

## **Addendum to the Draft Report of the Conference Committee for the Follow-up to the Independent External Evaluation of FAO (CoC-IEE) on Amendments to the Basic Texts for the Implementation of the Immediate Plan of Action**

1. At its 87<sup>th</sup> session, held on 25 and 26 May 2009, the CCLM recommended amendments to the Basic Texts related to the functions of the Council, the Committee on World Food Security, Evaluation, and outstanding issues related to the Programme and Finance Committees. The amendments recommended by the CCLM are included in this Addendum to be considered by the CoC-IEE and eventually form part of the final report to the Conference on Basic Texts amendments.

### **c) Council**

2. The CCLM observed that amendments in this area included not only the implementation of the Action Matrix regarding the functions of the Council, but also the implications of the new cycle of sessions of the Conference upon the terms of office of the Members of the Council and the Chairperson, and the need for transitional measures. The CCLM also stressed that transitional measures would be required in respect of the terms of office of the Members of the Programme Committee, the Finance Committee and the Committee on Constitutional and Legal Matters.

3. The CCLM endorsed the proposed amendment to Rule XXII, paragraph 1 (c) and paragraph 2 of the General Rules of the Organization (GRO) concerning the election of the Council set out in the appendix. These amendments were the consequence of the fact that the Conference would no longer meet in October or November but in June in a Conference year.

4. The CCLM noted that, under Rule XXII of the GRO, Council Members are elected for three year terms and that membership is renewed partially every year on the basis of three groups of Members elected by the Conference. At each Conference session the Conference elects two groups of Members in order to ensure a staggered partial renewal of the membership of the Council. The CCLM observed that insofar as the Conference will hold a session in November 2009 and another session in June 2011 (i.e. some six months earlier than planned), it would be necessary to implement transitional arrangements. Under these arrangements, the Conference at its session of November 2009 would elect two groups of Members for a term of two years and a half and in June 2011, the Conference would elect one group for two years and a half and a group for three years. After that process of adjustment, renewal of membership would be a normal one under the revised procedures. The CCLM underlined that the reduction in the term of office would concern only appointments to be made after the amendment of the GRO and would not affect the term of office of any Member of the Council already elected consistent with the principle that changes to tenure of office should not have retroactive effect.

5. The CCLM noted that since the Conference, which elects the Independent Chairperson of the Council, will hold a session in November 2009 and another in June 2011, the appointment of the Independent Chairperson at the forthcoming session would be for about one year and a half, i.e. until the election of a new Chairperson in June 2011.

6. The CCLM also noted that there would be a need for transitional measures as regards the term of office of the Members of the Programme Committee, Finance Committee and the CCLM. The Members of these Committees would be elected at the session of the Council held immediately after the forthcoming session of the Conference and would serve for a period of about one year and a half until the election of new Members at a session of the Council held after the session of the Conference in June 2011.

7. The CCLM endorsed these arrangements stressing that they would not raise any issues of a legal nature, as prospective Members of the Council, the Independent Chairperson of the Council as well as the Members of the committees would be elected under the new regime and would be informed before the election of the reduced duration of the mandate.

8. The CCLM endorsed the proposed amendment to Rule XXIV, paragraph 1 of the GRO on the functions of the Council in respect of the “world food and agriculture situation and related matters”, reflecting the fact that in future these functions will be primarily matters for the Technical Committees and the Conference. The proposed amendment is set out in the appendix.

9. The CCLM endorsed the proposal that other actions of the Action Matrix be addressed through the adoption of a Conference resolution which would be set out in Volume II of the Basic Texts. The CCLM endorsed the proposed Conference resolution to that effect, as set out in the appendix.

10. The CCLM noted that for many years a “Note on Working Methods of the Council” had been distributed to the Members on a regular basis. The CCLM recommended that this note be revised in the near future. Together with the revised Rules of the GRO and the Conference resolution this note would define the new operating pattern of the Council. The CCLM also recommended that the Chairpersons of the Council should systematically draw attention of the Members of the Council to the revised note.

#### **e) Programme and Finance Committees**

11. On 22 May 2009, Working Group II requested the CCLM to examine two issues regarding representation and participation in the work of the Programme and Finance Committees, namely:

- whether it would be possible to replace a Member during a session of the Committees. The CCLM advised that in situations where, after the beginning of a session, there is an unexpected need to replace a representative, a designed official of the same Member should be able to take part in the proceedings. Therefore the CCLM recommended that the Rules of Procedure of the Committees be amended accordingly;
- the question of which representative should be allowed to speak when a Member country has more than one representative present at a meeting of the Committees. The CCLM was of the view that this situation could not arise because the representative of a Member in a Committee was specifically elected by the Council or otherwise designated under applicable procedures and only the designated representative could take part in the proceedings.

## **h) Technical Committees**

### Committee on World Food Security

12. The CCLM examined and endorsed an amendment to Article III of the Constitution proposed by France whereby the CFS shall assist the Conference and report to it, as well as to the United Nations General Assembly, through the Economic and Social Council and the FAO Conference. The CCLM also recommended an amendment to Rule XXXIII, paragraph 8 of the GRO regarding the status of the CFS vis-à-vis the Council on programme and budget matters.

## **k) Evaluation**

13. The CCLM reviewed the Charter for the FAO Office of Evaluation and examined and endorsed two amendments thereto. The Charter will be reviewed again by the Programme Committee and submitted to the Council for approval at its session of September. The Charter for the FAO Office of Evaluation, as amended by the CCLM, is set out in the appendix.

## APPENDIX

### I. PROPOSED AMENDMENTS TO THE BASIC TEXTS

In the text of the draft amendments reproduced below, the proposals made by the Committee on Constitutional and Legal Matters regarding deletions are indicated using ~~struck-out text~~ and the proposals for insertions are indicated using *underlined italics*.

#### A. AMENDMENTS TO THE CONSTITUTION

##### Proposal regarding the Committee on World Food Security

“Article III

##### **The Conference**

(...)

*9. The Conference shall be assisted by a Committee on World Food Security. This Committee shall report to the Conference and to the United Nations General Assembly (UNGA), through the Economic and Social Council (ECOSOC) and the Conference. Its composition and terms of reference shall be governed by rules adopted by the Conference.*”

##### Reporting lines of the Technical Committees (IPA Action 2.56) and proposal regarding the Committee on World Food Security

Revised paragraph 6 and new paragraph 7 of **Article V** of the Constitution:

“Article V

##### **Council of the Organization**

(...)

6. In the performance of its functions, the Council shall be assisted;

*(a)* by a Programme Committee, a Finance Committee, *and* a Committee on Constitutional and Legal Matters, *which shall report to the Council; and*

*(b)* *by* a Committee on Commodity Problems, a Committee on Fisheries, a Committee on Forestry, *and* a Committee on Agriculture ~~and a Committee on World Food Security~~ *which shall report to the Council on programme and budget matters and to the Conference on policy and regulatory matters.*

~~7. These Committees shall report to the Council and their The composition and terms of reference of the Committees referred to in paragraph 6 shall be governed by rules adopted by the Conference.”~~

## **B. AMENDMENTS TO THE GENERAL RULES OF THE ORGANIZATION (GRO)**

### **Changes to terms of office of Council members due to the change of date of the Conference Session** (IPA Actions 2.7 and 3.9)

Revised paragraphs 1 and 2 of **Rule XXII** of the GRO:

“Rule XXII

#### **Election of the Council**

1. (a) Except as provided in paragraph 9 of this Rule, the Council shall be elected for a term of three years.  
  
(b) The Conference shall make such provisions as will ensure that the terms of office of sixteen Members of the Council shall expire in each of two successive calendar years and seventeen in the third calendar year.  
  
(c) The terms of office of all members of any one group shall expire simultaneously either on the termination of the regular session of the Conference in a year in which such a session is held, or on ~~31 December~~ 30 June in other years.
  
2. The Conference shall, at each regular session, and after considering any recommendations of the General Committee, fill all vacancies due to the expiration of the terms of office of Council Members at the end of that session or at the end of June of the following year, in conformity with the provisions of the preceding paragraph.

(...)”

### **Changes to Functions of the Council and reporting lines of the Technical Committees** (IPA Actions 2.23, 2.25, 2.56, 3.5 and 3.9)

Revised paragraphs 1 and 2 of **Rule XXIV** of the GRO:

“Rule XXIV

#### **Functions of the Council**

The Council, subject to the provisions of paragraph 3 of Article V of the Constitution, shall, between sessions of the Conference, act on behalf of the Conference as its executive organ and make decisions on matters that need not be

submitted to the Conference. In particular, the Council shall exercise the functions described below:

1. World food and agriculture situation and related matters

The Council shall:

~~(a) keep under review the state of food and agriculture in the world, and consider the programmes of Member Nations and Associate Members;~~

~~(b) tender advice on such matters to governments of Member Nations and Associate Members, intergovernmental commodity councils or other commodity authorities and through the Director-General to other specialized international agencies;~~

~~(a e) draw up a provisional agenda for the review by the Conference of the state of food and agriculture, drawing attention to specific policy issues which would require Conference consideration or could be the subject of a formal recommendation by the Conference under paragraph 3 of Article IV of the Constitution, and aid the Director-General to prepare the report and agenda for the review by the Conference of the programmes of Member Nations and Associate Members;~~

~~(d) (i) examine current developments in proposed and existing intergovernmental agricultural commodity arrangements, particularly those developments affecting adequacy of food supply, utilization of food reserves and famine relief, changes in production or pricing policies and special food programmes for undernourished groups;~~

~~(ii) promote consistency and integration of agricultural commodity policies, national and international, with regard to (a) overall objectives of the Organization; (b) the interrelationships of production, distribution and consumption; and (c) interrelationships of agricultural commodities;~~

~~(iii) initiate and authorize groups to study and investigate agricultural commodity situations which are becoming critical, and propose appropriate action, if necessary, under paragraph 2 (f) of Article I of the Constitution;~~

~~(iv) advise on emergency measures such as those relating to the export and import of food and materials or equipment needed for agricultural production, in order to facilitate implementation of national programmes and, if necessary, request the Director-General to submit such advice for action to the Member Nations and Associate Members concerned;~~

~~(v) perform the foregoing functions under (i), (ii) and (iii) in conformity with the Economic and Social Council's Resolution of 28 March 1947<sup>2</sup> relating to international commodity arrangements, and generally act in close cooperation with the appropriate specialized agencies and intergovernmental bodies.~~

(b) examine and advise on any issues pertaining to or arising out of the world food and agriculture situation and related matters, specially any such issues of an urgent nature, which would call for action by the Conference, the Regional Conferences, the Committees referred to in Article V, paragraph 6 of the Constitution or the Director-General;

(c) examine and advise on any other issues pertaining to or arising out of the world food and agriculture situation and related matters which may have been referred to the Council in accordance with decisions of the Conference or any applicable arrangements.

2. Current and prospective activities of the Organization, including its Strategic Framework, Medium-Term Plan and Programme of Work and Budget

The Council shall:

(a) consider, and make recommendations to the Conference on, ~~policy issues regarding: (i) the summary and draft Programme of Work and Budget and supplementary estimates submitted by the Director General for the following financial period; (ii) the activities of the Organization in connection with the United Nations Development Programme;~~ the Strategic Framework, the Medium-Term Plan and the Programme of Work and Budget;

(b) make a recommendation to the Conference regarding the level of the budget;

~~(b)~~ (c) take any necessary action, within the approved Programme of Work and Budget, with respect to the technical activities of the Organization and report to the Conference on such policy aspects as may require decisions by the Conference;

(d) decide on such adjustments to the Programme of Work and Budget as may be required in the light of the decisions of the Conference on the budget level;

(e) review, in accordance with Article V, paragraph 6 of the Constitution, the reports on programme and budget matters of the Committee on Commodity Problems, the Committee on Fisheries, the Committee on Forestry, the Committee on Agriculture and the Committee on World Food Security;

(f) review, in accordance with Article IV, paragraph 6 of the Constitution and Rule XXXV of these Rules the reports on programme and budget matters of the Regional Conferences.

(...)”

**C. AMENDMENTS TO RULES II AND IV OF THE RULES OF PROCEDURE OF THE PROGRAMME AND FINANCE COMMITTEES**

The CCLM recommended to the Council that the Programme and Finance Committees be requested to amend Rules II and IV of their Rules of Procedure along the following lines:

“Rule II

**Sessions and meetings**

(...)

(7 or 6). If the representative of a Member of the Committee is expected to be unable to attend one full session, or if due to incapacity, death or any other reason he is prevented from exercising his functions for the remainder of the term for which the Member he represents has been elected, that Member shall inform the Director-General and the ~~Chairman~~*person* as soon as possible, and may designate a substitute representative who shall have the qualifications and experience referred to (in paragraph 1 of Rule XXVI or Rule XXVII) of the General Rules of the Organization. *Should a representative of a Member of the Committee be unable to continue to attend a session of the Committee for unforeseen reasons, a designated official of that Member shall be able to replace the representative and participate in the proceedings. Such designation shall be reflected in the report.*

(...)”<sup>1</sup>

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<sup>1</sup> Cfr. Paragraph 4 (a) of Rules XXVI and XXVII of the GRO.

## II. PROPOSED CONFERENCE RESOLUTIONS

The Committee on Constitutional and Legal Matters recommended the adoption of the following resolutions by the Conference and that they be reproduced in Volume II of the Basic Texts.

### PROPOSED CONFERENCE RESOLUTION REGARDING THE COUNCIL OF FAO

#### “CONFERENCE RESOLUTION

Implementation of the actions of the Immediate Plan of Action (IPA) for FAO Renewal (2009-11) regarding the Council of FAO

The Conference:

Considering that Conference Resolution 1/2008 “Adoption of the Immediate Plan of Action for FAO Renewal (2009-11)” calls for a reform of the Council;

Considering further that, in accordance with the Immediate Plan of Action for FAO Renewal (2009-11), the Council should play a more dynamic role in the development of the programme and budget, drawing as appropriate on the advice of the Programme and Finance Committees, and increase its oversight and monitoring function over the implementation of governance decisions;

Noting that, in such context, the Council will have a major role in deciding and advising on matters pertaining to the implementation of programme and budget execution, monitoring of activities under the new results-based framework, monitoring of implementation of governance decisions and oversight of the administration of the Organization;

Noting further that amendments to Rules XXIV and XXV of the General Rules of the Organization have been adopted by the Conference to implement the actions of the Immediate Plan of Action for FAO Renewal (2009-11) regarding the Council;

Realizing that it is desirable, under the framework established by the above provisions, and in the light of the spirit of the Immediate Plan of Action for FAO Renewal (2009-11,) to clarify the new role of the Council under that framework;

1. Decides that the Council will exercise a major role in respect of:
  - (a) planning of work and definition of performance measures for the Council itself and for other Governing Bodies with the exception of the Conference;
  - (b) monitoring and reporting performance against performance indicators;
  - (c) defining strategy, priorities and establishing the budget of the Organization;
  - (d) overseeing the implementation of the new Programming, Budget and Results Based Monitoring System;
  - (e) approving and overseeing any major organizational changes which do not require approval by the Conference.
2. Decides that the Council will monitor the implementation of governance decisions.

3. Decides that, in the context of its oversight functions, the Council will ensure that:
  - (a) the Organization operates within its legal and financial framework;
  - (b) there is transparent, independent and professional audit and ethics oversight;
  - (c) there is transparent, professional and independent evaluation of the Organization's performance;
  - (d) there are functioning results-based budgeting and management systems;
  - (e) appropriate and functional policies and systems are in place for human resources management, information and communication technology, contracting and purchasing; and
  - (f) extra-budgetary resources are effectively contributing to the Strategic Objectives and the Organizational Results Framework .
4. Decides that the Council will monitor the performance of the Organization against established performance targets.
5. Decides that in the performance of its functions, the Council shall generally act in close cooperation with the appropriate specialized agencies and intergovernmental bodies”.

### **III. PROPOSED CHARTER**

[To be adopted by the Council and reproduced in Volume II of the Basic Texts.]

#### **CHARTER FOR THE FAO OFFICE OF EVALUATION**

##### **I. Evaluation in FAO**

1. The FAO Evaluation Service was established in 1968 to assure the effective operation of evaluation in the Organization. The evaluation function is one part of the oversight regime of FAO, which also includes external audit, internal audit, inspection and investigation.
2. Evaluation provides accountability to member countries and to the Director-General. It gives member countries a more in-depth understanding and objective basis for their decisions in the governing bodies and for cooperation in the Organization's programmes. Evaluation also contributes to corporate learning, feeding lessons into a robust feedback loop. Evaluation provides a sound basis for improvements in the Organization's programmes in terms of their relevance to countries, definition of objectives, their design and implementation. FAO also participates in system-wide evaluation initiatives. Thus evaluation contributes to assessments of development effectiveness by the UN system.
3. All work of FAO financed from the regular budget of the Organization (mandatory assessed contributions) as well as that financed from voluntarily contributed extra-budgetary resources, is subject to evaluation. The policies for evaluation are set by member countries in the governing bodies.
4. Evaluation is an integral element of a functioning results-based management (RBM) system. It provides accountability on results, in particular on outcomes and impacts of FAO's work. It informs the formulation of programmes, the definition of priorities and the arrangements to maximise institutional effectiveness.

## II. Purpose and Principles of Evaluation

### A. DEFINITION OF EVALUATION

5. An evaluation is “an assessment...of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc. It focuses on expected and achieved accomplishments, examining the results chain, processes, contextual factors and causality, in order to understand achievements or the lack thereof. It aims at determining the relevance, impact, effectiveness, efficiency and sustainability of the interventions and contributions of the organizations of the UN system. An evaluation should provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons into the decision-making processes of the organization and its members”<sup>2</sup>.

### B. PRINCIPLES OF EVALUATION

6. FAO strives for the highest international standards in its evaluation practice. It adheres to norms and standards established by the United Nations Evaluation Group (UNEG)<sup>3</sup>. These norms and standards provide a benchmark against which all organizations and programmes of the UN system can gauge their performance and aim to strengthen, professionalize and improve the quality of evaluation throughout the UN system.

7. The primary principles underpinning evaluation in FAO are: Independence, Impartiality, Credibility, Transparency and Usefulness. These are inter-related.

8. **Independence:** Independence should be protected throughout the evaluation process: policy, institutional framework, management of the evaluation function, conduct of evaluations and follow-up. The evaluation function must be located in the Organization outside the line management that it is mandated to evaluate, and have a direct line of reporting to the governing bodies and the Director-General. In this way, it remains separate from those responsible for the design and implementation of the policies and operations that are evaluated. It must be free from undue influence by management through independent control of the financial and human resources allocated to evaluation, including independent performance assessment of evaluation staff. It must have freedom to design and conduct evaluations according to professional quality standards.

9. **Impartiality:** Evaluation must be free from bias. This means that evaluators must demonstrate professional and personal integrity and conflicts of interest must be avoided. Independence and quality of evaluation design are additional pre-requisites for impartiality. Evaluations must value the input of the main stakeholders, demonstrating a degree of empathy while at the same time maintaining intellectual rigour. Because no individual is totally impartial, evaluation teams must balance different perspectives and backgrounds.

10. **Credibility:** Evaluations must command a high degree of credibility, both from the governing bodies and from managers who must make and implement decisions. Besides

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<sup>2</sup> Adapted to become specific to FAO from the “Norms for Evaluation in the UN System”, United Nations Evaluation Group, 2005.

<sup>3</sup> **The United Nations Evaluation Group (UNEG)** <http://www.uneval.org> is a professional network that brings together the units responsible for evaluation in the UN system including the specialised agencies, funds, programmes and affiliated organisations. UNEG currently has 43 such members. UNEG aims to strengthen the objectivity, effectiveness and visibility of the evaluation function across the UN system and to advocate the importance of evaluation for learning, decision making and accountability. UNEG provides a forum for members to share experiences and information, discuss the latest evaluation issues and promote simplification and harmonisation of reporting practices.

impartiality and independence, the credibility of evaluation also requires that the team of evaluators has proven technical competence in the area under evaluation and its context as well as demonstrated competence in evaluation. Independent peer review of evaluation reports also reinforces their credibility.

11. **Transparency:** Evaluation reports and management responses are in the public domain. Evaluations follow a consultative process, whereby evaluators and evaluation managers engage in dialogue to the maximum extent possible with main stakeholders throughout the evaluation process

12. **Usefulness:** Usefulness should always be a prime consideration for selection of a topic for evaluation. Evaluations will be most useful when addressing key areas of concern for the governing bodies and/or FAO management, especially when there are perceived to be problems, priorities are changing or if there are new opportunities. Evaluation should be timed to fit into the management decision-making process.

### III. Types of Evaluation in FAO

13. It is FAO policy that all the work carried out by the Organization is subject to evaluation, regardless of the source of funds, through three types of evaluation.

14. **Evaluations for the governing bodies** are decided upon by the Council on the advice of the Programme Committee. Such evaluations focus on key elements of the results-based hierarchy, including strategic and functional objectives, impact focus areas, organizational results and core functions<sup>4</sup>. They also include thematic and programmatic studies and strategic partnership agreements. Major evaluations include all aspects of the work in the area covered, regardless of funding source, and deal with work at headquarters, regional and country levels.

15. **Country evaluations** comprehensively examine the results of all of FAO's work at country level, including technical cooperation, use made of normative work and functioning of the country office. Synthesis reports consolidating the results across country evaluations are considered by the governing bodies.

16. **Evaluations of individual programmes and projects, usually funded from extra-budgetary resources.** Results of such evaluations are directly used by stakeholders including managers, funders and others directly concerned, often at country level.

### IV. Evaluation Scope and Methodology

17. Evaluation in FAO is governed by guidelines that direct and ensure consistency in evaluation processes and methodologies. The key components are:

18. Scoping the evaluation and terms of reference: An approach paper for each major evaluation is developed by the Evaluation Office in consultation with the units most closely involved in implementing the strategy or programme and other stakeholders, including, as appropriate, national government representatives and the representatives of donors.

19. Scope of Evaluations: All evaluations follow UNEG criteria and assess relevance, effectiveness, efficiency, sustainability and impact.

20. Evaluations include examination of:

- relevance to the needs and priorities of the member countries and the international community;

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<sup>4</sup> The Charter may need to be revised in the future, to take account of experience with Results-Based Management approaches and its implications for the Organization's evaluation programme.

- functionality and clarity of the objectives, strategy, design and implementation plan to meet those needs and priorities;
- institutional strengths and weaknesses;
- changes in the external environment in which FAO functions;
- quality and quantity of outputs, in relation to resources deployed in undertaking the work (efficiency);
- outcomes resulting from the activities and outputs in relation to resources deployed for the work (effectiveness);
- impacts and their sustainability in terms of benefits to present and future generations for food security, nutrition, social and economic well-being, gender equity, the environment, etc.; and
- FAO's comparative advantage in addressing the priority needs.

21. Evaluation methodology: The methods and tools used are tailored to the individual evaluations and to answer specific evaluation questions. Triangulation of information across stakeholders is a key tool for gathering and validation of evidence. Evaluations are carried out using a participatory approach, seeking and sharing opinions with stakeholders at different points in time, as this is important for learning and acceptance of evaluation findings. Tools most frequently used include semi-structured interviews, focus groups, checklists, desk studies, direct observation through field visits and surveys.

22. Evaluations seek to identify and measure long-term changes induced through interventions. Separate impact assessments are undertaken for country and other major evaluations, in areas where FAO has had a substantial volume of work. In some cases where impact evaluation is not possible or cost-effective, beneficiary assessments or other forms of field enquiries may be used to gather key information from the targeted population. The intent is to determine whether the Organization has contributed to change and impact in a meaningful line of causality.

23. The evaluation team: Evaluations are managed by the Office of Evaluation. Teams are led and largely composed of independent external consultants<sup>5</sup>. Evaluation team leaders are consulted where possible on the composition of the remainder of the team. The size of the teams is related to both the scale and complexity of the evaluation, 3-4 lead consultants being a typical number.

24. The evaluation report: The evaluation team is solely responsible for its findings and recommendations, subject to quality assurance by the Office of Evaluation. The Office assures adherence to the terms of reference and recognised quality standards, timeliness, and to provide information and methodological support to the evaluation.

## **V. Mechanisms for Evaluation Follow-up**

25. In order to develop an effective evaluation system, mechanisms must be in place to ensure that evaluation reports are fully considered and agreed recommendations are acted upon. In FAO, this is done through management responses to each evaluation undertaken and follow-up reports on the implementation of the management response.

26. Management response: Each evaluation has a management response, including management's overall view of the evaluation, comments on each recommendation and an operational plan for implementation of agreed recommendations. The Office of Evaluation

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<sup>5</sup> Office of Evaluation staff but not other staff of FAO may also serve as evaluation team members

checks that responses meet required standards of comprehensiveness and clarity, but responsibility for the substance of a response lies with the manager(s) concerned.

27. Follow-up report: The follow-up report ensures compliance with agreed recommendations and, if necessary, accounts for any variation between actions decided in the management response and those actually implemented. The follow-up report is prepared by the organizational unit responsible for the management response and the Office of Evaluation ensures that it meets required standards.

28. For reports presented to the governing bodies, both the management response and the follow-up report are also considered by the Programme Committee.

29. All evaluation reports, management responses and follow-up reports are available to all members and posted on the FAO evaluation website. Consultative groups and workshops will be used to bring key evaluation reports to the attention of member countries.

## **VI. Quality Assurance**

30. Mechanisms are instituted to ensure that the evaluation function in FAO corresponds to needs of Members and conforms to UNEG norms and standards. These measures include: a) peer review of major evaluation reports; b) biennial review by a small group of independent peers for conformity of evaluation work to best practice and standards; c) independent evaluation of the evaluation function every six years.

31. The biennial review and independent evaluation of the evaluation function will result in a report to the Director-General and the Council, together with the recommendations of the Programme Committee.

## **VII. Institutional Arrangements**

32. The institutional arrangements for evaluation ensure independence of the evaluation function so as to fulfil its accountability role while ensuring use of evaluation results by the governing bodies and management.

### **A. THE OFFICE OF EVALUATION**

33. The Office of Evaluation is responsible for ensuring the relevance, effectiveness, quality and independence of evaluation in FAO. It is located inside the FAO Secretariat structure, reporting to the Director-General and to the Council through the Programme Committee.

34. The Office receives guidance from the Council and its Programme Committee and consults with the Evaluation Committee (Internal). It is solely responsible for the conduct of all evaluations (with the exception of auto-evaluations), including the selection of evaluators and the terms of reference. It is thus operationally independent within the Organization. In addition to its responsibilities for the conduct of evaluations, the Office also:

- 1) facilitates feedback from evaluation through follow-up to individual evaluations and in communicating lessons for more general application;
- 2) ensures timely reporting on the implementation of those evaluation recommendations accepted by the governing bodies, management and other concerned stakeholders;
- 3) has an institutionalised advisory role on results-based management and programming and budgeting;

- 4) contributes to the enhancement of evaluation within the UN through active participation in the United Nations Evaluation Group (UNEG);
- 5) contributes to the evaluation of the effectiveness of the UN system and other partners as it relates to areas of FAO's mandate through joint evaluations;
- 6) coordinates its work programme with the rest of the UN system, taking into account the work of the Joint Inspection Unit (JIU); and
- 7) for staff training, provides comments on training requirements to the Human Resources Management Division.

## **B. ROLE OF THE GOVERNING BODIES IN EVALUATION**

35. The Council is the decision-making body on evaluation policy and work programme. It exercises oversight over evaluation and ensures that there is transparent, professional and independent evaluation of the Organization's performance in contributing to its planned outcomes and impacts, including feedback of evaluation into planning and programming.

36. The Programme Committee is the direct recipient of evaluation reports for the governing bodies. Reports involving financial or administrative matters may be referred to the Finance Committee. The functions of the Programme Committee with respect to evaluation are to advise the Council on overall policies and procedures for evaluation and to:

- 1) approve the rolling workplan for major evaluations;
- 2) consider major evaluation reports and the management response to the evaluation and its findings and recommendations. The Committee presents its conclusions on both the evaluation and the management response to the Council in its report as well as its recommendations for follow-up action; and
- 3) receive progress reports on the implementation of evaluation findings and recommendations and provide recommendations to the Council.

## **C. ROLE OF THE DIRECTOR-GENERAL**

37. The role of the Director-General with respect to evaluation is to:

- 1) make proposals on the work programme of the Office of Evaluation and request specific independent evaluations of FAO programmes and activities;
- 2) for evaluations to the governing bodies, present the Management Response through the Programme Committee, including whether each recommendation is accepted, partially accepted or rejected, and an operational plan on follow-up;
- 3) prepare and present to the governing bodies through the Programme Committee, follow-up reports on actions taken with respect to agreed recommendations;
- 4) facilitate feedback from evaluation to improve learning from strategic planning results-based management; and
- 5) ensure that the Evaluation Office functions within its approved budget and work programme and the agreed rules and procedures.

## **D. THE EVALUATION COMMITTEE (INTERNAL)**

38. The Committee advises the Director-General and the Office of Evaluation on matters pertaining to evaluation in FAO with respect to the Organization as a whole. Its aim is to

assist the Organization in implementing an evaluation regime which is efficient and responsive to the needs of both the Organization's Members and its Secretariat. It also exercises a quality control function on management responses and follow-up reports. In line with the decisions of the Council, the Committee will support the independent role of the Office of Evaluation within FAO and will review and advise the Director-General on all policy matters pertaining to evaluation. The Committee interacts with the Programme Committee as appropriate.

39. Subject to any organizational changes which may occur as a result of the implementation of the Immediate Plan of Action for FAO Renewal, the Committee is chaired by the Deputy Director-General and also comprises two permanent members: the Assistant Director-General, Technical Cooperation Department (TC), and the Director, Office of Strategy, Planning and Resources Management; and, rotating on a two-year term: the Assistant Directors-General of two technical departments and one Assistant Director-General/Regional Representative. Other members may be co-opted as required by the Chairperson. The Director of the Office of Evaluation serves as Secretary.

40. The scope of the Committee's work includes:

- a) advice on the implementation of decisions of the governing bodies on evaluation;
- b) maximise the benefits from evaluation in feedback to planning, programming and management decision-making;
- c) review of the coverage of evaluation, proposals for the evaluation work programme and the terms of reference of major evaluations;
- d) review of Management Responses to major evaluations for consideration by the governing bodies;
- e) assessment and oversight of progress in implementation of management follow-up actions to evaluations;
- f) advice on the adoption of measures to ensure the Evaluation Office applies international quality standards to its work; and
- g) review of available resources for evaluation in the light of the Organization's needs.

### **VIII. Staffing of the Office of Evaluation**

41. All appointments for evaluation, including that of the Director of the Office of Evaluation, staff and consultants follow transparent and professional procedures with the primary criteria being those of technical competence and behavioural independence but also with considerations of regional and gender balance. The Director of Evaluation will have the responsibility for the appointment of evaluation staff and the appointment of consultants, in conformity with FAO procedures.

42. A competitive procedure applies for appointment of the Director of Evaluation. A panel, consisting of representatives of the Director-General and the Programme Committee, as well as evaluation specialists from other UN agencies will review the terms of reference and statement of qualifications for the post. Based on the review, a vacancy announcement will be prepared, issued widely and a list of qualified candidates for interview compiled. The panel will then review these candidates and make a final recommendation regarding candidates appropriate for appointment by the Director-General.

43. The Director of Evaluation serves for a term of four years with a possibility of reappointment only once for a further term of four years. The renewal of the appointment of

the Director of Evaluation is subject to consultation with the Programme Committee. Likewise, the Director-General shall consult with the Programme Committee before the termination of the appointment of the Director of Evaluation. The Director of Evaluation may not be reappointed within FAO to another post or recruited as a consultant during a period of one year following the expiry or termination of the appointment.

#### **IX. Budget for Evaluation in FAO**

44. The Regular Programme budget for evaluation will attain the level of at least 0.8% of the total Regular Programme Budget. In consideration of the fact that the Evaluation Office also reports to the governing bodies of the Organization, the evaluation budget will be allocated in full to the Evaluation Office upon approval by the Council and Conference as part of the Programme of Work and Budget.

45. The translation and reproduction of evaluation documents for the governing bodies, and certain indirect costs of evaluation such as office space, are covered outside the evaluation budget.

46. An allocation for evaluation is included in all extra-budgetary supported activities. Two Trust Fund pool accounts have been established to receive the evaluation funds: one for emergency and rehabilitation projects and another for technical cooperation for development projects, including programme support to normative work. The Trust Funds will be utilised to finance thematic, programme and country evaluations. Emergency and rehabilitation evaluations will be carried out in an integrated way, examining the relevance, efficiency and sustainable benefit from the FAO response to the totality of the emergency and rehabilitation needs.

47. Large projects of technical cooperation for development (including those financed through Unilateral Trust Funds) will have a separate independent evaluation at least once in their lifetime. The criteria for separate evaluation and the levels of allocation in project budgets for evaluation will be in accordance with published guidelines that may be reviewed periodically by the governing bodies.