Guide to the Formulation of the

COUNTRY PROGRAMMING FRAMEWORK (CPF)

22 July 2015

CONTENTS

ABBREVIATIONS

ADG/RR	Assistant Director-General/ Regional Representative
BH	Budget Holders
CPF	Country Programming Framework
CTA	Corporate Technical Areas
FAOR	FAO Representative
MAW	Major Areas of Work
MTP	Medium-Term Plan
MTR	Mid-Term Review
OED	Office of Evaluation
OSP	Office of Strategy, Planning and Resources Management
PIR	Programme Implementation Report
PWB	Programme of Work and Budget
RI	Regional Initiatives
RO	Regional Office
SDGs	Sustainable Development Goals
SO	Strategic Objectives
SOC	Strategic Objective Coordinator
SRC	Subregional Coordinator
SRO	Subregional Office
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework

I.   INTRODUCTION

The purpose of this Guide is to provide a practical step-by-step approach for the preparation of the Country Programming Framework (CPF). The guide emphasizes the results-based approach and that country programming is a corporate effort. The strategic thinking taking place during the preparation of the CPF should increase the results orientation and visibility of FAO's work at the country level.

What's new?

FAO's country programming process has evolved over the past ten years, including assessments and adjustments arising from the 2010 evaluation of country programming. The experience since 2012 provides the opportunity to address five process-related issues:

1. Streamline and simplify the CPF formulation process and documentation, allowing for revision or reformulation of CPF as and when needed.
2. Integrate planned Country results with FAO Regional Priorities and Strategic Objectives.
3. Reinforce the responsibility and capacity of FAO's decentralized offices for CPF formulation.
4. Drive country-level resource mobilization and partnerships.
5. Link CPF implementation, monitoring and reporting to existing corporate processes, including streamlined FAOR reporting.

Responsibilities of main actors

The **FAO Representative** (FAOR) is responsible for FAO's response to national priorities at the country level and therefore has the lead and oversight responsibility for the CPF formulation, mobilization of resources and partnerships, implementation and delivery of results, monitoring and reporting. Specifically, the FAOR leads the dialogue with government representatives, national stakeholders, international partners and relevant FAO units, in order to ensure: i) that FAO's support to the country is the result of an inclusive and coordinated corporate effort; ii) that FAO's assistance to the country is relevant, coherent and focused, and the results feasible to achieve given FAO's delivery capacity and resource mobilization potential. The FAOR contacts the CPF Regional Focal Point for support.

The **Subregional Coordinator** (SRC) assures the support for the preparation and implementation of the CPFs in the subregion. Specifically, during the CPF formulation process, the SRC may have the delegated responsibility from the ADG/RR to activate and coordinate support by the relevant SO focal points and technical officers as required by the FAOR, and assists in the identification of potential resource partners' opportunities. During the CPF quality review, the SRC coordinates the multi-disciplinary technical review within the respective subregional office. In this role, the SRC is supported by the Subregional or Regional CPF focal point.

The **Regional Representative** (ADG/RR) is responsible for FAO's response to Regional Priorities and assures the support for CPF formulation and implementation as well as the related resource mobilization in countries in the region in close collaboration with Subregional Coordinators. During the CPF formulation process, the ADG/RR, with the support of the Regional CPF focal point, activates and coordinates support by the relevant SO focal points and technical officers as required by the FAOR. He/she also conducts and coordinates the CPF quality review process, ensuring the

involvement of all relevant actors during the review process, including SO focal points, TCP Regional Officers, Regional Field Programme Officers, and Resource Mobilization, South-South Cooperation and Partnerships Officers. The ADG/RR provides the final FAO clearance of the CPF document, referring to OSP only those that may require prior corporate guidance. Regional Offices are responsible for building capacity in country offices on formulation, implementation, monitoring and reporting of CPFs. For any support or needed guidance, the regional office should contact OSP (country-level-reporting@fao.org).

The **Office of Strategy, Planning and Resources Management (OSP)** is responsible for providing (i) corporate policy and guidance for CPF formulation, monitoring and reporting, including guidance on its integration with the corporate results framework and the UN programming approaches, and overall monitoring of the CPF process, governed by the CPMB; and (ii) support to Regional Offices on building capacity in the FAO country offices in their region on formulation, monitoring and reporting of CPFs.

The **South-South Cooperation and Resource Mobilization Division (TCS)** supports CPF implementation through (i) corporate policy and guidance regarding project cycle management for project formulation, implementation, appraisal and reporting, (ii) resource mobilization, South-South and Triangular Cooperation, and (iii) capacity building for project formulation and implementation.

What is a CPF?

The Country Programming Framework (CPF) defines the **development prioritie**s for collaboration between FAO and a Member country, **the outputs** to be achieved contributing to national priorities, regional priorities and corporate results, and **the resources and partnerships** required. The CPFs must also include the provision of emergency relief interventions when needed, but carefully linked to a longer-term view of development.

The CPF formulation is co-led by the FAO Country Office and the national counterpart designated by the government.

Countries are now the most important contributors to the Organization's corporate results, linking to UN System development efforts and with a clear relationship to national priorities. The CPF reflects FAO's contribution to UN country-led processes. The CPF thus should be aligned to the UNDAF or its equivalent (One Programme or Integrated Strategic Framework in mission countries) and to the UNDG system-wide guidance and requirements.

The CPF is presented in a succinct formal document, comprising a short (2 to 4 pages) précis on country context and priorities, FAO's contribution and expected results, and the implementation, monitoring and reporting arrangements. Three Annexes will spell out in more detail: i) expected country results directly related to national priorities/outcomes and corporate outputs and indicators, and resource requirements; ii) UN system linkages; iii) the indicative TCP pipeline. The overall document length including the annexes should not exceed 20 pages. The formal CPF document will not include a Country Profile; however, an analysis of the country context will be prepared internally by FAO. In addition, on the basis of the CPF signed document, the FAORs may prepare communication and advocacy materials.

II.   The CPF Cycle

The CPF cycle comprises three main phases:

Phase 1. Formulation and approval

During the formulation phase, the FAOR leads inclusive consultations with the government counterparts and country stakeholders to identify country needs and priorities. He identifies the support needed from sub-regional, regional and headquarters units and defines the most adequate assistance to be provided by FAO as well as the expected results to be achieved in the country. Based on these consultations and analysis, the CPF document and annexes are prepared. Approval entails CPF quality review and clearance by the Regional Office, and submission to the government for endorsement.

Phase 2. Implementation

The CPF is implemented through a mix of of FAO projects funded through voluntary contributions and the TCP, as well as regular programme activities undertaken at country level. CPF implementation should lead to the CPF expected results, in compliance with FAO rules and standards, with adequate flexibility to adapt to country changing circumstances.

Phase 3. Monitoring, reporting, and evaluation

Monitoring is done on a continuous basis by the FAOR and the budget holders of country level activities to regularly review and steer interventions towards the expected results. Reporting will be done at the country level (national government and resource partners), and corporate level (Mid-Term Review and Programme Implementation Report). CPF evaluations will be undertaken by OED for a selected number of countries, to assess FAO's strategic positioning and contributions to development results.

The rest of this guide describes for each phase the main steps and required milestones including how the milestones are to be delivered and who is responsible.

Phase 1. Formulation and approval

The CPF formulation and approval phase consists of 5 main steps as diagrammed below:

Chart 1: CPF formulation process
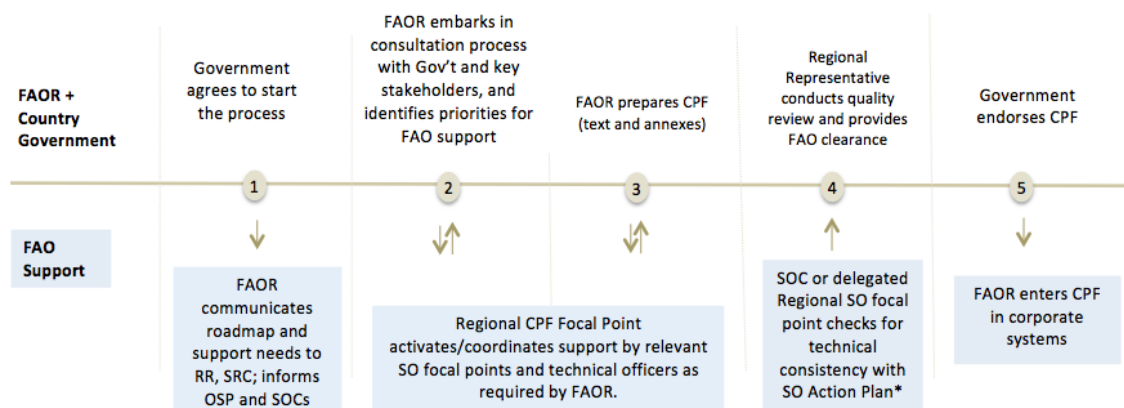
* As per Guidelines for the Implementation of the Strategic Framework (para 31)

The process of CPF formulation is undertaken by the FAOR in close collaboration with government counterparts. The Regional Office coordinates the required support from relevant SO focal points and technical officers throughout the whole process, as deemed necessary by the FAOR and in line with these guidelines. Details of the steps are provided below.

Step 1. Starting - Government agrees to start the process

MILESTONE	HOW ?
1. Agreement by Government and FAO to start the CPF process	a) The **FAOR**[1] informs and sensitizes relevant government counterparts and reaches an agreement to launch the CPF formulation process. Upon government agreement, other national and international partners are informed about the process and their expected involvement. An inception workshop could be an opportunity to start involving relevant stakeholders.
	TIPS: The timeframe of the CPF cycle
	The CPF cycle should preferably be synchronized with the government's planning cycle or that of the UNDAF or its equivalent.
2. Roadmap and support needs communicated internally	a) The **FAOR** A Road Map is prepared (see Template), in consultation with the key Government stakeholders, highlighting the mains steps and milestones, the actors, and a time schedule for the formulation of the CPF.
	b) The **FAOR** sends it to the SRC, ADG/RR and OSP (Country-Level-Reporting@fao.org). OSP informs SOCs.

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[1] In the case of a Non-Resident Agency (NRA) status, the officer designated by the ADG/RR undertakes the lead responsibility. The Assistant FAOR Programme, or Emergency Coordinator, if applicable, may play this role.

MILESTONE	HOW ?
3. Country intelligence collected	a) The **FAOR** updates all relevant country intelligence for an informed dialog with the government. b) **Regional and/or Subregional Offices** provide strategic guidance on Regional Priorities and Strategic Objectives. c) **SOCs** provide the FAOR with an updated country profile based on the Corporate Baseline Assessment information for those countries where the assessment is conducted, within two weeks from receiving the request.
4. Institutional arrangements set up	*In–country institutional set up* The **FAOR** establishes a **Country Core Team**. Its composition is at the discretion of the FAOR and the government. The members may include: i) the FAOR and the Assistant FAOR (Programme); ii) a designated government focal point; iii) technical experts (officers, project staff or consultants) present in the country office; iv) technical officers from the relevant ministries. Excessive reliance on consultants should be avoided, and used only in exceptional circumstances. In case the government sets up a **Steering Committee** to oversee the formulation process that would include all concerned government departments / ministries and non-state actors, the FAOR should be part of it. *FAO country support* The **FAOR** sets up an FAO CPF Country Support Team In support of the implementation of the CPF roadmap. The **Regional or Subregional CPF focal point** identifies relevant SO Focal Points and technical officers from the Subregional / Regional Office or Headquarters to be part of the Team.

Step 2. Setting Priorities - the FAOR embarks on consultative process with government and other key stakeholders, and identifies priorities for FAO support
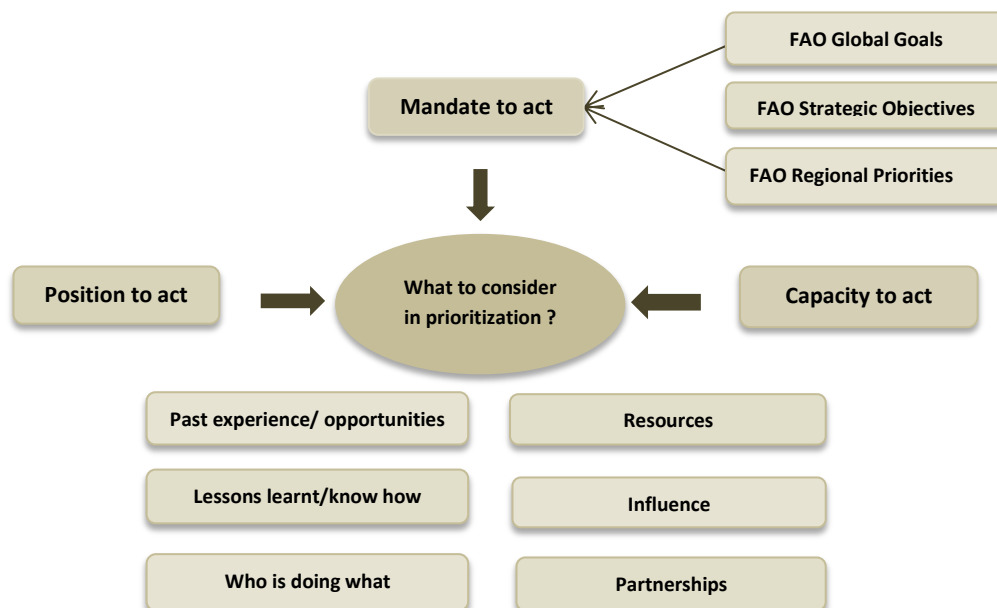
MILESTONE	HOW ?
1. High-level dialogue with relevant Government and other stakeholders on potential areas for FAO's engagement	The **FAOR**, on the basis of the updated Country Profile baseline and other relevant preliminary context analysis (FAO analysis), and with the support of the CPF country support team, engages in dialogue with Government decision-makers (State Secretaries, Ministers) to identify priority areas for FAO-government collaboration. **The FAOR should make sure that all relevant Government stakeholders that have responsibility relevant to FAO's mandate are included in the dialogue.** TIPS **for discussion:** • Present the result of FAO analysis and discuss the perceived needs (issues, gaps) for an enabling environment (e.g. policy, legal, institutions, management framework, monitoring mechanisms in key priority areas, etc.). Specific attention to gender considerations should also be paid, as applicable/ appropriate. • Make reference to key national development objectives, Strategic Objectives agreed upon by FAO's member countries, and Sustainable Development Goals (SDGs) (where adopted by Government).

MILESTONE	HOW ?
	• Enquire or verify which relevant stakeholders/ institutions (government and non-government) FAO should engage with for further consultation. • Reference FAO's role within the UNDAF process and collaboration with other UN agencies in addressing the issues raised by the Government. • Point to relevant FAO experience both in-country and internationally. Explore South-South and Triangular cooperation possibilities. • Discuss prospects to mobilize resources and the potential role of Government (particularly in Middle Income Countries) and other development partners.
2. Priorities for FAO support identified and agreed upon	The **FAOR** in dialogue with key stakeholders identifies priority areas for FAO support. If necessary, he/she is supported by the FAO CPF country support team. Prioritization of potential areas for FAO engagement is a critical step towards ensuring strategic focus at country level. It is conducted during the high-level consultations. The **criteria** for prioritization should preferably emerge from a dialogue with national stakeholders. The following general criteria must also be taken into consideration: - *Mandate to act:* assess if the proposed areas of work are coherent with the findings in the Country Profile, FAO's regional priorities, and other global commitments, such as SDGs; - *Position to act*: assess who is doing what, and focus on adding value to the work of Government and other development partners present/active in the country; assess opportunities; - *Capacity to act*: focus on FAO's core function as a proxy for capacity to act and assess potential for mobilizing resources building strategic partnerships; ensure FAO has the capacity to deliver.

TIPS: **Number of priorities**

Priority Areas should be limited to a **manageable number** based on FAO's delivery capacity. As a general rule, **two to three** priority areas will allow greater strategic focus and better value for money.

Chart 2: Prioritizing FAO's work at country level

Step 3. FAOR prepares CPF (text[2] and annexes)

MILESTONE	HOW ?
The results and resources matrix (see Annex 1) is developed.	The **CPF Country Core Team**, in consultation with national stakeholders, prepares a results and resource requirements matrix containing elements listed under "*Milestone*", once the priority areas have been identified.
Key elements to be defined and linked to each priority area are: • *National outcome (if available) – Indicator (optional)* • *UNDAF priority-outcome (and indicator)* • *FAO Regional Priority title*	*Country outcomes:* The matrix should identify the national level objective that FAO is committed to contribute to for each of the identified priorities: ➢ This *national level objective* could be a country outcome as defined in national strategic documents relevant to FAO mandate (e.g. agricultural sector policy or strategy, food security policy or strategy, etc.). If available, a specific country outcome indicator and target that Government intends to monitor can be included. ➢ Ideally, the *timeframe* of the referenced national strategic document should be related to the country planning cycle to which FAO is aligning its CPF. This will ensure a closer line of sight of FAO's contribution to it, and clearer demonstration of the theory of change that will need to be described in the narrative of the CPF document. *UNDAF outcomes*: If FAO is expected to contribute directly to a specific UNDAF outcome that is relevant for the achievement of the selected country outcome, a reference to this outcome should also be made, along with the relevant indicator and target. *FAO regional priorities*: for each agreed priority or country outcome, specific reference should also be made to FAO regional priorities and their timeframe, as well as to relevant Regional Initiatives, if applicable. Regional priorities and Regional Initiatives are available in the Medium Term Plan 2014-17 (reviewed) and Programme of Work and Budget 2016-17.

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[2] The annotated outline for the preparation of the text portion of the CPF document is provided in Appendix 1. The text, which should not exceed 4 pages, is prepared upon completion of the three annexes.

Milestone	How ?
• Outputs and indicators (including reference to corporate outputs), targets and year of achievement	The **CPF Country Core Team** in consultation with national stakeholders, relevant **Technical Officers** and **SO focal points** prepare output / indicator statements.
	The outputs are the results that are fully attributable to FAO at national level. They are the tangible delivery of FAO interventions, irrespective of source of funding, addressing specific gaps identified during the priority setting step. Therefore, they directly contribute to the selected country and/ or UNDAF outcomes.
	The output statement must express the expected products or services to be delivered by FAO and the type of expected changes that will occur. Outputs should be defined taking into consideration the SO approaches. Attention to gender considerations should be paid.
	Once the output is defined, the FAOR, in close collaboration with regional SO focal points, identifies the corporate output indicator(s) that will allow to measure progress and report against.
	The outputs are measured through one or more **corporate indicators** and related targets, and FAO is **fully accountable** for them. Hence, the FAOR will identify a specific output indicator or may define a single statement that clearly expresses the nature of the target to be reached: that target may be related to any one element of the related corporate indicator such as the elements of measure or qualifiers.
	For each output included in the matrix, a **target value** and **year of achievement** should be indicated, i.e. the value of the output and when it will be fully delivered as measured by the indicator identified. See examples on how to formulate output statements and targets for CPF.

TIPS: Corporate output indicators

FAO corporate output indicators are aggregate indicators. CPF outputs contribute to the achievement of corporate outputs as measured by corporate indicators. The CPF formulator should refer to the document An Overview of output indicators, which explains the meaning of corporate indicators at country level. For each CPF output, he/she should select the most relevant corporate output indicator to which the CPF output will contribute. He/she will then include the reference of the corporate output indicator in the results matrix.

MILESTONE	HOW ?
• Estimated resource requirements (total, available, and resource mobilization target) (See Template for the Results and Resource Requirements Matrix)	The **FAOR**, in consultation with the relevant **Technical Officers**, **RO/SRO Field Programme and Monitoring Officer** and **TCP Officer**, estimates the resource requirements to implement the CPF (included in Annex 1). *Resource requirements* An estimate value of the resources needed to implement the CPF should be defined for the entire CPF cycle, along with the information related to the existing and potential funding modalities. This information represents a critical factor in determining the *CPF's financial feasibility.* **Total resource requirements** for the achievement of CPF outputs are defined on the basis of ongoing available resources and potential resources to be mobilized. Due consideration should also be given to the resources required for carrying M&E activities throughout the CPF implementation process. **Available resources** are the available budgets of all operationally active national projects and other activities at the starting year of the CPF, if relevant to the achievement of the output. Information on regional, inter-regional and global projects/ programmes/ other activities with country level components should also be considered, if the budget information is available. **The resource mobilization (RM) target** is defined as the difference between the total resources estimated and the resources already available. For the purpose of resource mobilization, it is necessary to indicate the split between *voluntary contributions (Trust Funds)* and *core contributions (TCP)*. This will facilitate an understanding of how the country provisory TCP allocations will be used and in which areas voluntary contributions need to be mobilized. *South-South and Triangular cooperation* should be indicated as a complementary means to achieving results, such as through the sharing of experiences and knowledge, training, and technology transfer as an in-kind contribution. In particular, Middle Income Countries should be engaged for potential partnership for mobilizing resources and South-South cooperation. In the matrix this aspect should be captured in terms of the amount of the resources needed, even if the actual contribution comes, for instance, in the form of shared expertise. It is also important to provide ***realistic values*** of the total resource requirements, and specifically of the RM target, taking into account FAO's recent trends of approval over the previous two years, and of experience with previous CPF related resource mobilization targets.

MILESTONE	HOW ?
2. TCP indicative pipeline - Potential areas for TCP support (see Template, Annex 3)	The **FAOR**, in consultation with the relevant **Technical Officers** (potential LTOs), the **TCP Officer** (RO) prepares the TCP indicative pipeline Annex. This Annex includes two main elements: (i) *an indicative TCP pipeline* (compulsory), highlighting those CPF outputs that will be in full or in part implemented through the use of TCP resources, with the exclusion of emergency projects; and (ii) *TCP general provisions*, should this be acceptable at national level.[3] Key principles related to the formulation of this annex and implications are noted below. The TCP indicative pipeline is not to be considered a firm commitment in terms of the amount of funding, but rather as an indication of the nature of the required technical assistance and indicative range of required resources. While the government signature of the CPF may substitute the requirement for a specific government request for each intervention, the inclusion of the TCP general provisions also provides an opportunity to initiate project implementation without a formal counter *signature by the Government*, should that procedure be acceptable at national level. However, it is always advisable to confirm with the government the validity of any TCP proposal so as to ensure full ownership. Also, when developing the project proposals included in the TCP indicative pipeline, an agreement with the respective government counterpart on the project results, related activities, implementation, monitoring and reporting arrangements, must be ensured.
3. The UN system linkages (Annex 2)	The **FAOR**, in consultation (if needed) with UNCT, prepares the Annex. It serves to explain FAO's positioning with the UN-system. Specifically, (i) it notes the type of UN programming framework in use in the country (e.g. Delivery as ONE /One UN programme, UNDAF, transition strategy), its programming cycle timeframe (makes specific reference to any difference in the CPF and UNDAF timeline); (ii) it highlights the nature of FAO's involvement in the preparation of this framework (e.g. through CCA/ UNDAF); (iii) it describes the role of FAO in its implementation as a contributing Agency to specific UNDAF results, and as a lead agency (where applicable); (iv) it describes how FAO contributes to UN Common Budgetary Framework (CBF) and the role in the joint resource mobilization strategy; and (v) it highlights M&E arrangements with specific reference to FAO's roles and responsibilities.

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[3] Please refer to the TCP Manual for the standard text related to General Provisions. In the case where the General Provisions are not included in the CPF Annex, they must be included in the TCP project document signed by the government.

Step 4. Regional Representative conducts quality review and provides FAO clearance

MILESTONE	HOW ?
1. Quality Review, which ensures that the CPF meets the quality standards set by the CPF guide, in terms of process and content.	a) The **FAOR** submits the draft CPF document to the CPF Focal Point in the Regional Office with copy to *OSP (country-level-reporting@fao.org).* b) The **CPF focal point** in the Regional Office coordinates the CPF review. For that purpose, he/she sends the QA check list to be filled in by the respective reviewers, as described in the checklist. (**See Appendix 2 - Quality review checklist)** c) The **Regional Office** consolidates inputs and sends the completed QA checklist back to the FAOR, who revises the CPF as required. This may need another round of consultations and negotiations with the government counterparts to ensure their agreement with any significant changes.
2. Endorsement by FAO Regional Office	a) The **FAOR** resubmits the revised CPF to the regional CPF focal point. b) The **CPF Regional Focal Point** verifies that all relevant suggestions have been taken into account. c) The **ADG RR** endorses the CPF document.

Step 5. Government endorses CPF

MILESTONE	HOW ?
1. Government endorsement[4]	a) The **FAOR** submits the CPF document to the government for final endorsement. Depending on the institutional arrangements agreed with the government, formal acknowledgment may be obtained either (i) through the signature of the CPF document or (ii) through an "*exchange of letters*" between the government and the FAOR.[5] b) The CPF should preferably be endorsed by a Ministry or agency that will take responsibility on behalf of the entire government, e.g. the Ministries of Finance, Planning or Foreign Affairs. Alternatively, endorsement can be obtained by the respective key line ministry/ministries.
2. CPF is entered in FAO corporate system	a) The **FAOR** sends the CPF document signed by the government to the ADG/RR, SRC, OSD, TC and OSP *(country-level-reporting@fao.org)*. b) **OSP** uploads the CPF document in FAO corporate system.

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[4] In the case of complex emergencies, when FAO is addressing sensitive humanitarian issues involving beneficiaries that are not under the control of the government, government approval may not be required in order to maintain the operational independence of the Organization in line with the *Humanitarian Principles*.

[5] Exchange of letters may be particularly applicable for Delivery as One countries or self-starters, when the signature is obtained through UNDAF/One Plan.

Phase 2: Implementation

Implementation of the CPF is done through all FAO interventions at country level, irrespective of the location of the Budget Holder or funding source[6]. Key implementation principles are listed below.

PRINCIPLES	HOW ?
1. Managing for results (MfR)	The CPF represents the principal management tool at country level and defines how the corporate level results are to be achieved at the country level. Projects and other types of interventions supporting country results should address priorities defined in the CPF and specifically be designed in such a way as to contribute to achieving outputs and related output indicators targets.
2. Leadership and oversight	The **FAOR**, as Delivery Manager, has overall responsibility and oversight for the delivery of FAO's programme at the country level. In that regard, FAOR's input and guidance is required to ensure alignment of **all** activities to achieve CPF outputs.
	The **FAOR** leads the request for changes in the CPF or activities to be implemented at country level. The CPF Country Support Team will provide support to the FAOR. Budget Holders and Delivery Managers operating in the country will work under the overall coordination of the FAOR.
	The **FAOR** also coordinates the execution of the Regional Initiative country level work, ensures its coherence with the CPF results, manages resources, monitors delivery and reports contributions to both the government and the corporate output indicators.
3. Accountability	**Budget Holders** (including the FAOR) are accountable for the delivery of the work and for the execution according to plans, as well as for reporting on results and raising any issues hindering implementation. Under the new Strategic Framework[7], FAORs are the Delivery Managers of the CPFs[8].
	The **Delivery Managers**, together with the **Budget Holders** are accountable for the performance of the main units of work of the Organization, as per the FAO accountability policy (FAO accountability policy, 2014). As such, the **FAOR** is responsible and accountable for the delivery of the CPF, including the components delivered through the RIs, the CTAs and MAWs.
4. Flexibility	It is recognized that the needs and development context of countries evolve and, as such, FAO should be able to adapt its support accordingly. There are several situations which may lead to the reorientation of the CPF: (i) significant change in the policy and programmatic environment at country level, (ii) emerging priorities due to unexpected crises, (iii) DG commitments following political decisions at national level; iv) global commitments undersigned by the country.
	In such cases, the **FAOR** should inform the Regional Office, OSP and ODG about the extent of the changes to be undertaken, and send a roadmap for the CPF revision. Depending on the scope of the revision, the CPF may need to go through the quality review process and endorsement. The revised CPF document is transmitted for information to the ADG/RR, SRC, OSD, TC, and OSP *(country-level-reporting@fao.org).*

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[6] Projects funded through voluntary contributions projects, which could be national projects, sub regional, regional and global projects that have components at country level; TCP projects; work undertaken using Regular Programme resources.

[7] See *Guidelines for the Implementation of the new Strategic Framework*

[8] Other roles include Delivery Managers of the Regional Initiatives (RIs), Core Technical Areas (CTAs) and Major Areas of Work (MAWs).

Phase 3: Monitoring, reporting and evaluation

CPF monitoring and reporting have two main purposes: (i) Providing information to internal and external stakeholders regarding the progress or fulfilment of the CPF results and lessons learned for future work; (ii) Allowing the different stakeholders involved in the implementation of activities and delivery of results at country level to regularly review and steer the interventions, as well as to reformulate the strategies to achieve the expected results.

WHAT ?	HOW ?
1. Monitoring	Monitoring is done on a continuous basis by the **Budget Holders** of projects and regular program activities implemented at country level, irrespective of their location. The **FAOR** ensures that all activities effectively contribute to CPF results.
2. Data recording and review	**By mid-December each year**, information on progress made to achieve the CPF outputs should be recorded in the FPMIS country outputs monitoring page *(*See: *A user's guide to FPMIS Country Monitoring module).* Reporting in FPMIS will be done against corporate output indicators, according to the methodologies developed by each SOC. The **FAOR** reviews the information provided on output indicators, which is then validated by the SOCs. All reported data is published in the FAO Results Dashboard, but only results that have been validated can be used for reporting.
3. Reporting	Based on the validated results, the **FAOR** reports at two levels: (i) *country level,* through the Country annual report (**due 31 January each year**), that provides information to FAO stakeholders (government, resource partners) and FAO management at all levels, and (ii) *corporate level,* MTR and PIR which provide information to governing bodies and form the basis for corporate reporting and external communication on country results. **Only validated results can be communicated externally.**
FAO country annual reports	**FAO country annual reports** represent the main reporting tool at country level including two components, the programmatic component and that related to office management and relations with key in-country stakeholders. The **FAOR** prepares the country annual report in close consultation with the relevant government and other stakeholders. In some countries, accountability workshops are being organized to discuss the results. As part of the programmatic component, the **FAOR** needs to document progress in achieving the CPF output targets (using the information validated in the FAO Results Dashboard), highlight lessons learnt and best practices; report on progress in achieving the Resource Mobilization target (using the information from FPMIS); and provide an assessment of the opportunities and challenges that are likely to influence/ reorient programme of work in the country. For detailed information about the content and preparation steps see: *Guidelines for the preparation of FAO country annual report*.[9]
The MTR and PIR	**OSP** prepares the Mid-Term Review Synthesis Report (MTR) and Programme Implementation Report (PIR) using, among other sources, the information provided by the FAOR in the FPMIS country page, as validated by the SOCs.
4. Evaluation	The Office of Evaluation (OED), complementary to the self-assessment conducted by the FAOR, undertakes every year between 8-10 country programme evaluations to assess FAO's strategic positioning and contributions to development results. These evaluations are generally undertaken at the end of the CPF cycle to inform the development of the new CPF. The FAORs are encouraged to consult with OED on matters regarding CPF evaluation.

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[9] The Guidelines are being updated to reflect changes in the CPF.

TIPS: USE of CPF monitoring data

The data collected and reported in the country annual reports serve different purposes:

- It informs management and the country counterparts on the progress made against the planned CPF outputs and form the basis of FAO accountability at country level.
- Based on the analysis between actual versus planned achievements, it provides recommendations to improve FAO prospects for achieving results.
- It provides information to other delivery managers such as the RI and MAW delivery managers on their contribution to specific country level results.
- It informs external stakeholders such as the governing bodies and the external public on achievements of FAO in a specific country. It forms the basis for external communication as well as resources mobilization.

APPENDIX 1. CPF Template and annexes

[Insert name of country]
FAO Country Programming Framework[10]
[*year*] to [*year*]

Introduction

1.   This Country Programming Framework (CPF) sets out [*insert the numbe*r] government priority areas to guide FAO partnership and support with the Government of [*insert the country*] – bringing together innovative international best practices and global standards with national and regional expertise during [*insert number of years*] from [*year*] to [*year*].

2.   The CPF was prepared following consultation and agreement with *[insert main partner's institutions e.g. Ministry/ies, including reference to non-state actors and civil society stakeholders as relevant].*

I. Country context and priorities

3.   [Briefly present the main national development and sector strategies and policies in the areas of FAOs mandate, outlining their timeframe, priorities, and key national objectives and targets.]

4.   [Briefly make reference to relevant regional priorities identified by FAO's Regional Conference, including Regional Initiatives, when applicable.]

II. FAO's contribution and expected results

5.   [*List the government priority areas that FAO will address, explain the rationale in brief for their selection and contribution to UNDAF Priorities.*]

6.   [*For each of the government priority areas that FAO will address describe the main issues, gaps, and anticipated results of FAO interventions, including related gender considerations. Outline synergies with other partners.]*

III. Implementation, monitoring and reporting arrangements

7.   [*Indicate total resource requirements for the CPF implementation (available and to be mobilized), existing sources of funding and/or partnerships (including SSC) as well as an indication of how the resources will be mobilized].*

8.   [*Include specific partnerships if relevant*] The CPF will be pursued in partnerships as broad as possible and in alignment with the joint efforts of the Government of [*country*] and the development partners for enhanced coordination and aid effectiveness. The Government of [*country*] and FAO look forward to seeking collaboration and support from all concerned partners for the successful implementation of the CPF.

9.   [B*riefly describe institutional arrangements for monitoring of the CPF implementation; specify if Country Programme Evaluation is foreseen by OED]*

10.   Major changes in country circumstances [or context] can be addressed by a CPF revision as and when needed.

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[10] The CPF document, including annexes is not to exceed 20 pages.

Note that the italicized text is for guidance only and should be deleted during formulation.

The Government[11] of [*country*] [*Name of counterpart institution/s*]	The Food and Agriculture Organization of the United Nations
Name:	Name:
Title:	Title:
Date:	Date:

[end of page]

Annexes:

Annex 1: CPF results and resource requirements matrix

Annex 2: UN-system linkage (explicit reference and linkage to the wider UN-system developmental context within the country)

Annex 3: TCP indicative pipeline -- potential areas of support

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Country profile baseline (Internal - Prepared on request from FAOR)

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[11] *The CPF is to be signed by the relevant government counterpart institution/s and the FAOR. Alternatively, in some country cases, the acknowledgement of Government endorsement noted in the text will suffice.*

Annex 1: CPF Results and Resource Requirements for [year] to [year]

Government priority 1 (or Country outcome 1): <insert statement>

Country Outcome 1: <*Insert title of specific national indicator to which FAO will contribute, as available in the national development/ sector plan or programme*> *(optional)*

Related UNDAF Outcome: <*Insert title and specific indicator to which FAO will contribute*> *(if applicable)*

Regional Priority: <*Insert title to which CPF will contribute*>

Output and indicator	Indicator target and year of achievement	Indicative Resource Requirements (USD)[12]					Implementing partners (Government actors and other)
		Total estimated resources required[13]	Available funding	Resource mobilization target			
				Voluntary (Including UTF)	SSC or other Partnerships	TCP	
Output 1.1: <*Insert statement describing the country specific output to be delivered, based on the corporate output indicator to which it contributes*> [*Insert code of the corporate output indicator to which the CPF output will contribute to*[14]]							
Output 1.2: <*Insert statement describing the country specific output to be delivered, based on the corporate output indicator to which it contributes*> [*Insert code of the corporate output indicator to which the CPF output will contribute to*]							
Total resource requirements for FAO's contribution to government priority 1							

Additional considerations on FAO's assistance: <*Provide a high level assessment of potential risks and mitigation measures, and any additional information deemed relevant not included in the narrative.*

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[12] An indicative value of the resource requirements should be provided for the entire CPF period.

[13] Total resources required represent the sum of Available funding (remaining budget of the operationally active projects at the start year of the CPF) and the Resource mobilization target (representing an indicative value of the resources needed for the implementation of the planned activities, as advised by the relevant technical officers or the figures already indicated in the project concept notes).

[14] By selecting the code of a corporate output indicator, an output indicator is associated with the CPF results matrix for monitoring and reporting. Non-corporate output level indicators could be added if required (but cannot replace corporate ones), with careful consideration of the implications for the country office in terms of the additional cost and effort needed for monitoring and reporting.

Annex 2: UN-system linkage [max 1 page]

[This annex explains FAOs positioning with the UN-system. Specifically, depending on the specific UN country context, the annex (i) notes the type of UN programming framework in use in the country (e.g. the Delivery as ONE /One UN programme, UNDAF, transition strategy), its programming cycle timeframe (makes specific reference to any difference in the CPF and UNDAF timeline); (ii) highlights nature of FAOs involvement in the preparation of this framework (e.g. through CCA/ UNDAF); (iii) describes the role of FAO in its implementation as a contributing Agency to specific UNDAF results, and as a lead agency (if/ where applicable); (iv) it describes how FAO contributes to UN Common Budgetary Framework (CBF) and the role in the joint resource mobilization strategy; (iv) highlights M&E arrangements with specific reference to FAOs roles and responsibilities.]

Annex 3: TCP Indicative Pipeline

Country	Name					
CPF implementation cycle	Start: Year ▢ Month ▢ *(as relevant)*			End: Year ▢ Month ▢ *(as relevant)*		
Time frame for the Indicative TCP pipeline[15]	Start: Year ▢ Month ▢ *(as relevant)*			End: Year ▢ Month ▢ *(as relevant)*		
Ref.* to CPF priority and output	**TCP contribution to CPF result - Title (TCP and TCP facility)**	**TCP Scope/type of interventions (TCP and TCP facility)**		**Indicative biennium for resource allocation**	**Indicative resource requirements/ range (US$)**	**Implementing Government institution/ partner**
Government priority (or country Outcome) 1: *<Insert statement >*						
Output 1.1: . *<Insert statement >*						
Output 1.2: *<Insert statement >*						
[…]						
Government priority (or country Outcome) 2: *<Insert statement >*						
Output 2.1: *<Insert statement >*						
Output 2.2: *<Insert statement >*						
[…]						
Government priority (or country Outcome) 3: *<Insert statement >*						
Output 3.1: *<Insert statement >*						
Output 3.2: *<Insert statement >*						
[…]						

NOTE: The TCP indicative pipeline matrix should be, if acceptable at national level, accompanied with the standard text on TCP General Provisions available in the TCP manual.

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[15] The timeframe for the TCP indicative pipeline may *coincide fully with the timeframe for the CPF implementation* and be adjusted as part of the annual or mid-term CPF review. It can also be prepared for *shorter periods*, such as on an annual or biennial basis, given the specific country context and/or government requirements.

APPENDIX 2. CPF Quality Review Checklist

This checklist is to be filled by the respective reviewer as indicated. The reviewer should provide comments/recommendations for improvement as well as an indication of the extent to which the review criteria is met in the document: (i) Green (the information is sufficient); (ii) Orange (criteria are only partially met, and additional information/analysis needs to be provided; (iii) Red (the information is missing and needs to be included).

CPF information	
Country:	< To be filled by regional CPF focal point >
CPF Cycle:	< To be filled by regional CPF focal point >

QA checklist	Color Coding	Comments/Recommendations
A. CPF process and format		
Key stakeholders were involved in the formulation process		< To be reviewed by regional CPF focal point >
The CPF document is done according to the CPF Guide (outline and length)		< To be reviewed by regional CPF focal point >
B. RELEVANCE		
Outputs address specific national / sectoral objectives, and are defined at the appropriate/strategic level of intervention		< To be reviewed by relevant SO focal points >
The selected priority areas are consistent with the Regional Priorities		< To be reviewed by regional CPF focal point >
The outputs are consistent with FAO corporate outputs, and their contribution to corporate output indicators is clearly specified and correctly identified		< To be reviewed by SO focal points >
C. FEASIBILITY		
FAO can be fully accountable for the proposed Outputs: a) the Outputs are technically feasible; and b) achievable within the CPF timeframe given the nature of envisaged interventions described in the CPF narrative (ongoing and planned activities) and the TCP indicative pipeline; c) resources are available or are very likely to become available		< To be reviewed by the relevant technical officers >
The proposed Outputs are technically consistent with the SO action plans and the lead SOC is identified for each TCP project proposal included in the TCP pipeline		< To be reviewed by SO regional focal points, in consultation with the SO teams, as required >
The outputs are **S**pecific, **M**easurable, **A**chievable, **R**elevant for the achievement of national and UNDAF outcomes, and **T**ime bound (SMART)		< To be reviewed by regional CPF focal point in consultation with regional M&E officer (if applicable) and relevant SO Focal Point or Technical Officer >
Synergies with other partners, including development partners and non-state actors, in achieving the CPF results are demonstrated		< To be reviewed by regional CPF focal point, with support from Partnership Officer >
Is the required staff capacity leveraged to support the delivery of all outputs.		< To be reviewed by regional CPF focal point, who liaise with CPF Support Team, and RO technical officers, SRO, SO teams if relevant>
Resource mobilization target identified and evidence that it is realistic, given RM past trends and opportunities.		< To be reviewed by Regional Field Programme Officer and Resource Mobilization and Partnership Officer, or focal point (if applicable)>
The TCP indicative pipeline is realistic from the resource and technical point of view.		< To be reviewed by Regional TCP officer and the relevant technical officers>

D. GENERAL AND RISK ASSESSMENT		
Is gender adequately considered and addressed within the CPF process and the document?		< To be reviewed by RO gender focal point >
Are risks properly identified and adequate mitigation strategies foreseen to ensure timely and effective CPF delivery?		< To be reviewed by regional CPF focal point >
Have any potential political sensitivity risks been identified for the project ideas listed in the TCP indicative pipeline − does the project involve activities that would be unusual for FAO, potentially controversial or that could have major repercussions (positive or negative) for other parts of FAO or other partners. *(REMARK: applicable only for projects in the TCP indicative pipeline; the question is used in the Project Cycle - Short Project Proposal review)*		< To be assessed by the ADG/RR >

Signed by: [To be signed by the Regional CPF focal point]

Date: ………………………………………………………….