

Chair's Aide Mémoire – Fourteenth & Fifteenth Meeting of CoC-IEE WG I
4, 7 & 14 & 15 July 2008
Vic Heard, Chair

Strategic Objectives and Organizational Results

- 1) **Preface:** The discussion took place on the basis of two papers on Strategic Objectives and Organizational Results from management and a supplementary paper further illustrating the Forests and Trees Strategic Objective. The most recent management paper is attached as Annex 1. Detailed observations on individual Strategic Objectives and Organizational Results were taken direct account of by management during the discussions. Only considerations for Strategic Objectives and Organizational results overall and major points on individual Strategic Objectives are recorded in this Aide Mémoire.
- 2) **Overall Conclusions:** The Working Group welcomed the overall approach being developed by management and the move towards greater specificity. The overall programme model was reconfirmed, i.e. a Results-Based model with Goals of Member Nations at the apex, Strategic Objectives for Programme Areas, at the level of impacts achieved by member countries and below them Organizational Results which represented the Outcomes of the Organization's work (and to which were attached resources, targets and indicators). The concept of "Functional Objectives" to provide a results base for internal secretariat improvements was endorsed.
- 3) The Working Group appreciated the increased prioritisation evident in the Organizational Results. Many members considered however, that insufficient prioritisation had been demonstrated and a way needed to be found to convey the clear priorities of the Organization.
- 4) The concept of major "Core Functions and Comparative Advantages" for FAO was endorsed, however, some Members considered that the list needed to be revisited. Some functions such as "Capacity Building" might deserve separate consideration in view of their agreed priority. The ideas in: g) inter-disciplinarity; h) partnerships and i) effective management and administration were important but were not core functions in the same category as those covered in a) - f) and did not necessarily reflect comparative advantages.
- 5) It was suggested by some Members that the strengthening of the Core Functions g)-i), and attention to them, could be better reflected in the Functional Objectives. Particular importance was attached to including a functional objective or organizational result on achieving greater inter-disciplinarity and work across organizational boundaries. It was noted that the Organizational Result K4 under Gender and in part under I3 Emergencies were internal results not results in Member Countries. It was agreed that Core Functions each needed a responsible manager, a strategy and indicators. It was noted that the strategy for several of these had been discussed by the Working Group and that the elements of a strategy for each should be reflected in the Medium-Term Plan.
- 6) There was full agreement that all the strategic objectives presented were important and needed visibility and focus. There was however, also a concern to ensure their integration, as some were cross-cutting and others were sectoral. Some members considered that the number needed to be reduced but most members did not consider that the number was the main issue but a clear sense of priorities, means-ends relationships throughout the hierarchy and ensuring the necessary integration. The Working Group agreed to discuss how integration and duplication could be best addressed at its meeting on 28-29 July.
- 7) Regarding Indicators, the Working Group recognised that it was probably not possible to present a refined set of indicators to the Special Session of the Conference as part of the Immediate Plan of Action. Nevertheless, the presentation of indicators for the Strategic Objective on Forests and Trees had been an important aid to the Working Group in understanding Organizational Results. The Working Group considered that to the extent possible, as further refinement of the Organizational Objectives continued, members should have the possibility to review draft indicators. It would be useful for the Conference to receive indicative examples, as this would deepen understanding of the Immediate Plan of Action Annex on the Elements of the Strategic Framework and

Medium-Term Plan. Some members considered that it was desirable to have many indicators and thus track the many aspects of outcomes but most considered that for the Results-Based-Management System to be functional indicators must be verifiable, both for internal use and regular reporting to the Governing Bodies, through the biennial Performance Implementation Report. The number of indicators should thus be limited and realistic within the four year time horizon of the Medium-Term Plan and for each biennium (in this context it was noted that an indicator may be applicable to more than one Organizational Result). Management drew Members attention to the costs of introducing and maintaining an effective Results Based Management System, not least in staff training.

8) The Working Group requested that the FAO Evaluation Office, in line with its dual role, should provide advice to management on the design of the Results Based Programme and be required to provide an assessment to the Council, through the Programme Committee, on the quality of the results-based structure, including the indicators.

9) It was further agreed that:

- a) the Strategic Objectives should have succinct titles;
- b) the Organizational Results should state the Outcome and the FAO contribution;
- c) the contribution of the Strategic Objectives to the Goals of Member Nations should be clear;
- d) the tables under each Strategic Objective indicating the application of “Core Functions” by Organizational Result were useful, but a standard approach to their application was required. This should ensure that relevant boxes were ticked but should not result in a lack of discrimination with a tendency to tick all boxes. Possibly some formula should be used for discriminating between the main Core Function applied and others which played a more minor role;
- e) language and the overall approach should be more standardised throughout the presentations of Strategic Objectives and Organizational Results. In this regard the Working Group considered that the summary and unfocused statements of FAO’s contribution under Strategic Objectives G, H, J & K needed to be improved;
- f) public costs and benefits (goods and bads) from agriculture should be internalised, for example on the environment, and it would be desirable to include this in the way the Organizational Results were stated; and
- g) statements could give priority to rural areas where there was a high concentration of poverty but unless they were very specific to rural areas should not be limited to them (for example peri-urban agriculture can be important with both benefits and environmental and health risks, food security is not only a rural issue and agricultural value added may create urban employment).

10) **Conclusions with Respect to Individual Strategic Objectives** (only major observations are presented here):

- a) B. Increased livestock production in support of rural development: The issues of grassland and range management should not be ignored, including the interface with other sectors such as Forestry;
- b) C. Sustainable management and use of fisheries and aquaculture resources:
 - i) While agreeing with management that there were a range of environmental and health hazards to be managed in aquaculture, some Members considered that fish diseases and the application of disease control measures in aquaculture should receive particular attention,
 - ii) It was agreed that there should be more explicit recognition of, and encouragement to, partnerships;
- c) D. Improved quality and safety of foods at all stages of the food chain: Members emphasised the importance of all members being able to participate adequately in Codex and of technical cooperation for strengthening capacity at country level;
- d) F. Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture: Many members questioned if this should continue as a stand alone strategic objective, due to its cross-cutting nature. Many other members emphasised the importance of this area of work and the need for it to receive visibility;

- e) G. Enhanced Incomes and Livelihoods in Rural Areas: Members considered that the wording of the Strategic Objective and Results did not adequately reflect the emphasis on developing markets, trade and other aspects of the enabling environment for small holders and agri-business to develop. Areas of overlap with other Strategic Objectives were also noted including that on Investment;
- f) H. Improved food security and better nutrition:
 - i) The Right to Food should appear clearly at the level of the Organizational Results and if this occurred it did not need to appear in the title;
 - ii) Members emphasised that adequate nutrition should be seen as an aspect of household food security and not in a separate context;
 - iii) There should be reference to commodity markets and prices; and
 - iv) There should be recognition of the importance of indigenous knowledge systems.
- g) I. Improved preparedness for and effective responses to food and agricultural threats and emergencies: The importance was emphasised for national and sub-regional early warning systems of sustainability and partnerships which both helped ensure sustainability and reduced duplication of effort;
- h) J. Improved frameworks for global and regional governance of food and agriculture read as the work of one office, rather than a cross-cutting Strategic Objective:
 - i) Ex ante assessment of the needs for global and regional governance in the field of food and agriculture needed to be included (and should reflect developments beyond the governmental sector),
 - ii) The Organizational Results reflected only legal instruments and not the achievement of global and regional policy coherence on international issues achieved through FAO meetings underpinned by secretariat analysis,
 - iii) There was room to combine Organizational Results J1 and J2,
 - iv) There was overlap with Organizational Results relating to Codex, IPPC, Genetic Resources and Fisheries as well as with Natural Resources Management;
- i) K. Gender Equity in access to resources, goods, services and decision-making in the rural areas: While recognising this Strategic Objective as a major priority, it could be re-examined in light of the need to mainstream a gender approach across all Strategic Objectives; and
- j) L. Increased and more effective public and private investment in agriculture: Members repeated the importance of investment and recalled that they had considered a Strategy Paper on this topic and the suggestions from management reflected much of the discussion at that time. However, as presently formulated many members considered that the Organizational Results failed to demonstrate FAO's comparative advantage and there was heavy overlap with other Strategic Objectives. Members looked forward to seeing the indicators under this Strategic Objective which they considered might give a better indication of the anticipated Outcomes.

Annex 1: Possible Strategic Objectives and Organizational Results for FAO

1. This fourth paper on possible Strategic Objectives for FAO was prepared by management based on inputs received at the Working Group 1 meeting of 4/7 July. It is intended to support further discussion among Members by presenting a more complete picture of the strategic results framework, comprising possible *Strategic Objectives* (to be achieved by Members with expected significant value added from the Organization) and the means for FAO to contribute to their achievement under all sources of funds: *Core Functions*, *Functional Objectives* and *Organizational Results*.
2. There are three new aspects in this paper compared with 4/7 July:
 - recap of the revised programme model and terminology to provide context (section I and Annex I);
 - revised possible strategic objectives and core functions/objectives (sections II and III);
 - revised possible organizational results and application of core functions for each strategic objective in a consistent format stating the expected outcome and focus for FAO's work in the medium-term, with examples of indicators (section IV).

I. Recap of Revised Programme Model

3. The revised programme model provides for clear means-ends linkages through a simplified cascading results hierarchy starting from the overarching and interrelated Global Goals of Members. The model provides accountability for the achievement of results, measurable indicators and targets at two strategic levels:
 - Strategic Objectives (12), which are the high-level benefits or changes expected to be achieved by Members in a ten-year timeframe (in countries, regions and globally), taking account of regional and subregional priorities; and,
 - Organizational Results (about 80), which represent the first-level outcomes at national, regional or global level that occur from the use of FAO products and services. FAO is to be principally accountable for the achievement of Organizational Results.
4. Each level of the hierarchy is determined in log-frame approach, and the model encompasses all sources of funds and contributions of all units in the Organization. A more detailed definition is found in Annex 1 and the paper discussed on 5 May.¹

II. Possible Strategic Objectives

5. The paper of 4/7 July presented 12 possible Strategic Objectives. Based on the discussions of Working Group I on 4/7 July, a further revised set of possible strategic objectives is presented in the box below. The revisions fall into two main categories:
 - a) Formulation. The statement of each Strategic Objective has been limited to the outcome expected to be achieved by Members (the bold text in the version of 4/7 July, adjusted in some cases), while the value-added by FAO has been removed and instead expressed as part of the Organizational Results.
 - b) Grouping. There was concern in the Working Group discussions that the grouping by Global Goals of Members, while providing for some structure and emphasis, detracted from the inter-related nature

¹ FAO Revised Programme Model (Objectives, Results, Hierarchy) at http://www.fao.org/uploads/media/AideMemoireWGIandIII5May08_1.pdf

of the Goals and thus of the objectives. At the same time, it was recognized that some objectives were more sectoral, some were more cross-cutting, and some related mainly to critically important means of action. To improve comprehension, the objectives have been reordered along these lines.

6. The result is a set of 12 Strategic Objectives, as presented in the box below, contributing to sustainable increases in food production and availability, economic and social progress and human well-being, and sustainable management and use of natural resources.

POSSIBLE STRATEGIC OBJECTIVES

- A. Sustainable intensification of crop production.**
- B. Increased livestock production in support of rural development.**
- C. Sustainable management and use of fisheries and aquaculture resources.**
- D. Improved quality and safety of foods at all stages of the food chain.**
- E. Sustainable management of forests and trees.**
- F. Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture.**
- G. Enhanced incomes and livelihoods in rural areas.**
- H. Improved food security and better nutrition** [including implementation of the progressive realization of the right of adequate food in the context of national food security].
- I. Improved preparedness for, and effective response to, food and agricultural threats and emergencies.**
- J. Improved frameworks for global and regional governance on food and agriculture.**
- K. Gender equity in access to resources, goods, services and decision-making in the rural areas.**
- L. Increased and more effective public and private investment in agriculture and rural development.**

III. How FAO will support the achievement of Strategic Objectives

III.a Core Functions

7. FAO's support to Members for achievement of Strategic Objectives depends on the applications of the Organization's core functions and 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 levels. These core functions and comparative advantages, critical to the success of FAO, are applied across the Organization and permeate all Strategic Objectives. A summary of the application of core functions is provided for each Strategic Objective in section IV below.

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

III.b Functional Objectives

8. Two objectives of a more functional nature would cover work related the provision of an enabling environment for the Organization to effectively and efficiently contribute to the achievement of the Strategic Objectives. They will also ensure corporate approaches to applying the core functions. These Functional Objectives relate to relations with Members and other key stakeholders, including oversight, and internal management and administration.

Possible Functional Objectives

X. Enhanced collaboration with member states and stakeholders at all levels.

Y. Flexible, efficient and effective internal management, administration and financial arrangements.

IV. Organizational Results

9. The Organizational Results reflect the products and services that FAO commits to deliver to Member Countries and the international community in a time-frame of four years, and the initial outcomes which stem from the use of these products and services. Indicators, means of verification, baselines and targets will provide the framework to measure and report on the achievement of the results.

10. An internal consultative process has been put in place for the iterative formulation of Organizational Results:

- A Senior Manager (ADG or Director level) has been designated to lead the formulation of results by all concerned units (at Headquarters and Regional Offices) for each Strategic Objective, taking into account the priorities identified in the Strategy Notes discussed by the Working Group.
- All offices have been requested to contribute to formulation of Organizational Results in their areas of responsibility.
- Briefings have been held for Headquarters and Regional Offices and ongoing corporate support is provided.

11. The second round of formulation and review has resulted in 62 possible Organizational Results under the 12 Strategic Objectives, along with 11 possible Organizational Results under the two functional objectives. The Organizational Results under the Strategic Objectives have been formulated by stating the expected outcome of first order use of FAO's products and services, and (in bulleted form) what FAO will do to contribute to each outcome. In addition, the application of core functions to each Organizational Result is summarized in tabular form for each Strategic Objective. The Organizational Results under the Functional Objectives describe the expected operational outcome that would be achieved through internal measures to improve the quality of core functions and services.

A. Sustainable intensification of crop production.

Application of Core Functions

Org. Result	a. Perspectives, trend monitoring, assessment	b. Information, knowledge, statistics	c. Intl instruments	d. Policy advice	e. Tech support, capacity building	f. Advocacy, communication	g. Inter-disciplinary approach	h. Partnerships, alliances
A1	x	x		x	x	x	x	x
A2	x	x		x	x	x	x	x
A3	x	x	x	x	x	x		x
A4	x	x	x	x	x	x		x
A5		x	x	x	x	x	x	x

Organizational Results

A1- National and regional capacities to strengthen livelihoods of the poor and to ensure food security are enhanced through:

- design of policies and programmes, facilitated access to technologies, and development and deployment of knowledge systems for improved crop productivity and sustainability;
- strategies and programmes for crop diversification, including production and consumption of horticultural crops;

- development and guiding of application of ecosystem management approaches to crop production intensification;
- support to national and regional programmes for food security (NPFS/RPFS).

A2 - Risks to food security, trade and the sustainability of production systems stemming from plant pests and disease outbreaks are minimized at national, regional and global levels through:

- implementation of the IPPC;
- facilitation of regional and global collaboration for contingency planning and early warning;
- support to programmes involving Farmer Field Schools based on integrated pest management technologies.

A3 - Risks from pesticides are reduced at national level through:

- promotion of regional and global collaboration under the Rotterdam Convention and Code of Conduct on Distribution and Use of Pesticides;
- advice, knowledge sharing and advocacy for policies and programmes in support of ecosystem-based crop protection;
- support to programmes involving Farmer Field Schools for IPM.

A4 - Policy frameworks and strategies are applied to manage plant genetic resources for food and agriculture (PGRFA) and to strengthen national seed systems, with defined linkages between conservation and sustainable use, including in the context of the International Treaty on PGRFA, through:

- advice on legislative and policy frameworks;
- support to development of national policies and programmes to support conservation of PGRFA on-farm and promote diversity in agro-ecosystems;
- policy and technical advice and development of programmes in support of sustainable use of PGRFA, including through capacity building on improved technologies;
- policy advice, advocacy and development of programmes to strengthen linkages between the formal and the informal seed sector through community-based seed production;

A5 - National capacities are strengthened to integrate environmental benefits and costs into agricultural policy and planning through:

- design of tools for the assessment of ecosystem services from crop agricultural landscapes;
- building capacity in assessing and managing ecosystem benefits in agriculture;
- provision of ecosystem and environmental management information.

B. Increased livestock production in support of rural development.

Application of Core Functions

	a.	b.	c.	d.	e.	f.	g.	h.
	Perspectives, trend monitoring, assessment	Information, knowledge, statistics	Intl instruments	Policy advice	Tech support, capacity building	Advocacy, communication	Inter-disciplinary approach	Partnerships, alliances
Org. Result								
B1	X	X	X	X	X	X	X	X
B2	X	X	X	X	X	X	X	X
B3	X	X	X	X	X	X	X	X
B4				X	X		X	X

Organizational Results

B1 - The livestock sector is used effectively in countries for contributing to food security, for protecting livestock-related livelihoods and for supporting rural economic development through:

- the design of technical, policy and institutional measures and the support to their implementation;
- PRSPs/NPFS/RPFS that focus on livestock production among resource poor households.

B2 - Effective collaboration among countries is in place to manage animal diseases and animal related human health threats successfully through:

- improved early warning and knowledge of animal disease emergence/spread;
- regional and international coordination of disease control and management, with national animal health systems equipped with the necessary technical capacity and policy instruments,
- Crisis Management Centre for the Food Chain with fully operational Animal Health component;
- design of national animal health and veterinary public health policies taking full account of socio-economic, cultural, structural and developmental dimensions.

B3 - The sustainable use of natural resources for increased livestock production is facilitated through:

- support to the implementation of the Global Plan of Action for Animal Genetic Resources at all levels;
- assistance in reducing the environmental impact of the livestock sector through technological and policy instruments, as well as through supportive investment.

B4 - National capacity for livestock sector development is built and sustained through:

- assistance in the use of best practices (technology, institutions, policy);
- advice on investments guided by multiple-objective needs assessments;
- advice on prevention and preparedness plans to guide emergency management (animal diseases and natural and man-made disasters where livestock is involved).

C. Sustainable management and use of fisheries and aquaculture resources.

Application of Core Functions

Org. Result	a. Perspectives, trend monitoring, assessment	b. Information, knowledge, statistics	c. Intl instruments	d. Policy advice	e. Tech support, capacity building	f. Advocacy, communication	g. Inter-disciplinary approach	h. Partnerships, alliances
C1	X	X	X	X	X	X		X
C2			X	X	X			
C3	X	X		X	X			X
C4	X	X		X	X		X	X
C5		X		X	X			
C6		X		X	X	X		

Organizational Results

C1 – Policy and practice in fisheries and aquaculture, in particular, implementation of the Code of Conduct for Responsible Fisheries and related international instruments, including those related to combating IUU fishing, reducing overcapacity and improving fishery management, are based on timely and reliable information and reinforced by international cooperation and debate, through:

- support to regional fishery bodies and COFI;
- development of complementary instruments;
- capacity building for implementation;
- support to implement Strategies for Improving Information on Status and Trends of Capture Fisheries and Aquaculture.

C2 – Institutions governing fisheries and aquaculture are strengthened and transparency in decision-making improved through:

- policy advice and institutional capacity building for improving governance of the sector;
- advice on establishing and integrating/harmonizing policy frameworks for fisheries and aquaculture in relation to broad social and economic development objectives, sustainable resource use and conservation needs.

C3 - Marine and inland fisheries are managed more effectively with active implementation of an ecosystem approach to fisheries, taking account of livelihood requirements, in a significant number of countries, through:

- technical advice and capacity building;
- regular reporting on the status of fish stocks and ecosystems;
- facilitating regional coordination in planning and implementation of EAF;
- cooperation with other relevant UN organizations including UNEP, CBD and CITES.

C4 - Sustainable aquaculture is promoted, and its production is significantly increased with special efforts in Africa and the Latin America, for supporting rural livelihoods and economic development emphasizing integrated farming systems and eco-system approach through:

- assistance in development of technical, policy and institutional frameworks for responsible aquaculture practices;
- promotion of regional and inter-regional cooperation and networks in applied research, development and technology transfer.

C5 - An increasing number of countries implement responsible fishing practices, addressing the use of appropriate fishing gear to reduce impact, effective control of fishing activities, the safety of fishing operations and improved social and economic efficiency in fishing operations, through:

- promoting the use of satellite based VMS;
- capacity building;
- establishment of global record of fishing vessels;
- support to countries to adopt and implement national and international fishing safety standards.

C6 - An increasing number of countries and institutions adopt and implement policies and programmes for responsible utilisation and trade in fisheries and aquaculture products and transparent and harmonised market access requirements leading to fair and transparent trade regimes, through:

- consultation, science based guidelines and codes of practice
- technical advice and capacity building
- promotion of harmonization and equivalence in international trade.

D. Improved quality and safety of foods at all stages of the food chain.

Application of Core Functions

Org. Result	a. Perspectives, trend monitoring, assessment	b. Information, knowledge, statistics	c. Intl instruments	d. Policy advice	e. Tech support, capacity building	f. Advocacy, communication	g. Inter-disciplinary approach	h. Partnerships, alliances
D1		X	X	X	X		X	X
D2	X	X		X	X		X	X
D3				X	X	X	X	

Organizational Results

D1 - New and revised food standards for food safety and quality are developed with broad input from countries and other stakeholders, providing internationally agreed recommendations for the production, safe use and fair exchange of food and agricultural products, including fishery products, through:

- support to the Codex Alimentarius Commission;
- provision of scientific advice on food safety and quality, including food composition and nutrient requirements (including advice from JECFA, JMPR, JEMRA and ad hoc expert meetings);
- capacity building to improve the effectiveness of developing countries' participation in Codex work.

D2 - Countries have established food safety and quality policies and evidence-based programmes that reflect public health and trade priorities, are consistent with other major national policies, and are supported by coherent legislation and regulations in line with internationally-agreed principles, through:

- policy and technical advice;
- scientific advice on food safety and quality, including food composition and nutrient requirements;
- capacity and institution building;

- provision of food safety intelligence and risk management advice

D3 - Member countries are implementing programmes of technical assistance to food chain operators to improve adherence to internationally-accepted guidelines on good practice by domestic food businesses with emphasis on good agricultural practice and good hygiene practices at all stages of the food chain and covering all foods, including fishery products, through:

- policy and technical advice
- capacity building
- support to public awareness programmes for consumer participation and education on food safety, nutrition and other food quality issues

E. Sustainable management of forests and trees.

Application of Core Functions

	a.	b.	c.	d.	e.	f. Advocacy, commun- ication	g. Inter- disciplinary approach	h. Partner- ships, alliances
Org. Result	Perspectives, trend monitoring, assessment	Information, knowledge, statistics	Intl instru- ments	Policy advice	Tech support, capacity building			
E1	x	x	x	x	x	x	x	x
E2	x	x		x	x	x	x	x
E3		x		x	x		x	x
E4	x	x	x	x	x	x	x	x
E5	x	x		x	x	x	x	x
E6	x	x	x		x		x	x

Organizational Results

E1 - Policy and practice affecting forests and forestry are based on timely and reliable information, and reinforced by international cooperation and debate, through:

- support to national and regional forest monitoring and assessment;
- the Global Forest Resources Assessment and reporting on the state of the world's forests;
- the FAO Regional Forestry Commissions and Committee on Forestry;
- other relevant partnerships, including the Collaborative Partnership on Forests.

Examples of Indicators

- *Number of countries using FAO information to build national forest information systems, including forest inventory and basic statistics about forest resources, products, policies and institutions.*
- *Number of countries using FAO information that meet international reporting requirements for forests and forestry.*
- *Requests for and positive feedback on publications.*
- *Use and usefulness of internet sites, as measured by "hits," user responses, feedback from user surveys on use of FAO forestry web sites.*

E2 - Institutions governing forests are strengthened and transparency of decision-making improved, including involvement of forest stakeholders in the review and modernization of forest policies and legislation, thereby enhancing an enabling environment for investment in forestry and forest industries, through:

- sector studies and comparative analyses of forest institutions;
- support to the development of forest policy and law, and institutional reform.

Examples of Indicators

- *Countries drawing on FAO technical assistance, studies and analyses, including in the drafting of forest policies and legislation.*
- *Countries that incorporate FAO technical assistance, studies and analyses, including on multi-stakeholder engagement, in the development of forestry institutions.*

E3 - Planning for forestry's contribution to sustainable development is better integrated into national development plans and processes, considering interfaces between forests and other land uses, through:

- support to effective national forest programmes, including capacity building and knowledge exchange;
- host and support the National Forest Programme Facility.

Examples of Indicators

- *Percentage of countries actively participating in regional initiatives led by FAO, including outlook studies.*
- *National and sub-national planning initiatives, in particular in countries that have national development plans, where FAO guidelines are used to address forestry issues.*
- *Countries using FAO-generated knowledge resources and technical assistance to develop strategies for improving the contributions of forests in climate change mitigation.*

E4 - Sustainable management of forests and trees is more broadly adopted, leading to reductions in deforestation and forest degradation and increased contributions of forests and trees to improve livelihoods and mitigate climate change, through:

- the development and use of guidelines for good forest practices;
- increased use of financial mechanisms to build capacity to strengthen forest management and to reduce deforestation and forest degradation (REDD).

Examples of Indicators

- *Countries using FAO guidelines to monitor forest area.*
- *Countries using FAO good practices to draft or implement forest resource management plans.*
- *The number of countries using FAO guidelines, such as those for forest harvesting, planted forests, and fire management as an input into national management plans.*

E5 - Social and economic values and livelihood benefits of forests and trees are enhanced, and markets for forest products and services contribute to making forestry a more economically viable land-use option, through:

- analysis and knowledge of social and economic factors resulting in increased investment;
- analysis of production, consumption and trade of forest products;
- technical assistance and guidelines for forest-based enterprises that improve livelihoods and reduce poverty.

Examples of Indicators

- *Countries using FAO studies, guidelines and technical assistance to draft policies favourable to improving the economic contribution of forest products and services.*

- *Countries where governments, private sector and/or other key stakeholders are using FAO knowledge resources to guide activities related to improving the viability of forest-based enterprises and forest products*

E6 - Environmental values of forests and forestry are better realized, through:

- technical assistance and documentation in support of more effective policies and programmes for landscape and ecosystem approaches, with an emphasis on mountain ecosystems, arid zones and rangelands, coastal forests and other fragile ecosystems;
- support to countries to address forest health, with special reference to adaptation to climate change;
- support to national and regional initiatives to conserve forests and their biological diversity; to improve the management of watersheds and wildlife resources; and to rehabilitate degraded forest lands and combat desertification.

Examples of Indicators

- *Countries using FAO technical assistance and documentation promoting the maintenance of healthy forest ecosystems as inputs into policy development.*

F. Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture.

Application of Core Functions

Org. Result	a. Perspectives, trend monitoring, assessment	b. Information, knowledge, statistics	c. Intl instruments	d. Policy advice	e. Tech support, capacity building	f. Advocacy, communication	g. Inter-disciplinary approach	h. Partnerships, alliances
F1			X	X	X	X	X	X
F2			X	X	X	X	X	X
F3	X	X		X	X	X	X	X
F4	X	X	X	X	X		X	X
F5	X	X	X	X	X	X	X	X
F6	X	X		X	X		X	X
F7	X	X	X	X	X	X	X	X
F8	X	X		X	X		X	X

Organizational Results

FI - The dimensions of food, agriculture, forestry and fisheries are reflected in the negotiations and implementation of international instruments addressing global challenges related to the environment and natural resources, including climate change, biodiversity and desertification, through:

- advocacy to ensure linkages are reflected;
- provision of inputs to intergovernmental sessions and processes;
- capacity building for negotiating, formulating and implementing instruments and integrating them into relevant national policies.

F2 - More equitable access to natural resources and more secure tenure are achieved in countries, including improved governance, administration and stakeholder participation, through:

- development of normative (global) guidelines;
- national and community level capacity building using technical guidelines and policy support.

F3 - Countries have improved capacity to cope with water scarcity and to enhance water productivity of agricultural systems at national and river-basin levels (including any trans-boundary water) through:

- global information and analysis of status and trends;
- support for national and regional policy/strategy formulation and implementation;
- capacity building addressing water scarcity, irrigation and water efficiency options.

F4 - Countries have strengthened capacities in land evaluation, land degradation assessment and land-use planning and promote and develop sound policies for sustainable land management, through:

- provision of global data and classification systems;
- development of normative guidelines;
- coordination, at global level, of global assessments;
- provision of capacity building and technical assistance on land evaluation, land degradation assessment, land use planning and sustainable land management.

F5 - Countries are enabled to develop and strengthen policies and programmes for the conservation and sustainable use of biological diversity for food and agriculture and the fair and equitable sharing of benefits derived from the use of genetic resources at national, regional and international levels, through:

- provision of information, including country-driven global assessments;
- implementation of the CGRFA's Multi-year Programme of Work and the development of global instruments for the conservation and sustainable use of genetic resources;
- capacity building for national implementation and support mechanisms;
- strengthened cooperation with relevant international organizations, including the Convention on Biological Diversity.

F6 - Policies and decisions related to the sustainable management and use of land, soil, water, and biodiversity for food and agriculture, as well as the improved responses to global environmental challenges, are based on integrated and shared knowledge and indicators, through:

- provision of global data on these resources, including geospatial information;
- national capacity building for the generation and use of national level data.

F7 - Resilience of food and agricultural production systems to climate change is improved and an increasing number of countries vulnerable to climate change have incorporated relevant adaptation measures, which cut across agriculture, forestry and fisheries sectors, into their national development, climate change and disaster management plans and countries are able to benefit from financial mechanisms supporting climate change mitigation, including those under the UNFCCC, GEF and carbon markets, through:

- provision of national impact assessments;
- capacity building for formulation, implementation and monitoring of intersectoral adaptation and mitigation policies, strategies and programmes and support to countries and communities to use the financial mechanisms;
- advocacy and technical support for diverse agro-ecosystems;
- facilitation of a better inter-linkage between climate change, food security, rural livelihoods and environmental services into global climate change instruments and changed eligibility and

accessibility procedures to enable greater access by smallholders, incl. post 2012 processes and mechanisms.

F8 - National decision making on sustainable bioenergy development is improved through:

- the provision of information;
- facilitation of international dialogues;
- support of national bioenergy strategy formulation, including food security concerns.

G. Enhanced incomes and livelihoods in rural areas.

Application of Core Functions

Org. Result	a. Perspectives, trend monitoring, assessment	b. Information, knowledge, statistics	c. Intl instruments	d. Policy advice	e. Tech support, capacity building	f. Advocacy, communication	g. Inter-disciplinary approach	h. Partnerships, alliances
G1		X		X	X		X	
G2		X		X		X	X	X
G3		X		X	X			
G4	X	X		X	X			
G5		X		X	X			
G6	X	X		X				

Organizational Results

G1 - Policy reform, institutional strengthening and specific programmes enable smallholders improve competitiveness, diversify into new farm enterprises and off-farm activities, meet the requirements of markets, and integrate into globalizing agri-food systems and value chains through:

- analytical contributions;
- policy advice and technical assistance.

G2 - Rural employment creation is adequately considered in agricultural and rural development policies and programmes, including those that support agro-industries, as well as small scale and commercial farming, through:

- analysis
- policy advice
- advocacy work.

G3 - National and regional policies and programmes enable the development of competitive agro-industries and enhance the role of the private sector in sustainable rural development through:

- analysis
- strategic advice
- technical assistance.

G4 - National decision-makers' capacity to appraise international market trends and developments in international trading systems and to formulate and implement appropriate policy and institutional responses to allow agricultural producers and agro-enterprises to take advantage of expanding or new trade opportunities is enhanced through:

- analysis;

- advice and training support.

G5 - Governments are enabled to establish appropriate financial, institutional and regulatory systems that enhance access by agricultural enterprises and producers to input and output markets and manage risks through:

- analysis;
- technical assistance.

G6 - National, regional and global policy makers and institutions address the impacts on rural livelihoods of global challenges such as climate change, water scarcity, environmental degradation, price instability, and migration, through:

- analytical contributions;
- policy advice.

H. Improved food security and better nutrition [including implementation of the progressive realization of the right of adequate food in the context of national food security].

Application of Core Functions

Org. Result	a. Perspectives, trend monitoring, assessment	b. Information, knowledge, statistics	c. Intl instruments	d. Policy advice	e. Tech support, capacity building	f. Advocacy, communication	g. Inter-disciplinary approach	h. Partnerships, alliances
H1		X			X	X	X	X
H2	X	X		X	X			
H3	X	X		X	X	X	X	X
H4	X	X	X		X	X	X	X
H5	X	X			X			X
H6	X	X			X			X
H7		X			X	X	X	X

Organizational Results

H1 - Stakeholders in countries and internationally (including governments, civil society, private sector, UN System partners etc.) have access to best practices regarding food security and nutrition through:

- processes facilitated by FAO and partners that identify, analyse and disseminate lessons and successful experiences at global, regional, national and decentralised levels.

H2 - Countries and Regional Economic Integration Organizations (REIOs) formulate and adopt coherent policies, programmes and interventions (including national and regional programmes for food security) that address the root causes of hunger and malnutrition, enhance access to food and improve the efficiency of food processing and distribution systems through:

- analytical contributions;
- policy assistance;
- capacity building.

H3 - Countries are able to design and implement nutrition programmes, incorporate nutrition concerns, considerations and objectives into agricultural and rural development policies, strategies, programmes and plans of action and into food security policies and interventions through:

- analysis;
- policy advice and technical support.

H4 - Countries, upon their request, are enabled to implement the voluntary guidelines on the progressive realisation of the Right to Food, including principles of good governance (transparency, participation and accountability), in processes related to agriculture, food security and nutritional wellbeing through:

- methodological support and technical assistance.

H5 - Countries and regional organizations are aware of emerging trends affecting food security and able to address threats and opportunities in a timely manner through:

- support in developing early warning systems;
- projection work carried out in collaboration with countries and international partners.

H6 - Improved statistical and other information systems pertaining to nutrition, food, including food composition, and agriculture are in place at national, regional and global levels to serve decision-making and monitoring of interventions to reduce hunger and vulnerability and ensure food security, through:

- methodology development;
- statistics and information system operations;
- technical assistance and capacity building.

H7 - User groups in countries and internationally (including governments, NGO's, private sector, research institutes, UN System partners etc.) have access to essential knowledge/information on food and agriculture through:

- collection, production, dissemination, preservation and sharing of knowledge tools and resources;
- technical assistance and capacity building.

I. Improved preparedness for, and effective response to, food and agricultural threats and emergencies.

Application of Core Functions

Org. Result	a. Perspectives, trend monitoring, assessment	b. Information, knowledge, statistics	c. Intl instruments	d. Policy advice	e. Tech support, capacity building	f. Advocacy, communication	g. Inter-disciplinary approach	h. Partnerships, alliances
I1	x	x			x			
I2				x	x			x
I3					x			x
I4				x	x			

Organizational Results

I1 - Early warning systems related to food and agricultural emergencies are used by stakeholders at global and national levels of developing countries to respond effectively and efficiently by:

- building capacity to produce, monitor, analyze and manage early warning data in high risk developing countries with significant vulnerable rural populations

I2 - Governments and relevant partners in high risk developing countries with significant vulnerable rural populations are empowered, through effective contingency planning, to respond to food and agricultural emergencies by:

- supporting establishment of contingency plans in relation to food and agricultural emergencies;
- strengthening local capacities and institutional arrangements for protecting and promoting nutrition, especially of the poor and food insecure.

I3 - Governments and their relevant partners in high risk countries with significant vulnerable rural populations are able to respond to food and agricultural emergencies in a coordinated, timely and technically robust manner. Emergency and rehabilitation plans of action and responses are gender sensitive and ensure that affected rural poor households and communities recover quickly, build back more resilient livelihoods, and can better handle future disaster risks, commensurate with available funding, through:

- technical advice for preparation of gender-sensitive needs assessments and plans of action for food and agricultural emergencies and rehabilitation;
- technical advice for protecting and promoting nutrition and incorporating nutrition and household food security considerations into emergency agriculture interventions;
- FAO staff trained in Incident Command System.

I4 - High risk developing countries with significant vulnerable rural populations have enhanced policy frameworks and institutional capacities in relation to potential emergencies that fully incorporate the agriculture, fishery and forestry sectors, and rural communities and households at risk adopt improved agricultural and land and water management to reduce such risks, through:

- policy and technical advice for integrated risk reduction practices and principles in sectoral policies and programmes.

J. Improved frameworks for global and regional governance on food and agriculture.

Application of Core Functions

	a.	b.	c.	d.	e.	f.	g.	h.
Org. Result	Perspectives, trend monitoring, assessment	Information, knowledge, statistics	Intl instruments	Policy advice	Tech support, capacity building	Advocacy, communication	Inter-disciplinary approach	Partnerships, alliances
J1			X		X			
J2			X		X			
J3		X	X		X			
J4	X	X	X		X			
J5		X	X			X		X

Organizational Results

J1 - Development in an inclusive context of non-legally binding global or regional instruments on food and agriculture, as agreed by FAO's members, such as codes of conduct, codes of practice and guidelines, through:

- provision of neutral fora;
- technical advice.

J2 - Development in an inclusive context of legally binding global or regional instruments on food and agriculture, as agreed by FAO's members, through:

- provision of neutral fora;
- technical advice.

J3 - Design and improvement of national regulatory frameworks, including through:

- best practices, guidelines, databases on regulatory issues;
- capacity building for the implementation of international frameworks for food and agriculture.

J4 - Formulation of standards and other norms on food and agriculture by FAO statutory bodies, through:

- support to FAO statutory bodies;
- technical advice.

J5 - Increased coherence among frameworks impacting upon food and agriculture, through:

- interaction with other international organizations and treaty bodies responsible for regulatory instruments.

K. Gender equity in access to resources, goods, services and decision-making in the rural areas.

Application of Core Functions

Org. Result	a. Perspectives, trend monitoring, assessment	b. Information, knowledge, statistics	c. Intl instruments	d. Policy advice	e. Tech support, capacity building	f. Advocacy, communication	g. Inter-disciplinary approach	h. Partnerships, alliances
K1				x	x		x	x
K2	x	x			x	x		
K3	x			x	x		x	
K4	x				x	x	x	x

Organizational Results

K1 – “Delivering as One” countries and networks at both country and regional level are able to implement joint programmes and policies to support gender equality, by:

- developing and using joint tools and methodologies and drawing on FAO's expertise in gender issues related to agriculture, rural development, access to resources, and emergencies.

K2 - Government staff have increased capacities to incorporate gender issues in agricultural/rural development policy and to measure the gender-differentiated impacts of policy, including on vulnerable groups and female-headed households, through:

- support in training, skills development and research.

K3 - Governments are able to formulate food security, nutrition and sustainable livelihoods policies that are gender-sensitive and promote gender equality through:

- technical support and policy advice;
- developing N/RPFS that give due consideration to the gender and socio-economic dimensions of food security and vulnerability and use gender-disaggregated information to monitor progress, evaluate impacts and adjust programme implementation

K4 - The Gender Plan of Action is fully implemented and FAO staff address the gender dimensions in their work through upgraded skills, awareness creation and standardized administrative and project guidelines and systems through:

- FAO staff trained with demonstrated gender competency at both headquarters and decentralised levels;
- Gender mainstreaming modules developed for and used by technical divisions;
- implementation of policy to improve gender-balance in FAO staff at all levels.

L. Increased and more effective public and private investment in agriculture and rural development.

Application of Core Functions

	a. Perspectives, trend monitoring, assessment	b. Information, knowledge, statistics	c. Intl instru- ments	d. Policy advice	e. Tech support, capacity building	f. Advocacy, communi- cation	g. Inter- disciplinary approach	h. Partner- ships, alliances
Org. Result								
L1	x			x	x			
L2		x			x			
L3				x	x			
L4				x	x	x		x

Organizational Results

L1 - National Agricultural and Rural Development (ARD) public and private investment policies and strategies are elaborated and applied, based on:

- FAO country and regional thematic, sector and public expenditure studies;
- engagement in government investment framework formulation.

L2 - National capacity for sustainable investment planning and implementation strengthened, through:

- competency based skills training in investment cycle management;
- development and dissemination of related knowledge products.

L3 - Effective national public ARD investment programs and projects formulated, implemented and evaluated, through:

- the integrated provision of FAO technical and investment management expertise to member countries.

L4 - Countries and Regional Economic Integration Organizations (REIOs) develop National and Regional Programmes for Food Security (NFPS and RFPS) to raise the investment required from public and private sources to meet hunger reduction targets.

X. Enhanced collaboration with member states and stakeholders at all levels.

Organizational Results

X1 - A focused and effective advocacy and communication approach at corporate level maintains the hunger issue high on the international agenda so as to increase understanding of the need for investment in agriculture and the rural sector, and raises awareness of FAO's comparative advantages.

X2 - Key partnerships and alliances are achieved and coordination and networking are further developed with main stakeholders at country, regional and global levels, including through the provision of systematic and proactive FAO contributions at the corporate level to policy coherence and coordination across the UN system at the intergovernmental and inter-agency levels.

X3 - Work of the Organization under all funding sources is based on a results framework, with strategic and operational plans that take into account global, regional, sub-regional and country dimensions, and incorporate lessons learned.

X4 - Effective Information Technology (IT), Information and Knowledge Management (IM/KM) governance are established, and value-added IT/IM solutions and services are aligned with the changing needs of the Organization.

X5 - Effective direction of the Organization is exercised through enhanced governance and oversight of FAO's work.

X6 - An effective field presence promotes engagement of countries with relevant global issues and supports the formulation and implementation of joint cooperation strategies and programmes at regional, subregional and country levels, aligned with national priorities, integrated with the UN initiatives and coordinated with the programmes of other development partners.

X7 - Corporate strategy, methodologies, and tools for knowledge management and capacity building are developed and implemented through inter-departmental mechanisms that take account of UN system-wide processes with a view to support Member States in their development efforts.

X8 - FAO's field programme is designed and delivered effectively and efficiently at global, regional, subregional and country level, with maximum impact on national capacities to achieve shared objectives.

Y. Flexible, efficient and effective internal management, administration and financial arrangements.

Organizational Results

Y1 - Accurate and timely recording of financial information is ensured in FAO accounts and client-centric approaches should aim at resolving any emerging issues related to accounting policies and procedures.

Examples of Indicators

- *Official financial statements of the Organization receive external audit certification, without qualifications*
- *Strategies in place for the Member Nations to fully fund the Organization's long-term liabilities and reduce levels of arrears*
- *Achieving IPSAS compliance for the Organization's official financial reporting by 2011*

Y2 - Human resource policies and practices create an enabling environment to attract and retain high quality staff, promote learning and individual development, manage performance, and foster ethical behaviour.

Examples of Indicators

- *Proportion of staff in compliance with the PEMS review cycle, i.e. objectives, performance indicators, and developmental needs have been discussed between supervisor and staff and Year-End review has been completed (including multi-rater feedback)*
- *Proportion of managers participating in the leadership programme and demonstrating improved managerial and leadership capacity.*
- *Geographical and gender representation.*
- *Time period between issuance of vacancy announcement and selection decision for professional and higher category.*
- *Number of staff rotated into new locations/positions under rotation policy.*

Y3 - Managerial and administrative support services necessary for the efficient functioning of the Organization are provided to users in accordance with service-level agreements that emphasize quality and responsiveness.

Examples of Indicators

- *Proportion of services covered by service level agreements*
- *Client satisfaction with the timeliness and accuracy of transactions processed through the Shared Services Center (SSC)*
- *Ratio of SSC staff to total number of employees served*
- *Client satisfaction with the infrastructure and facilities management services provided (including cleanliness, maintenance, and general comfort)*
- *Timeliness of response to requests for procurement actions.*

Annex I – Definition of Key Terms of Results Hierarchy

Global Goals of Members refer to the overarching and interrelated goals that FAO is committed to helping its Members achieve. These goals form the apex of the results hierarchy, cascading down to those aspects for which a contribution is expected from FAO in view of its mandate and sphere of competence and taking into account the outcomes of key global fora, in particular the World Food Summit, and the internationally agreed development goals.

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.

Organizational Results (Outcomes): These represent the products and services which FAO commits itself 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. Organizational results or outcomes will normally be the responsibility of one or a small group of organizational units. Organizational results or outcomes represent the first-order level of results in the causal chain beyond what FAO produces, i.e. requiring up-take and use by primary user groups, and are stated in terms of what it is expected to be the result of the application by these primary users. 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.