

**Considerations for the Development of Strategic Objectives and their Relationship
in the Results-Based Means-Ends Hierarchy (Log Frame)
(WG I Chair's Options Paper – Vic Heard)**

- 1) **Context of the Paper:** At its meeting on 10 April, the Working Group agreed that it would further address the development of Strategic Objectives on the basis of a WG I Chair's paper presenting considerations for the development of strategic objectives and their relationship to results. This discussion would enable the Working Group to better formulate a request to management for the development of its proposals to the CoC-IEE on Strategic Objectives and Priority Themes.

- 2) **Purpose of Strategic Objectives:** It is suggested that the new FAO Strategic Framework – Medium Term Plan Results-Based (means-ends) Hierarchy – in fulfilment of the Organization's Mandate, should be designed to provide:
 - a) a basis for planning and analysis which provides clarity to all (Members, Secretariat and other stakeholders) on benefits the Organization is intending to contribute to the common welfare and how this will be achieved;
 - b) an internal and external communication tool for what FAO is about;
 - c) focus in the Organization for impacts;
 - d) a line of responsibility (who is responsible for achieving what?) and how does it come together; and
 - e) an accountability trail for managers at all levels and for the Governing Bodies whereby the Organization and its individual projects and programmes can be judged against results, rather than activities carried out which may or may not have delivered a benefit, however technically sound and energetically executed.

- 3) **Possible Approach:** The Apex in the Strategic Framework – Hierarchy of Results and Impacts for the Benefit of Member Countries is formed by the three Goals of Member Countries which have been agreed in principle by the Working Group:“
 - a) access of all people at all times to sufficient nutritionally adequate and safe food, ensuring that the number of chronically undernourished people is reduced by half by no later than 2015;
 - b) the continued contribution of sustainable agriculture and rural development, including fisheries and forestry, to economic and social progress and the well-being of all; and
 - c) the conservation, improvement and sustainable utilization of natural resources, including land, water, forest, fisheries and genetic resources for food and agriculture”.

These are, with the exception of Goal a), neither time bound or targeted.

- 4) Strategic Objectives have been defined as the next level below these in the hierarchy and will reflect Members' priorities for the longer-term. They will provide a direction and indicate the main areas for impact with a time horizon of 10-15 years (currently, for example to 2020). Given the dynamic changes ongoing they will however be subject to review every four years in line with the Medium-Term Plan and would normally be reviewed at the start of a Director-General's term of office.

- 5) They will clearly contribute with a direct causal relationship to the achievement of one or more of the three Goals of Member Countries. They also will be expressed in terms of a result to be achieved, with some precision as to time, quantity and quality, with a means of verifying the progress being made. However, these are still results which are achieved primarily by Member Countries and the international community with FAO providing a catalytic contribution to a line of

causality. The question thus arises as to why specify them in targeted terms at all, if achievement or failure is not primarily due to FAO. These are strategic objectives which Members have agreed they wish to achieve with FAO assistance, if progress is not being made, questions arise as to whether the right thing is being done or secondly if the way FAO's catalytic input is being provided is the best one (do efforts need to be increased, redirected or stopped?). Both monitoring a few well chosen indicators and in-depth evaluation are important means of assessment at this level.

6) The level below the Strategic Objectives in the hierarchy is that of "Results". These are the actual Outcomes of what FAO has done. They are not under FAO's control but are the direct use which should be made by Member Countries and the International Community of what FAO does. At this level there need to be clear targets, timelines and means of verifying if the results are being achieved. It is at this level that the internal results-based framework must be at its strongest and it is envisaged that there should be considerably less Results than the present number of Programme Entities, providing more concentration and coherence in the Programme.

7) Benefits at the Strategic Objective level are basically of two types:

- a) **Sectoral benefits** (e.g : Forests and trees provide an increased contribution to improved immediate and longer-term benefits to people, particularly through:
 - i) provision of income, food, fuel and grazing– with particular attention to the needs of marginal forest populations and the rural poor;
 - ii) climate mitigation through carbon sequestration and renewable energy;
 - iii) water and land conservation for agriculture and urban use; and
 - iv) flood and sea damage prevention for the direct saving of human life and the preservation of livelihoods).
- b) **Cross-cutting institutional benefits:** (e.g. The institutional capacity of Member Countries to deliver benefits to their people's, with respect to agriculture, strengthened or e.g. Strengthened Global Governance Framework for policy coherence and international instruments in the fields of agriculture, forestry and fisheries).

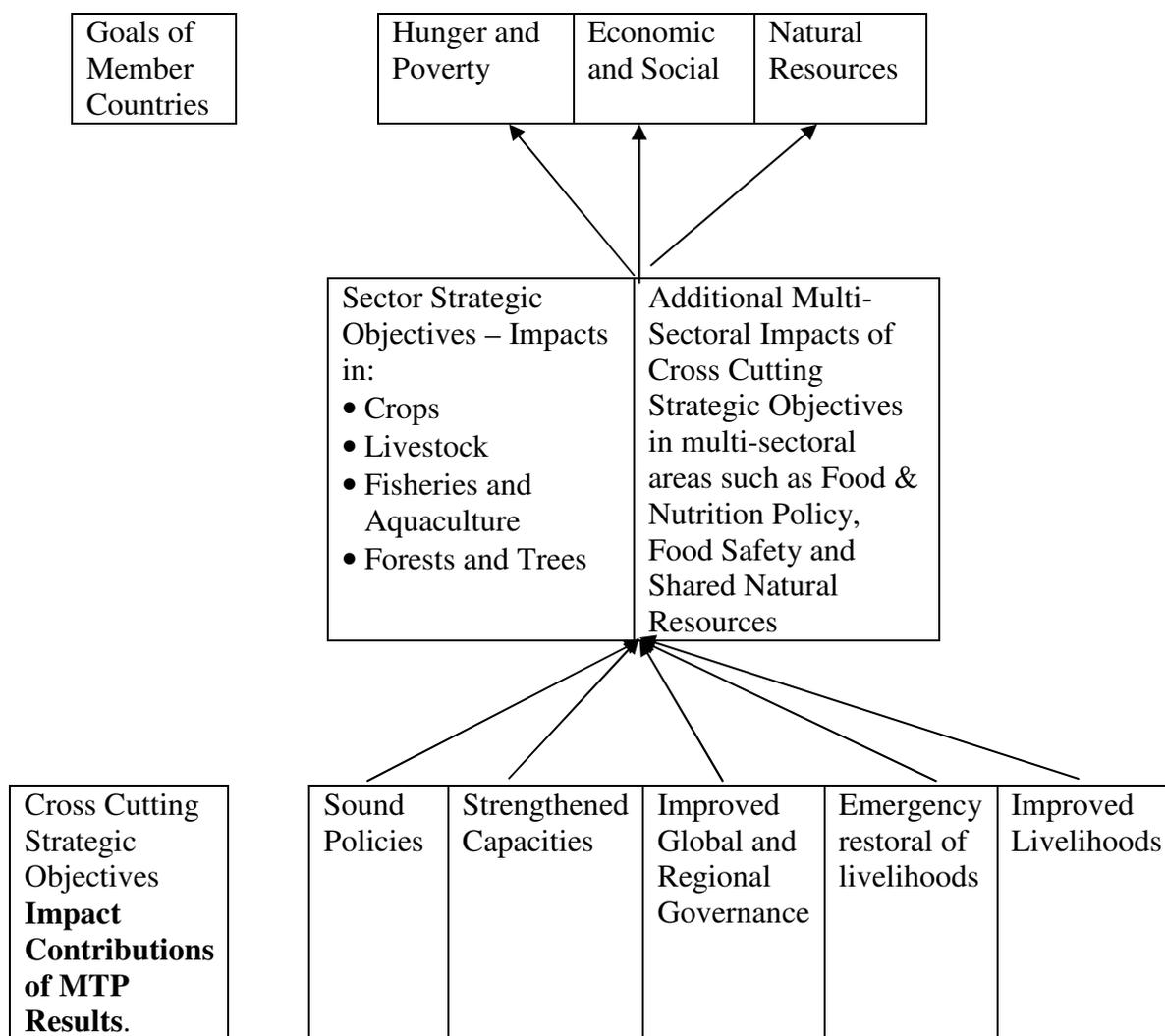
8) Other cross- cutting areas of Concern: There are also cross-cutting areas of concern which could and should be formulated as Objectives which inform all the Strategic Objectives but are not at the level of strategic objectives as being a single area of focus. These include areas such as gender and rights of children and the aged.

9) Internal Effectiveness Objectives: A final but different important category of objectives are not at the strategic level and do not feed directly into the Goals of Member Nations. These are objectives which concern improvement of FAO's own capacity and ways of working in order to deliver on "Results" and thus strategic objectives. They concern such areas as: strengthened partnerships, greater inter-disciplinarity and the integrated management of knowledge to assure its availability to users.

10) In order to satisfy the criteria in paragraph 2) with respect to focus, Strategic Objectives must be limited in number (the 1999 Strategic Framework had 12). They must also provide a line of accountability and responsibility. *Form follows Function*. Strategic objectives thus have a strong relation to the Organizational structure as emphasised by the management and Members. This was clearly important to the IEE which, in its suggestions for an Organizational Model, retained a sectoral technical structure while building in mechanisms for matrix working across organizational boundaries and also clearly defined responsibilities for Capacity Building; Knowledge Management; Development Policy; and for Communications and advocacy.

11) Given FAO’s constituency of stakeholders and the structure of its technical committees, it is difficult to justify or envisage a structure of strategic objectives which does not reflect the Organization’s sectors and allow Members to see what FAO is doing in for example Forestry, indeed this may be one of the reasons for the lack of practical application of the 1999 Strategic Framework. The sectoral structure will remain a primary focus of how FAO delivers its benefits. What could emerge are thus strategic objectives which reflect both the sectors and cross-sectoral objectives. This would then imply a structure along the following lines, which would result in a total of about ten strategic Objectives (four sectors or five if the cross-cutting area food were to be taken as a sector) plus the eventually agreed cross-cutting strategic objectives.

12) It should be noted that in this structure, although sectoral strategic objectives have been portrayed as being above cross-cutting strategic objectives for clarity, they are actually on the same level in the hierarchy. The sum of all the sector capacity building will contribute to the strategic objective for capacity building in just the same way as much of the work under the cross-cutting strategic objectives will contribute to the sector strategic objectives.



13) **Relationship of the Strategic Objectives to Priority Themes:** The strategic objectives have been envisaged with a time horizon of 10-15 years, providing overall direction. The priority themes will provide a focus within this, contributing to the Strategic Objectives, and as previously discussed in the Working Group:

- a) Act as “Flagships” providing a communication and advocacy tool on high profile work, enabling the Organization to better attract extra-budgetary resources to complement the Regular Programme resources;
- b) Facilitate less rigidly tied and pooled funding of extra-budgetary resources, as well as facilitating Governing Body oversight of the use of those resources in line with agreed priorities;
- c) Often be on cross-cutting topics but this would not exclusively be the case, for example the topic of livelihoods is cross-cutting but the code of conduct for responsible fisheries concerns a specific area;
- d) Be limited in number in order to achieve their objective as a tool for focusing, mobilising and communicating the use of resources, though the guidance from the IEE recommendation of six Themes may be too restrictive and some extra-budgetary resources would also be mobilised for other purposes; and
- e) Be of limited duration in line with Medium-Term Plan, but could be renewed or modified and would have clear targets and indicators.

14) They will thus bring together groups of results to impact in a shorter time-frame in high priority areas for the immediate future, such as currently:

- a) climate change;
- b) commodity prices;
- c) addressing national hunger and food insecurity;
- d) water for agriculture;
- e) upgrading the data base for decision making, including statistics; and
- f) boosting investment.

15) **Possible Cross-Cutting Strategic Objectives:** The definition of sectoral objectives could be proposed by the lead departments in the light of the discussion of the Strategy Notes. Examples of possible cross-sectoral Strategic Objectives, emerging from the discussions in the WG to date and the IEE are indicated below. Possible “Results” for elaboration in the Medium-Term Plan by Strategic Objective have been provided by way of illustration. Care has been taken not to repeat sectoral strategic objectives or to repeat the three Goals of Member Countries which appear at the apex. Nevertheless, the possible Strategic Objectives illustrated below are not mutually exclusive and contain substantial overlaps.

16) In areas of FAO’s mandate and with respect to the agreed three Goals of Member Countries, with particular focus on the poor and hungry:

- a) Enhanced institutional capacity of Member Countries, Regional and Global Institutions to deliver benefits to their people’s, with respect to agriculture, including possible MTP results for capacities in:
 - i) establishing the enabling policy and legislative frameworks;
 - ii) ensuring access to knowledge for production and all aspects of value addition and marketing, including research, extension and training;
 - iii) ensuring the essential infrastructure and institutions for access to the means of production, markets, etc.;
 - iv) equitable and dynamic domestic and international trade;
 - v) protection of consumers;
 - vi) enforcing legislation;
 - vii) equitable and sustainable use of the natural resource base;
 - viii) data and statistics; and

- ix) plant and animal health.
- b) Strengthened and improved policies and legislation for the benefit of peoples at national, regional and global levels, including possible MTP results for:
- i) increased investment and finance;
 - ii) improved tenure and access to natural resource use
 - iii) food and nutrition;
 - iv) protection of the poor and malnourished;
 - v) institutions;
 - vi) infrastructure;
 - vii) domestic and international trade;
 - viii) protection of consumers; and
 - ix) plant and animal health.
- c) For the hungry and malnourished, for rural and other agriculturally dependent people - Strengthened and improved global, regional and sub-regional identification of emerging issues, advocacy on those issues, policy coherence and legislative instruments, including possible MTP results for:
- i) tenure, access to and use of natural resources, including fisheries and shared water resources;
 - ii) food surveillance and availability;
 - iii) climate change and agriculture;
 - iv) emergency response;
 - v) international trade;
 - vi) protection of consumers and food standards;
 - vii) genetic resources; and
 - viii) plant and animal health.
- d) Improved livelihoods for the poor and malnourished, especially in LDCs, including possible MTP Results for:
- i) Increased food production;
 - ii) Job creation and income generation on farm, in fisheries and forests and in related agri-business;
 - iii) Affordable food prices; and
 - iv) Established food safety nets.
- e) Strengthened and improved prevention, preparedness and rehabilitation response to food, agricultural and rural emergencies in order to protect, restore and if possible enhance livelihoods of victims and those at risk of emergencies, including possible MTP Results for:
- i) food early warning;
 - ii) plant and livestock pest and disease surveillance;
 - iii) emergency preparedness planning
 - iv) national capacities for emergency response
 - v) coordinated and sufficient response to livelihood restoration in agriculture
 - vi) coordinated and sufficient response to plant and livestock pests and diseases