define how people want to behave with each other in the organization; describe actions which are the living enactment of the fundamental values held by most individuals within the organization. The values of senior leaders are especially important in the development of a culture. Rewards and recognition within the organization need to be structured to recognize those people whose work embodies the values the organization wishes to embrace. See Values in current Strategic Framework (para 21, Box 2).

### *III. Global Goals of Member Nations*

[From Strategic Framework 2000-15, subject to amendment:

- a) Access of all people at all times to sufficient nutritionally adequate and safe food, ensuring that the number of chronically undernourished people is reduced by half by no later than 2015;
- b) The continued contribution of sustainable agriculture and rural development, including fisheries and forestry, to economic and social progress and the well-being of all; and
- c) The conservation, improvement and sustainable utilization of natural resources, including land, water, forest, fisheries and genetic resources for food and agriculture.]

### *IV. Proposed Strategic Objectives*

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<sup>4</sup> The conceptual approach summarized here will need to be amplified in the actual text.

**Strategic Objectives** are the benefits or changes expected to be achieved in a given time frame (e.g. 10-15 years) in Member country institutions, the international community or development partners. In terms of the log-frame, these benefits represent several steps in the causal chain beyond the immediate result of the uptake of FAO's products and services by its *primary users*, building on the related Organizational Results (see below). Hence Strategic Objectives will not be achieved by FAO itself, but rather by Members based on the value added that FAO provides, and in view of identified dependencies and assumptions on developments elsewhere.

#### ***V. Results Framework***

Specification of **Organizational Results** to be achieved in a four-year period. These represent the products and services which FAO commits to deliver to Member Countries and the international community in a time-frame of four years and the outcomes which result from the taking up and use of these products and services by users, in order to contribute to the achievement of Strategic Objectives. In order to be able to measure and report on the achievement of organizational results, indicators, means of verification, baselines and targets are formulated related to a given timeframe.

#### ***VI. Programme Model and Resource Mobilization Strategy***

Elaboration of FAO Programme Model: principles and concepts, planning documents, internal programming cycle, governance inputs (i.e. elaboration of paper presented to the joint meeting of WG I and WG III of 5 May). Elaboration of the elements of a FAO Resource Mobilization Strategy that will be presented to WG I and WG III on July 1<sup>st</sup>, including a first proposal of possible ***Impact Focus Areas***.

***Impact Focus Areas*** may bring together groups of results to impact in a shorter time-frame in high priority areas for the immediate future, leaving flexibility for decision making and prioritization to reflect emerging challenges, contributing to the achievement of Strategic Objectives. These areas, which are often, but not exclusively cross-cutting, highlight the benefit FAO intends to help Members achieve in selected thematic areas building on Organizational Results related to the selected area. These areas help to catalyze the mobilization of extra-budgetary resources to complement the Regular Programme resources, by providing a communication and advocacy tool ('flagships') for high profile work. This is also intended to facilitate less rigidly tied and pooled funding of extra-budgetary resources, as well as facilitating Governing Body oversight of the use of those resources in line with agreed priorities.