



منظمة الأغذية  
والزراعة  
للأمم المتحدة

联合国  
粮食及  
农业组织

Food  
and  
Agriculture  
Organization  
of  
the  
United  
Nations

Organisation  
des  
Nations  
Unies  
pour  
l'alimentation  
et  
l'agriculture

Продовольственная и  
сельскохозяйственная  
организация  
Объединенных  
Наций

Organización  
de las  
Naciones  
Unidas  
para la  
Agricultura  
y la  
Alimentación

## COUNCIL

### Hundred and Thirty-sixth Session

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### ELEMENTS FOR THE DRAFT STRATEGIC FRAMEWORK, MEDIUM TERM PLAN 2010-13, AND PROGRAMME OF WORK AND BUDGET 2010-11

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## A. INTRODUCTION

1. As foreseen in the Immediate Plan of Action for FAO Renewal (IPA) endorsed by the 35<sup>th</sup> (special) session of the FAO Conference, the Programme and Finance Committees and the Council are to consider the new Strategic Framework and proposals in the Medium Term Plan 2010-13 (MTP) and Programme of Work and Budget 2010-11 (PWB) prior to approval by the 36<sup>th</sup> session of the FAO Conference in November 2009 (IPA actions 3.1 to 3.5).
2. At the same time, the Conference Committee for IEE Follow-up (CoC-IEE) will, *"...without prejudice to the statutory functions of the Council and its standing committees ... recommend to the Conference in 2009 the new Strategic Framework, MTP 2010-13 and PWB 2010-11 proposed by management based on the new integrated results framework."*<sup>1</sup>
3. The sequencing of preparation and discussion of the Strategic Framework, MTP and PWB is, therefore, unusually complex this year. The schedule of CoC-IEE and governing body meetings provides for successive review of documentation by both the CoC-IEE and its Working Groups, and by the Council and its Committees, as shown in *Annex 1*. Management is cognizant of the need to submit documentation in an incremental manner to ensure that value is added at each step of the process.
4. During "Phase 1" (January to June) management is progressively formulating strategic and functional objectives, organizational results (without resources), and indicators; applying the core functions; and developing the features of an organizational structure. Aspects of the draft elements of the Strategic Framework, MTP and PWB have benefited from discussion by CoC-IEE Working Group I and III on 23 March and 16 April, by Working Group III on 23 March (proposed headquarters' structure), by all three Working Groups on 17 April (decentralization), by COFI on 5 March, by COFO on 17 March, and by COAG on 22-24 April.
5. Therefore, the draft elements of the Strategic Framework, MTP and PWB presented in this document are work-in-progress. The Programme and Finance Committees will review aspects falling within their mandates at their meetings of 11-15 May, and the Council will consider the draft elements, together with the comments of its standing Committees (including the Technical Committees), at its 136<sup>th</sup> Session of 15-19 June.
6. In the meantime, the Secretariat will continue to refine the draft elements, some of which will be discussed by the CoC-IEE Working Groups on 3-4 June, in particular the draft headquarters' structure, after the finalisation of this document.
7. During "Phase II" (April to July), the Secretariat is preparing the draft MTP and PWB documents including the resources dimension, taking into account guidance from the CoC-IEE and the Council, for review in late July by the CoC-IEE and the Programme and Finance Committees. During "Phase III", the Secretariat will produce by end-August the final draft documentation for review by the CoC-IEE and Council in September, and approval by Conference in November based on the recommendations of these two bodies.
8. It is envisaged that the final draft form of the Strategic Framework on the one hand, and the MTP/PWB proposals on the other, would be presented in two physically separate documents to avoid repetition and provide a complete picture, in line with the IPA action 3.1.

## B. ELEMENTS OF THE STRATEGIC FRAMEWORK

9. The final draft Strategic Framework document to be issued for the Sessions of the Committees of July, the Council of September and the Conference in November 2009 will be a

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<sup>1</sup> Conference Resolution 1/2008 operative paragraph 5.

reasonably concise, stand-alone document. The Strategic Framework is an “aspirational” policy statement to guide the work of the Organization over the longer term.

10. This was the approach taken in 1999 when the FAO Strategic Framework 2000-2015 was issued as a separate document from the MTP and PWB. It would mirror the present practice in the World Health Organization, which has a relatively short ten-year strategic document in a format and style suitable for dissemination to the general public, and a more substantial combined four-year plan and two-year budget document presenting the results frameworks and resources.

11. The Strategic Framework would be articulated as follows:

*Introduction*

- I. The challenges facing food, agriculture and rural development*
  - II. Vision for FAO and Global Goals of Members*
  - III. Results-based approach underpinning the Strategic Framework, MTP and PWB*
- Strategic and Functional Objectives*

12. Accordingly, a preview of sections I, II and III is provided below.

*I. The challenges facing food, agriculture and rural development*

**a) Trends affecting food and agriculture**

13. A number of fundamental trends will affect food and agriculture at global, national and local levels in the long-run. Their impacts will most strongly be felt in the developing countries, either because they will be more affected by these changes or because their ability to cope with these challenges is more limited. The impact will be compounded by the unfolding global financial and economic crisis.

14. The main trends and their likely impacts include:

- further, though slower population growth for the world as a whole, but continued high population growth in developing countries, particularly in LDCs;
- rapidly ageing populations in advanced developing countries and dynamic urbanisation in all developing regions. Associated with these changes will be shifts in food production and consumption patterns, including a growing double burden of malnutrition, i.e. the co-existence of undernourishment and over-nutrition;
- increased international trade as well as growing mobility of capital and labour both across borders and within countries;
- along with growing trade, an increased importance of food safety and biosecurity issues, including transboundary pests and diseases;
- growing pressures on natural resources such as land, water and biodiversity, and ensuing potential conflicts;
- increasing demands on agriculture to provide, not only food and feed, but also commodities for energy and other purposes; and
- climate change and consequent increases in the severity and frequency of weather-related impacts on production, with more frequent and severe occurrence of emergencies and disasters.

15. According to current projections (UN 2006), the world’s population is likely to rise from about 6.5 billion in 2005 to nearly 9.2 billion by 2050. The entire increase of 2.7 billion will take place in developing countries, while populations of developed countries and transition economies are projected to shrink.

16. Population growth will also be unevenly distributed across and within developing countries. The highest growth rates are expected for sub-Saharan Africa, whose population is expected to double by 2050. For Asia, by contrast, growth rates are projected to be lower. Growth

rates are expected to be particularly low for East Asia, where population growth could come to a complete halt by 2030 and decline thereafter. Within almost all developing countries, population growth will be concentrated in urban areas. The shift will be so pronounced that urban areas will absorb 3.2 billion people and thus more than the entire global population growth of 2.7 billion, resulting in a massive population shift from rural to urban areas and shrinking rural populations. While this strong urbanisation trend affects almost all countries, its impacts are highly country-specific and can affect hunger and poverty in both positive and negative ways. Negative impacts are expected to be most pronounced in poor countries, where urbanisation can result in a shift from rural to urban poverty, expanding slums and further pressures on social services. In almost all cases, urbanisation is associated with an abandonment of agricultural land and loss of fertile cropland to urban development.

17. The anticipated population shift towards urban areas will have a profound impact on the location of food production and on volumes and composition of international trade and food distribution channels. Alongside this transformation, demand for higher food quality and safety is expected to rise, requiring better and more sustainable production technologies.

18. To feed a population of 9.2 billion people by 2050, food production will have to nearly double over levels attained in 2000 and much of the increase will need to take place in developing countries. For this increase to materialise, new land will have to be brought into cultivation, and competing requirements for land will have to be reconciled. More importantly, productivity of existing agricultural resources (land, water, animal stocks) will need to rise further through intensification and enhanced resource use efficiency. This will require improved know-how and innovative farming methods to produce more food on limited resources in a more sustainable way. To make agricultural production more efficient, investments in agriculture and its upstream and downstream industries are required on a large scale.

19. In addition to the growing resource scarcity, global agriculture will have to cope with the burden of climate change. The Intergovernmental Panel on Climate Change (IPCC) has documented the likely impact on agriculture in great detail. If temperatures rise by more than 2°C, the global food production potential is expected to contract severely and yields of major crops like maize may fall globally. The declines will be particularly pronounced in lower-latitude regions. In Africa, Asia and Latin America, for instance, yields could decline by 20-40 percent. In addition, severe weather occurrences such as droughts and floods are likely to intensify and cause greater crop and livestock losses and forest degradation. These changes require additional investments to enhance adaptive capacities in agriculture and forestry. In addition, agriculture will also be required to adjust its production methods to help mitigate the overall impact of climate change. Mitigation efforts will further raise investment requirements in agriculture, creating an additional burden for developing countries.

20. In terms of agricultural trade flows, import needs of developing countries are likely to rise significantly over the next 50 years. Developing countries' cereal imports, for instance, are projected to nearly treble from just over 100 million tonnes in 2000 to about 300 million tonnes by 2050. For poorer countries with weak agricultural sectors, a rising import dependency could become a serious concern, particularly if import prices return to the high levels seen in 2007 and 2008. On the other hand, higher prices could also afford valuable opportunities to competitive agricultural exporters, however, relatively few developing countries have the physical, financial and human resources to step-up production beyond rising domestic needs and to master the competition with often subsidised farm produce from OECD countries. Alongside the rapid expansion in international trade, a growing threat of new transboundary pests and diseases has emerged. These diseases can pose major challenges to national economies and international trade, and in some cases (zoonoses) to public health, requiring improved control strategies and capacities.

**b) *Some of the major external forces at play***

21. As part of, or in addition to the general trends outlined above, examples of external forces likely to have a bearing on FAO's future work, may be given as follows:

- vulnerability on a global scale to various forms of shocks, e.g. abrupt changes in food prices, movements of people in search of better lives, major dams built upstream of international rivers negatively affecting downstream populations, concentration of food production in vulnerable areas (e.g. deltas), shifting of climate patterns affecting wide regions;
- continued evolution of the state's principal role of providing policy and regulatory frameworks conducive to sustainable development;
- growing number of countries in the middle-income group, and increased reliance on regional and subregional groupings;
- persistence of poverty and inequality – with wide gaps between the affluent and the poor;
- major risks of disaster-related and complex emergencies;
- much increased public awareness of food (safety and quality) and environmental issues, coupled with changing dietary and material consumption patterns;
- global governance mechanisms to address issues common to all countries, such as food security, biodiversity loss (in particular the erosion of genetic resources for food and agriculture), climate change, deforestation, land and water degradation, and disease emergence;
- steady progress in research and technological development, albeit with continued inequality in access to its benefits;
- major impact of information and communications technology on institutions and societies; and
- the role and performance of the UN system.

**c) *Insufficient progress in the implementation of the MDGs***

22. With only a few years remaining in the period against which the Millennium Development Goals (MDGs) were set, progress in achieving hunger and poverty reduction goals has been mixed. Parts of the world are on track for achieving MDG1 (East Asia) or have already met the target (China), but others are at severe risk of failing to cut the prevalence of hunger and poverty by half, as was expected by 2015 (sub-Saharan Africa). Inter-regional differences persist even in countries and regions that are exhibiting overall progress towards achieving MDG1. Moreover, “hidden hunger” caused by deficiency of iron, iodine, zinc and vitamin A in the diet, is widespread.

Lack of progress on the hunger reduction target impedes the attainment of other MDGs, especially poverty reduction. High levels of child and maternal mortality (MDG4 and MDG5 respectively) and low rates of school attendance in developing countries (MDG2) are also intimately linked to the prevalence of hunger and malnutrition and associated poverty. The persistence of hunger and its negative effects on health and productivity of individuals will continue to be a major brake to poverty reduction and contribute to further degradation of the environment. Intensified efforts will be needed to ensure environmental sustainability (MDG7), without which long-term development, including food security, will be jeopardized. Forests' and trees' roles in soil conservation, the provision of reliable and clean water supplies, and in furnishing other essential ecosystem services are particularly relevant. Concerted action remains indispensable to reduce hunger and poverty at the rates required.

**d) *Evolving development cooperation context***

23. Significant changes are affecting the development cooperation and aid architecture context in which FAO needs to operate, exacerbated by the global financial and economic crisis. The Organization will need to continue to adjust to these changes, in consistency with broader UN reforms, including “delivering as one” in the field. The following key factors can be highlighted:

- the MDGs embodying a core global agenda and framework for outcome-focused development cooperation;
- new modalities of financing with increased direct budget support and comprehensive approaches including government-led Sector-Wide Approaches (SWAs) becoming the favoured aid modality tending to replace the stand-alone project approach;
- the expected more incisive contributions of multilateral institutions to defining and implementing national development plans;
- the further drive towards national ownership;
- concerted efforts for aid coordination, harmonisation and alignment, also linked to capacity building;
- the emergence of new sources of investment and other forms of assistance from civil society, foundations and the private sector;
- the emphasis placed on managing for results, accountability and transparency; and
- the expectation of enhanced partnerships within and outside the UN system.

24. The above trends, challenges and issues of concern to both the international community and Members individually, have naturally shaped the long- to medium-term response outlined below, including the formulation of Objectives and attendant Organizational Results.

## *II. Vision for FAO and Global Goals of Members (as approved in the Immediate Plan of Action)*

25. FAO's vision is of a world free of hunger and malnutrition where food and agriculture contributes to improving the living standards of all, especially the poorest, in an economically, socially and environmentally sustainable manner. To foster the achievement of this vision and of the Millennium Development Goals, FAO will promote the continuing contribution of food and sustainable agriculture to the attainment of three global goals:

- reduction of the absolute number of people suffering from hunger, progressively ensuring a world in which all people at all times have sufficient safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life;
- elimination of poverty and the driving forward of economic and social progress for all with increased food production, enhanced rural development and sustainable livelihoods;
- sustainable management and utilisation of natural resources, including land, water, air, climate and genetic resources, for the benefit of present and future generations.

## *III. Results-based approach underpinning the SF, MTP and PWB*

### *a) Principles*

26. A results-based approach to programme planning and implementation in FAO will be underpinned by a hierarchy, outlined in Figure 1, whereby:

- Global Goals represent the fundamental development impacts, in the areas of FAO's mandate, which the member countries aim to achieve;
- Strategic Objectives contribute to the achievement of the Global Goals;
- Functional Objectives provide the enabling environment for FAO's work;
- Organizational Results define the outcome of FAO's work under each Strategic and Functional Objective; and
- Core Functions represent the critical means of action to be employed by FAO to achieve results, drawing on the Organization's mandate and comparative advantages.

27. The Strategic Objectives express the impact, in countries, regions and globally, expected to be achieved over a long-term (ten-year) timeframe by Members based on FAO's value-added interventions.

28. In order to ensure that all aspects of FAO's work are established in a results-based framework, complementary Functional Objectives will assist the Organization to continuously



improve not only the relevance and impact of its technical delivery but also its efficiency and contribution to the achievement of Strategic Objectives.

**Figure 1: Main components FAO's results-based framework**

<p>FAO's vision is of a world free of hunger and malnutrition where food and agriculture contributes to improving the living standards of all, especially the poorest, in an economically, socially and environmentally sustainable manner.</p>	
<p>To foster the achievement of this vision and of the Millennium Development Goals, FAO will promote the continuing contribution of food and sustainable agriculture to the attainment of <b>three Global Goals</b>:</p> <ul style="list-style-type: none"> <li>• reduction of the absolute number of people suffering from hunger, progressively ensuring a world in which all people at all times have sufficient safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life;</li> <li>• elimination of poverty and the driving forward of economic and social progress for all with increased food production, enhanced rural development and sustainable livelihoods;</li> <li>• sustainable management and utilisation of natural resources, including land, water, air, climate and genetic resources, for the benefit of present and future generations.</li> </ul>	
<p><b>Strategic Objectives</b></p> <ul style="list-style-type: none"> <li>A. Sustainable intensification of crop production.</li> <li>B. Increased sustainable livestock production.</li> <li>C. Sustainable management and use of fisheries and aquaculture resources.</li> <li>D. Improved quality and safety of foods at all stages of the food chain.</li> <li>E. Sustainable management of forests and trees.</li> <li>F. Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture.</li> <li>G. Enabling environment for markets to improve livelihoods.</li> <li>H. Improved food security and better nutrition.</li> <li>I. Improved preparedness for, and effective response to, food and agricultural threats and emergencies.</li> <li>K. Gender equity in access to resources, goods, services and decision-making in the rural areas.</li> <li>L. Increased and more effective public and private investment in agriculture and rural development.</li> </ul>	<p><b>Core functions</b></p> <ul style="list-style-type: none"> <li>a. Monitoring and assessment of long-term and medium-term trends and perspectives.</li> <li>b. Assembly and provision of information, knowledge and statistics.</li> <li>c. Development of international instruments, norms and standards.</li> <li>d. Policy and legislative options and advice.</li> <li>e. Technical support to promote technology transfer and build capacity.</li> <li>f. Advocacy and communication.</li> <li>g. Interdisciplinarity and innovation.</li> <li>h. Partnerships and alliances.</li> </ul> <p><b>Functional Objectives</b></p> <ul style="list-style-type: none"> <li>X. Effective collaboration with Member States and stakeholders.</li> <li>Y. Efficient and effective administration.</li> </ul>

29. The more specific Organizational Results represent the outcomes expected to be achieved over a four-year period – for which FAO will be held accountable – through the taking up and use by member countries and partners of FAO's products and services. The Organizational Results, as measured by indicators, will constitute the backbone of the Organization's four-year Medium Term Plan and biennial Programme of Work and Budget, exemplifying the substantive priorities upheld by the membership.

30. Core Functions draw on FAO's comparative advantages to provide the means of action to achieve results; they are applied at all levels: global, regional and national. They require articulated strategies to ensure coherent approaches, cooperation among organizational units, mutual learning and the pursuit of excellence. These core functions are elaborated in *Figure 2*.

**Figure 2: Core Functions of FAO**

a)	Providing long-term perspectives and leadership in monitoring and assessing trends in food security and agriculture, fisheries and forestry.
b)	Stimulating the generation, dissemination and application of information and knowledge, including statistics.
c)	Negotiating international instruments, setting norms, standards and voluntary guidelines, supporting the development of national legal instruments and promoting their implementation.
d)	Articulating policy and strategy options and advice.
e)	Providing technical support to: <ul style="list-style-type: none"> <li>• promote technology transfer;</li> <li>• catalyse change; and</li> <li>• build capacity, particularly for rural institutions.</li> </ul>
f)	Undertaking advocacy and communication, to mobilise 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.

31. Other major tools which will inform the development and contribute to the achievement of the Organizational Results and Strategic Objectives include:

- a) National Medium-term Priority Frameworks developed with individual governments to focus FAO's efforts on national needs;
- b) structured and consultative development of subregional and regional areas of priority action, including the Regional Conferences and specialised Regional Commissions in the consultation; and
- c) at the global level, a limited number of Impact Focus Areas.

32. Mobilisation and application of voluntary contributions to FAO will be guided by this framework at all levels – national, subregional, regional and global. The Impact Focus Areas will provide a focus within or across agreed Organizational Results to:

- a) help mobilise resources for priority groups of results which could benefit from additional funding, acting as “flagships”, providing a communication and advocacy tool to better attract voluntary extra-budgetary resources and partnerships to supplement assessed contributions;
- b) progressively enable pooled, and less rigidly tied, funding of voluntary extra-budgetary contributions;
- c) primarily address issues of priority to developing countries with emphasis on capacity building and getting policy frameworks right; and
- d) facilitate governing body oversight of the use of extra-budgetary resources in line with agreed priorities.

33. Clear managerial responsibilities throughout the cycle of preparation, implementation and assessment will be assigned for each Strategic Objective, Organizational Result, Core Function and Functional Objective. Managers at all locations will be held accountable for the progress, not only in terms of provision of products and services, but also the results these achieve.

## **C. ELEMENTS OF THE MEDIUM TERM PLAN 2010-13 AND PWB 2010-11**

34. The MTP and PWB, with the results frameworks and resources, will be produced as a combined document to provide a complete picture of what FAO intends to achieve in the four-year and two-year planning horizons to support governing body decision-making on, and monitoring of, planned activities and resources.

### *I. Medium Term Plan*

35. The Medium Term Plan presents, in a four-year time horizon, the formulation of the Strategic and Functional Objectives in a standard Results Framework; how the Core Functions are applied across the results framework; and Impact Focus Areas indicating the expected benefits from the direction of extra-budgetary resources to grouped results.

#### **a) Results Frameworks**

36. The results frameworks set out the Organizational Results (outcomes) contributing to the achievement of the Strategic and Functional Objectives; indicators and targets to enable systematic verification of FAO's contribution; and the overall estimate of resource requirements, showing for each Objective the breakdown of estimated assessed contributions and estimated extra-budgetary resources. The template for presentation of the Results Framework is provided in *Figure 3*, along with a definition of the key terms.

**Figure 3: Template for Results Framework**

<b>Strategic/Functional Objective [Title]:</b> <i>Benefits or changes expected to be achieved in a ten year time frame in Member country institutions, the international community or development partners.</i>	
<b>Issues and Challenges</b> – <i>statement of the problem(s) to be addressed, including significant related demographic, environmental and macro-economic factors and trends; highlights key development intervention needs focusing on opportunities for intervention by FAO, through targeted Organizational Results and Primary Tools.</i>	
<b>Assumptions and Risks</b> <i>associated with the achievement of the Strategic/Functional Objective, assuming the Organizational Results are achieved. Assumptions are hypotheses about risks that could affect the progress or success of a development intervention.</i>	
<b>Checklist of the application of the Organization's core functions to achievement of each of the Organizational Results</b>	
<b>Organizational Results</b>	
<b>Organizational Result 1 [title]</b> <i>Outcomes, or effects, that are expected to be achieved over a four-year time horizon from the uptake and use of FAO's products and services.</i>	
<b>OR Indicator 1 [describe]</b> <i>Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor.</i>	<b>Target (4year)</b> <i>The value of an indicator at a specified point in time.</i>
<b>Primary Tools [list]</b> - <i>The overall approaches to be utilised by FAO in crafting its intervention under a particular Organizational Result. The primary tools synthetically describe the key outputs and activities required in order to achieve an OR. They reflect careful analysis by programme managers of how FAO can best utilise the core functions to leverage the Organization's comparative advantage. The approaches expressed in the Primary Tools will normally be funded through a mix of regular programme and extra-budgetary resources. As in the case of the OR, Primary Tools represent the contributions of multiple organizational units.</i>	
<b>Strategic Objective Budget</b> broken down by Organizational Result (and by: assessed contributions and extra-budgetary resources; and by region)	

37. Senior Managers (Assistant Directors-General and Heads of Offices) have been assigned responsibility for formulating the results framework for each Strategic and Functional Objective. They have designated senior officers to lead inter-departmental Strategy Teams (including staff from both headquarters and decentralized office) in the formulation process. The multi-disciplinary and multi-unit nature of the teams (on average about one-third of team members come from outside the lead department) has been instrumental in formulating truly corporate Strategic and Functional Objective results frameworks, with clear identification of the contribution of relevant units across the Organization to the results and primary tools.

38. Members have stressed the importance of prioritisation and focus of action in determining how FAO will respond to the various development problems addressed through the Organizational Results. In formulating the results frameworks, analysis is being carried out at three levels.

- At the Objective level, a log-frame based analysis was applied to validate how the proposed Organizational Results address key problems and to determine any gaps and overlaps.

- At the Organizational Result (OR) level, the strategy teams were advised to: formulate S.M.A.R.T.<sup>2</sup> indicators of outcome, including targets and means of verification; identify key assumptions and risks associated with each indicator; and validate the necessary primary tools to be used during implementation.
- At the level of primary tools, the approaches to providing FAO's goods and services were refined, taking account of FAO's strengths in terms of application of core functions, past organizational performance, technical capacity, availability of alternative sources of supply, and partnership opportunities.

***b) Strategic Objective results frameworks***

39. The set of Strategic Objectives consists of a mix of sectoral and cross-cutting objectives. Members have stressed the importance of ensuring that the areas of work are complementary to one another and are clearly focused so as to avoid duplication. In preparing the results frameworks, the strategy teams have interacted to: i) incorporate in the sectoral OR's clearly identifiable links to primarily cross-cutting areas; and ii) specify the added interdisciplinary value that cross-sectoral Organizational Results would bring to the implementation of all Strategic Objectives.

40. This analytical process has entailed making choices among various possible courses of action within the Strategic Objectives, and this effort is being reinforced by guidance from the Technical Committees of the Council. At the time of writing, COFI and COFO have considered SOs C and E respectively, and their reactions may be summarised as follows.

41. During COFI, there were a few statements expressing relative preferences among the Organizational Results. However, many Members identified various thematic areas addressed by the Organizational Results as what they considered as priorities, which were taken into account when developing the indicators. On the whole, there was general support for Strategic Objective C (fisheries and aquaculture) as formulated. As requested by COFI, specific reference to small-scale fisheries has been included in the Organizational Results.

42. COFO endorsed the draft FAO Strategy for Forests and Forestry, as well as the Organizational Results and Primary Tools included under Strategic Objective E (forests and trees). COFO did not recommend any major changes to the results framework, but did request some modifications in language: under OR E3, a reference to governance was expanded to refer to "governance at all levels"; under OR E5, a reference to investments in forests was expanded to include investing in innovation; under OR E6, a reference to the importance of conserving forest biodiversity was expanded to include the conservation of forest genetic resources.

43. The current formulations of the results frameworks for the 11 Strategic Objectives are provided in Annexes 2-12. It is recalled that these formulations are work in progress, subject to progressive improvement, in particular for consistency and conciseness of language, and for more measurable and precise indicators and targets.

***c) Functional Objective results frameworks***

44. The Functional Objectives are meant to cover essential activities conducive to an enabling environment for FAO to effectively and efficiently achieve the substantive Organizational Results under the Strategic Objectives. Functional Objective X also applies a results framework to support core functions and critical transverse dimensions.

45. The formulation of the Functional Objectives presents some unique challenges. In order to promote coherence and recognise inter-dependencies among the areas of work covered by the Functional Objectives, it was necessary to consolidate significantly the set of Organizational Results presented in the FAO Management Paper appended to the IPA. Further, given that most of

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<sup>2</sup> S.M.A.R.T. = Specific, Measurable, Achievable, Realistic, Time-bound.

the work covered under the Functional Objectives is delivered as internal support to managers of the Strategic Objectives, the Functional Objective formulation will require validation by the Strategic Objective Teams – a process that is only just starting. Hence, it is underlined that the results matrices of the Functional Objectives represent a work-in-progress.

46. In the case of Functional Objective X, a major challenge has been to ensure coherence and cohesion in the results-based formulation of a diverse set of areas including governance and oversight, reflection of Member priorities in FAO programmes, resource mobilisation, and ensuring corporate approaches to FAO Core Functions. Given the span of work involved, Functional Objective X does not have a clear institutional home, as do the other Strategic Objectives and Functional Objective Y. A particular issue is whether the Core Functions covering advocacy and communication; information, knowledge and statistics; technical, policy and legal advice; support to capacity building; and support to development of international instruments can be adequately represented and measured under one Organizational Result (X2).

47. Working Group I reviewed the Functional Objectives on 16 April and provided guidance that will be taken into account in improving the formulations. Meanwhile, the versions presented to Working Group I (with some corrections), are presented in *Annexes 13-14*.

**d) *Application of Core Functions***

48. The Core Functions are the critical means of action that FAO will apply to achieve Organizational Results. As foreseen in the Immediate Plan of Action, the Medium Term Plan will illustrate how each Core Function has been systematically applied to the formulation of the Organizational Results, helping to focus FAO's work and make more effective use of partnerships.

**e) *Impact Focus Areas***

49. The timeline for the preparation of the MTP foresaw the formulation of the IFAs running in parallel with the formulation of Organizational Results. In practice, a step-wise approach to IFA formulation was followed, with the Strategy Teams first formulating Organizational Results for each Strategic Objective from January-March, and then giving attention to the formulation of IFAs.

50. Elements of IFA formulation and presentation are: title, Strategic Objectives and Organizational Results supported, description of the IFA, relevant partnerships and the relationship to the Organizational Results – including the main focus of action within each associated Organizational Result, at what level (e.g. global, regional, national) and whether some of the risks identified in the Organizational Result formulation would be mitigated by funding received through the IFA.

51. Bearing in mind the agreed definition, each IFA effectively groups Organizational Results, from one or more Strategic Objectives, that relate to the same theme or cross-cutting issue considered a priority for 'flagship' treatment and advocacy to mobilise extra-budgetary funding. Therefore, the IFAs directly relate to the results framework through the constituent Organizational Results. In this way, they are not an additional layer in the results hierarchy.

## ***II. Programme of Work and Budget***

52. The Programme of Work and Budget 2010-11 will provide the biennial resource requirements for carrying out the work of the Organization under the new Strategic Framework. Preparation of the PWB started in April and proposals will be presented in draft form to the Programme and Finance Committees in July and the Council in September.

53. The PWB will present:

- the biennial resource requirements – assessed and voluntary – needed to achieve the two-year targets for the indicators of each Organizational Result in the results framework;
- costs and savings stemming from the implementation of the Immediate Plan of Action;
- the administrative budget, corresponding to Functional Objective Y;
- the organizational responsibility for each Result;
- any other financial obligations;
- calculation of cost increases and efficiency savings;
- provision for long-term liabilities, under-funded obligations and reserve funds; and
- a draft Budgetary Appropriation Resolution.

**a) *Headquarters' Structure***

54. The Immediate Plan of Action called for a comprehensive programme of FAO headquarters' restructuring, to be initiated in 2009 for completion by 2012. The process that is being followed and the structure proposed by Management were discussed by CoC-IEE Working Groups I and III on 23 March.

55. This work should be considered as work-in-progress, due to two interlinked exercises under the IPA which may have implications on the organizational structure: the Root and Branch Review, whose final report was issued in late April, and the continuing refinement of organizational results in the context of the MTP 2010-13 and PWB 2010-11.

56. The above-mentioned proposals are fully in line with the guidance given by the 2008 Conference as summarised in IPA actions 3.91 to 3.96, on both the apex structure as well as the tentative proposals for the structure below the apex. The Working Groups made a range of comments and suggestions, and asked for a series of explanations and clarifications. Management will provide further detail in the documentation for the next joint meeting of the Working Groups on the headquarters' organizational structure (scheduled in June).

57. Meanwhile, Management is proceeding with developing the PWB 2010-11 using the proposed headquarters' organizational structure discussed at the March meeting, which is provided for information in *Annex 15*.

**b) *Decentralization***

58. The 2004 Independent Evaluation of Decentralization, as well as the IEE and the IPA have ***underlined*** the need for a strong FAO field presence. The IEE made recommendations for a new and clear role for the Regional Offices which would focus more on analysis and policy advice, with first line responsibility and accountability for the development of strategies and programmes across the region; for Subregional Offices to be the technical support arm of FAO in the respective subregions; and for a new foundation for the establishment, presence, structure, function and staffing of Country Offices.

59. The IPA focused on actions that would ensure that decentralized offices and headquarters will work as one effectively integrated Organization. This would be done through changes in the headquarters structure as well as through decentralization of authorities, networking and full involvement of decentralized offices in FAO's overall decision-making, delegation of responsibility with accountability and an appropriate balance between headquarters and field offices. The IPA Action Matrix on Decentralization includes 15 actions aimed at achieving this (actions 3.76 to 3.90). The process being followed, progress and issues for guidance were discussed with CoC-IEE Working Group I, II and III on 17 April, and will inform the preparation of the PWB 2010-11.

## **D. CONCLUSION**

60. It is important to stress again – as foreseen in the Immediate Plan of Action – that the elements of information provided to the Committees and the Council at this stage constitute work in progress. Based on the reactions received, management will prepare a more comprehensive document (with indication of resource requirements) for the scheduled sessions of the Committees in July and the 137<sup>th</sup> session of Council at the end of September.



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**ANNEX 1: PREPARATION STEPS AND SCHEDULE OF REVIEW - STRATEGIC FRAMEWORK, MTP 2010-13, PWB 2010-11, ORGANIZATIONAL STRUCTURE**

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<b>PHASE I</b>			
<i>Management (January - March) prepares elements of draft Strategic Framework, MTP/PWB: formulates strategic and functional objectives, organizational results (without resources), indicators; applies core functions; drafts Organizational structure (Process steps 1, 2)</i>			
	<b><i>Date 2009</i></b>	<b><i>Meeting<sup>3</sup></i></b>	<b><i>Documentation for review</i></b>
<b><i>Members (March – June) review draft results frameworks (without resources), discuss prioritisation, draft Organizational Structure, Root and Branch Review (Process steps 3, 4, 8)</i></b>	March 5	COFI	Draft results framework for Strategic Objective C (fisheries and aquaculture)
	March 17	COFO	Draft results framework for Strategic Objective E (forests and trees)
	March 23	WG I	Draft results frameworks (Strategic Objectives): process, challenges, examples, format
	March 23	WG I+III	Consideration of Headquarters organizational structure
	April 16	WG I	Draft results frameworks (Strategic Objectives, Functional Objectives); Impact Focus Areas
	April 17	WG III	Review of decentralized offices staffing, location and coverage
	April 22	COAG	Draft results frameworks for Strategic Objectives A (crops), B (livestock), D (food safety and quality), F (natural resources)
	May 11-12	PC/FC	Elements for the draft Strategic Framework, MTP/PWB
	May 11-12	FC	Elements of Root and Branch Review
	May 13	JM	Elements for the draft Strategic Framework, MTP/PWB Concept of Reform with Growth
	May 20	WG III	Consideration of Root and Branch Review Recommendations
	June 3	WG I	Elements for the draft Strategic Framework, MTP/PWB

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<sup>3</sup> Meetings directly related to SF/MTP, PWB and Organizational Structure. Timing and agenda of CoC-IEE and Working Group meetings during May-September are tentative and subject to review and approval by the CoC-IEE Bureau

	June 4	WG III	Review of decentralized offices staffing, location and coverage
	June 4	WG I+III	Consideration of Headquarters organizational structure
	June 5	CoC-IEE	Concept of Reform with Growth
	June 15-19	CL 136	Elements for the draft Strategic Framework, MTP, PWB Recommendations of Root and Branch Review

## PHASE II

*Management (April - July) prepares draft Strategic Framework and MTP/PWB documents: formulates unit contributions to results and plans resources, taking into account guidance from CoC-IEE, Technical Committees, Programme and Finance Committees, Council (Process steps 5, 6, 9)*

	<i><b>Date 2009</b></i>	<i><b>Meeting<sup>4</sup></b></i>	<i><b>Documentation for review</b></i>
<i><b>Members (July)</b> review draft SF and MTP/PWB document (Process steps 10,11)</i>	July 22	WG I	Draft Strategic Framework, MTP/PWB including resources
	July 24	CoC-IEE	Concept of Reform with Growth
	July 27-28	PC/FC	Draft Strategic Framework, MTP and PWB including resources
	July 29	JM	Draft Strategic Framework, MTP and PWB including resources

<sup>4</sup> Meetings directly related to SF/MTP, PWB and Organizational Structure. Timing and agenda of CoC-IEE and Working Group meetings during May-September are tentative and subject to review and approval by the CoC-IEE Bureau

### PHASE III

*Management (August) produces final draft Strategic Framework and MTP/PWB documentation*

	<i>Date 2009</i>	<i>Meeting<sup>2</sup></i>	<i>Documentation for review</i>
<i>Members (September - November) review and approve final Strategic Framework and MTP/PWB (Process steps 12, 14)</i>	Sept 8	WG I+II+III	Presentation of final draft Strategic Framework, MTP and PWB
	Sept 16	WG I	Final review and recommendation of Strategic Framework, MTP, PWB
	Sept 16	WG III	Final review of decentralized offices staffing, location and coverage
	Sept 24	CoC-IEE	Review and adoption of CoC-IEE Final Report (including recommendation of SF, MTP and PWB)
	Sept 28 to 2 Oct	CL 137	Strategic Framework, MTP, PWB including budget level (for recommendation)
	Nov 14-21	C 36	Strategic Framework, MTP, PWB and budget level (for approval)

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## ANNEX 2: STRATEGIC OBJECTIVE A – SUSTAINABLE INTENSIFICATION OF CROP PRODUCTION

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### Issues and Challenges

Increasing crop productivity and quality, based on science-based sustainable practices, is critical to improved resource use efficiency, food security, rural development, and livelihoods. Of the global arable land, about 1.4 billion hectares are used for crop production and 2.5 billion hectares are used for pasture. Together, they provide most of the world's food, feed and fibre. While the world is projected to need twice as much food for 9.2 billion people in 2050 as it did in 2000, it must address the declining availability of land (land per caput will decrease from 4.3 hectares in 1961 to 1.5 hectares in 2050), lower crop productivity growth (annual growth rate of major cereals will decrease from 3 to 5% in 1980 to about 1% in 2050), stresses from climate change (higher intensity and incidence of droughts, floods and pests), and eroded ecosystem services. There is also a demand for increased variety, quality and safety of agricultural products, driven by urbanization and rising incomes.

Providing an adequate supply of food of requisite quality will depend on more efficient and resilient production systems using good farming practices that make efficient use of the natural resources base, coupled with an enabling policy and institutional framework. Sustainable livelihood, food safety and value-chain approaches need to underpin the increase in productivity and diversification.

To address these challenges, the Strategic Objective promotes crop production intensification using the ecosystem approach, including technical and policy assistance in four key dimensions:

- a) Increasing **agricultural productivity** through improved use of resources to achieve higher yields while promoting the sustainability of the farming systems and progressing from subsistence farming to market-oriented agriculture, supported inter alia by conservation agriculture and integrated nutrient management.
- b) Enhancing sustainable **crop protection** through Integrated Pest Management (IPM), and through the implementation at national level of globally agreed instruments such as the International Plant Protection Convention and the Rotterdam Convention to minimise pest problems, misuse of pesticides, and environmental pollution.
- c) Managing **biodiversity and ecosystem services**, through identification and use of mechanisms for valuing agricultural biodiversity and ecosystem services, in addition to sound agronomic practices (crop, soil, nutrient and water efficient management), and
- d) Strengthening **livelihoods** using the benefits of increased productivity and diversification within the value chain, including through providing the conditions for access to good agricultural practices and knowledge, quality seeds, post-harvest and agro-processing technologies, food safety systems, markets and credit.

This framework also includes global and regional instruments, treaties, conventions and codes that embody international cooperation for enhancing and sustainably using natural resources, and reducing risks from and improving management of transboundary threats to production, environment and human health in an increasingly globalising world.

Crop production intensification relies on an enabling policy and institutional environment, underpinned by capacity building, to be successful. This will require sub-sector analysis of crop agriculture, up-to-date sub-sector information and statistics to underpin the development process, information on the interaction between crops and the environment, on the impact of transboundary pests of crops, on the importance and impact of bioenergy crops, and on ecosystem services.

### Assumptions and Risks

- Assumption that demand for food, feed and fibre will continue to grow at the predicted or higher rates, driven by population growth and income, and that member countries are committed to developing policies in favour of sustainable intensification of crop production.
- Assumption that climate change will continue to impact crop production, calling for appropriate adaptation and mitigation strategies, technologies and policies.
- Assumption that countries, in partnership with relevant stakeholders, will invest in the development and adoption of technologies and policies for crop production intensification using the ecosystem approach, leading to expansion of choices and diversity of production systems that farmers can use to improve income and health.
- Assumption that national governments, regional organizations and the international community will put in place the technical, institutional, policy and legal measures necessary for the crop sector to effectively, safely and equitably deliver on set national objectives, that FAO is accorded the means to assist them in this effort, and that member countries will be in a position to implement internationally negotiated standards and agreements.
- Risk that increasingly volatile energy and input markets will disrupt farming and, through the growing price linkages between inputs and energy commodities, reduce profitability in the absence of suitable response options.
- Risk that political and economic events in vulnerable countries may seriously slow down the transfer and uptake of innovations.
- Risk that the costs and availability of water becomes a major constraint to crop intensification.

Risk that some countries will not have adequate capacity to collect, verify, analyse, disseminate and exchange information and data, utilising international standards, to effectively facilitate decision-making.

### Application of Core Functions to Strategic Objective A

Org Result	A - Perspectives, trend monitoring, assessment	B - Information, knowledge, statistics	C - International instruments	D - Policy advice	E - Tech support, capacity building	F - Advocacy, communication	G - Inter-disciplinary approach	H - Partnerships, alliances
<b>A1</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>A2</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>A3</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>A4</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>

### Organizational Result A1 - Policies and strategies on sustainable crop production intensification and diversification at national and regional levels

OR Indicator	Target (4 years)
<b>A1.1</b> New or enhanced national or regional policies, strategies or programmes on sustainable crop production intensification or diversification, including responses to climate change.	10 countries with policies or strategies on sustainable crop production intensification 33 national Food Security programmes 8 regional Food Security programmes 8 countries with policies, strategies or programmes on crop diversification
<b>A1.2</b> Intergovernmental fora, including Committee on Agriculture (COAG), International Rice Commission (IRC) and Commission on Sustainable Development (CSD), provide guidance for the sustainable intensification of crop production.	COAG, CSD, IRC, and other intergovernmental fora

<b>A1.3</b> Number of countries with policies, programmes, strategies or projects to test, document and adopt practices that manage agricultural biodiversity and ecosystem services and preserve biodiversity, including through payments of environmental services in agricultural production landscapes	5 countries
<b>Primary Tools for achievement of the Organizational Result</b> <ol style="list-style-type: none"> <li>1. Technical advice to policy makers that promote the integration of sustainable crop production in a wider food security and nutrition perspective.</li> <li>2. Framework for sustainable crop production intensification through the ecosystem approach that includes guiding principles, checklists and case studies for use in developing policies, programme and projects.</li> <li>3. Guidance documents and technical assistance on assessing the economic, social and environmental sustainability of crop production intensification.</li> <li>4. Capacity building, training, information dissemination and awareness creation, through guidelines, manuals and methodologies.</li> <li>5. Strategies for crop diversification and production, including introduction of new and adapted technologies (e.g. for horticultural crops, urban and peri-urban agriculture, forage, etc).</li> <li>6. Improved use of existing information and intergovernmental platforms, fora, networking and knowledge management tools.</li> <li>7. Baseline measurements and monitoring of rangelands and grassland to enhance food security and promote climate resilient development.</li> <li>8. Farming systems analysis, guidelines and project support on linking farmers to markets.</li> <li>9. Nuclear strategies in food and agriculture.</li> <li>10. Technical advice related to payments of environmental services in selected agricultural landscapes.</li> <li>11. Production and utilization of timely and reliable information and statistics related to crop production.</li> </ol>	
<b>Organizational Result A2 - Risks from outbreaks of transboundary plant pests and diseases are sustainably reduced at national, regional and global levels</b>	
<b>OR Indicator</b>	<b>Target (4 years)</b>
<b>A2.1</b> Adoption and improved national implementation of International Standards for Phytosanitary Measures.	15 standards developed and 12 adopted Improved implementation in 8 developing countries
<b>A2.2</b> Percentage of affected countries receiving forecasts and other information on Desert Locust and other transboundary plant pests	100 percent
<b>A2.3</b> National and regional contingency plans developed for specific pest and disease threats other than Desert Locust, including weeds and woody plants	12 countries in 3 regions
<b>A2.4</b> Number of countries and subregions applying preventive locust control systems or area-wide integrated application of Sterile Insect Techniques	6 countries in each of 4 subregions

**Primary Tools for achievement of the Organizational Result**

1. Technical advice to policy makers that promote the integration of plant protection into sustainable crop production in a wider food security perspective.
2. Guidance for countries on the implementation of sustainable plant protection policies, programmes and projects.
3. Framework for sustainable plant protection programmes through the implementation of the IPPC and the use of international standards.
4. Capacity building, training, information dissemination and awareness creation, through guidelines, manuals and methodologies.
5. Providing, and making better use of, a neutral forum and information exchange, including as a key element of the global phytosanitary system of governance for trade.
6. Baseline measurements of national capacity building needs and the development of an international framework to facilitate the implementation of ISPMs.
7. Collaboration on contingency planning and early warning for transboundary pests and diseases especially through EMPRES & IPPC frameworks.
8. Nuclear strategies to develop tools that allow for the management of plant pests and diseases.
9. Investment facilitation for extrabudgetary resources for projects, programmes and policy development.
10. Information management and early warning systems, networks with outreach to the affected communities and standardised information reporting and data transmission technologies for early detection and real-time tracking of transboundary plant pests and diseases.
11. Livelihood vulnerability measures through vulnerability data from various sources such as FAO GIEWS, WFP VAM, USAID FEWS and FIVIMS for affected countries.
12. Emergency response guidelines, contingency plans and structured preparedness tools as decision support for prevention; rosters to source potential consultants with expertise in relevant areas such as emergency management and coordination, list of suppliers and air operators; pre-prepared agreements, ToRs and contracts etc.
13. Regional and sub-regional mechanisms to ensure effective collaboration and risk communication, inter-agency collaboration and coordination among countries and regions on prevention and control of transboundary pests and diseases.
14. Guidelines on good practices made available to countries, decision makers and stakeholders.
15. Partnerships between national and international research entities, meteorological institutions and private sector in the development of new technologies, provision of services and capacity building.
16. Operational instruments, tools and resources in key administrative support areas of finance, procurement and logistics, and human resource management to deliver emergency operations efficiently.
17. Production and utilization of timely and reliable information and statistics related to crop production and pests and diseases.

**Organizational Result A3 - Risks from pesticides are sustainably reduced at national, regional and global levels**

OR Indicator	Target (4 years)
<b>A3.1</b> Number of countries adopting measures to improve the life cycle management of pesticides aimed at reducing risks to human health and the environment.	30 countries

<b>A3.2</b> Countries improving regulatory control of the distribution and use of pesticides in accordance with international codes and conventions.	20 countries
<b>A3.3</b> Countries establishing or strengthening Integrated Pest Management programmes to reduce reliance on pesticides	20 countries
<b>A3.4</b> Pesticides evaluated for the safety of pesticide residues in food, and Maximum Residue Limits (MRLs) estimated	100 pesticides evaluated 1,000 new MRLs estimated
<b>Primary Tools for achievement of the Organizational Result</b> <ol style="list-style-type: none"> <li>1. Delivery of agreed Secretariat functions to support implementation of the Rotterdam Convention (RC) and the FAO/WHO Joint Meetings on Pesticide Residues in Food (JMPR), Pesticide Specifications (JMPS) and Pesticide Management (JMPM).</li> <li>2. Technical guidelines for the implementation of the Code of Conduct and for dealing with pest and pesticide management under emergency situations.</li> <li>3. Special initiative developed and operational to reduce the use of highly hazardous pesticides in countries.</li> <li>4. IPM Programmes established or strengthened to reduce reliance on pesticides.</li> <li>5. Practical guidance available on monitoring pesticides in the environment and their effect on human health to guide policy and action.</li> <li>6. Capacity building, training, information dissemination and awareness creation through guidelines, manuals and methodologies.</li> <li>7. Establishment of an improved pesticide management system and triangulation of pesticides in emergencies.</li> <li>8. Programmes and projects to assist countries in the quantification, risk reduction, elimination and prevention of obsolete pesticide stocks and acute contamination from pesticides.</li> <li>9. Strategies, technical advice and policy guidance to countries on integrated approaches to pest and pesticide management in line with the International Code of Conduct on the Distribution and Use of Pesticides, the Rotterdam Convention and other international instruments.</li> <li>10. Programmes and projects to build capacity at regional, national and farming community level promoting an integrated approach to pest and pesticide management.</li> <li>11. Regional collaboration and harmonization of approaches, including south-south collaboration in the implementation of international instruments and standards, as well as better use of existing information, intergovernmental platforms, fora, and knowledge management tools.</li> <li>12. Production and utilization of timely and reliable information and statistics on pesticides.</li> </ol>	
<b>Organizational Result A4 - Effective policies and enabled capacities for a better management of plant genetic resources for food and agriculture (PGRFA) including seed systems at the national and regional levels</b>	
<b>OR Indicator</b>	<b>Target (4 years)</b>
<b>A4.1</b> Number of countries joining the <i>International Treaty on Plant Genetic Resources for Food and Agriculture</i> (IT-PGRFA), and developing/revising national regulations for its implementation	130 countries have joined the IT-PGRFA 25 countries in the process of developing/revising national regulations/policies
<b>A4.2</b> Number of countries/subregions developing national PGRFA strategies/policies that reinforce the linkages among conservation, plant breeding and seed systems, in the implementation of the <i>Global Plan of Action for the Conservation and Sustainable Utilisation of Plant Genetic</i>	5 countries develop or improve their strategies for an integrated approach in the implementation of the GPA-PGRFA 3 sub-regions officially endorse harmonised seed-related regulatory



<i>Resources for Food and Agriculture (GPA-PGRFA)</i>	framework
<b>A4.3</b> Number of countries with improved technical and research capabilities in conservation, plant breeding, biotechnology-biosafety and nuclear techniques, and in seed systems and information management for sustainable crop production	10 countries in conservation, plant breeding, biotechnology-biosafety and nuclear techniques 20 countries for seeds and PGRFA information management 10 countries in seeds and planting materials production, storage and related aspects
<b>A4.4</b> Number of countries with at least 10 smallholder communities with defined plans, programmes and facilities for managing on-farm plant genetic diversity, seed production and use and related risks using FAO- recommended policies, tools and guidelines	At least 10 smallholders communities with defined plans, programmes and facilities for seed production, treatment and storage, and for managing on-farm plant genetic diversity 10 countries apply Disaster Risk Management (DRM) tools
<b>Primary Tools for achievement of the Organizational Result</b> <ol style="list-style-type: none"> <li>1. Guidance and support to the achievement of the Work Programme of the IT PGRFA as adopted by the Governing Body.</li> <li>2. Policy advice and technical assistance to the current and updated GPA-PGRFA through the Working Group on PGRFA of the Commission of Genetic Resources for Food and Agriculture (CGRFA); facilitate implementation and monitoring of the GPA-PGRFA including as it relates to relevant international instruments.</li> <li>3. Technical support to the development and implementation of integrated programmes on conservation and sustainable use, including seed systems, at regional and national levels.</li> <li>4. Generation, management and dissemination of knowledge, data, tools, technologies for national and regional capacity building in conservation, plant breeding, seed systems development and related interdisciplinary areas.</li> <li>5. Technical assistance and guidance to communities, smallholders and farmers to sustainably manage crop diversity and seed systems.</li> <li>6. Strengthen partnerships and alliances with relevant organisations to ensure informed decision making and implementation of best practices for PGRFA management for sustainable crop production.</li> </ol>	

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### ANNEX 3: STRATEGIC OBJECTIVE B – INCREASED SUSTAINABLE LIVESTOCK PRODUCTION

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#### Issues and Challenges

The livestock sector currently provides 43% of global agricultural output in value terms. The anticipated continued expansion of the demand for animal products will require substantial improvements in resource use efficiencies and accelerated development and adoption of appropriate technologies.

The global livestock sector is characterised by a growing dichotomy between (i) livestock kept by large numbers of smallholders and pastoralists, and (ii) intensive large-scale commercial livestock production. While traditional livestock systems contribute to the livelihoods of 70% of the world's rural poor, increasing numbers of large-scale operations with sophisticated technology, based on internationally sourced feed and animal genetics, cater for the rapidly growing markets for meat, milk and eggs, and midsize family farms risk to be squeezed out of expanding formal markets

Animal disease emergence and spread, including pathogens that spill over from animals to humans (zoonoses), are very closely linked to changes in production environments and to increased interactions among livestock and wildlife.

A serious consequence of the spread of large-scale production and of the pressures on traditional small-scale livestock keeping is the loss of genetic diversity in livestock populations. Latest figures show that 20 percent of documented breeds are at risk of extinction.

Livestock occupy one-fourth of the global terrestrial surface as grazing land, and the sector which claims one-third of global crop land for feed grain production, contributes to, but is also affected by grain price trends. As competition for land grows, prices of animal feeds, water, energy and labour are increasing, and extensive pasture-based livestock production is being affected by climate change and socio-economic pressures.

The vigorous growth of the livestock sector, its increasing importance for food security and human nutrition and health and its recent structural changes require comprehensive governance by the international community. Considering the very substantial positive and negative impacts of the sector on social, environmental and public health targets, the preparation and negotiation of a “Code of Conduct for a Responsible Livestock Sector” is suggested under this Strategic Objective.

There are viable opportunities to alleviate many of the risks associated with the expanding livestock sector and to develop its full potential. Increased productivity will make more efficient use of scarce inputs and natural resources; advances in animal breeding, nutrition and husbandry, and in the prevention and control of animal diseases will increase productivity and improve animal welfare while reducing the risk of the emergence of zoonotic diseases. This will require generation and adoption of new technologies as well as institutional development, including improved intersectoral collaboration (e.g. One World - One Health concept) supported by an enabling policy and regulatory environment.

Increased sustainable livestock production is also dependent on up-to-date and reliable information and statistics to underpin the development process and to ensure that it is supported by relevant and appropriate policies.

#### Assumptions and Risks

- Assumption that the demand for substantially more, good quality and safe animal products (which are increasingly processed) will continue to be vigorous. The contribution of the livestock sector to global food security will thus increase, and innovative public-private partnerships will encourage investments in livestock-related research and extension for development and in national and regional capacity and institution building.
- Assumption that for the foreseeable future, livestock will remain important, and particularly in pastoral areas often the sole livelihood support for large numbers of people.

- Assumption that national governments, (sub)regional organizations and the international community will establish the technical, institutional, policy and legal measures necessary for the livestock sector to effectively, safely and equitably deliver on its objectives and that FAO is accorded the mandate of designing and negotiating such measures.
- Assumption that member countries will have adequate capacity to collect, verify, analyse, disseminate and exchange information and data, utilising international standards, to effectively facilitate decision-making.
- Risk that, in the absence of comprehensive effective oversight, improved inter-sectoral collaboration and careful governance, vigorous livestock sector growth will cause harm to society (e.g. marginalization of smallholders), to public health (e.g. (re)-emerging zoonotic diseases) and to natural resources, environment and climate (e.g. livestock genetic diversity erosion, pollution, greenhouse gas emissions, encroachment on natural habitats).
- Risk that an increasingly volatile grain and energy sector will disrupt livestock farming and, through the growing price linkages between grain and energy commodities, reduce livestock sector profitability in the absence of suitable response options.
- Risk that climate change will threaten grassland-based livestock production systems and thus the livelihoods of the most vulnerable households.
- Risk that investments in research for development will fall short of generating the technologies required to respond to the challenges of a rapidly changing sector.

#### Application of Core Functions to Strategic Objective B

Org Result	A - Perspectives, trend monitoring, assessment	B - Information, knowledge, statistics	C - International instruments	D - Policy advice	E - Tech support, capacity building	F - Advocacy, communication	G – Inter-disciplinary approach	H - Partnerships, alliances
<b>B1</b>	<b>X</b>	<b>X</b>		<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>B2</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>B3</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>B4</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>

#### Organizational Result B1 – The livestock sector effectively and efficiently contributes to food security, poverty alleviation and economic development

OR Indicator	Target (4 years)
<b>B1.1</b> Number of countries which have adopted the necessary elements of a regulatory framework to underpin the livestock sector	6
<b>B1.2</b> Percentage of the countries requesting FAO assistance to enhance the efficiency / productivity and added value of their livestock production and that act upon the advice given	75%
<b>B1.3</b> Countries assisted in responding to disasters and emergencies that affect livestock-related livelihoods and whose requests are in conformity with the Livestock Emergency Guidelines and Standards (LEGS)	100%
<b>B1.4</b> Number of national and regional programmes on food security (NPFS, RPFS) whose livestock components are supported by investment plans and focus on increased productivity, improved income and nutritional benefits	33 NPFS, 8 RPFS

#### Primary Tools for achievement of the Organizational Result

1. Livestock sector statistics, information and knowledge that informs and influences decision makers in both the public and private sectors.

2. Livestock sector analysis, policy and strategic advice, and decision support tools that enable the sector to contribute to economic development, poverty alleviation and improved human nutrition and health, including through enhanced access by livestock producers to expanding and increasingly sophisticated local, regional and international markets.
3. Legislative advice that supports the livestock sector in ensuring its equitable and effective development.
4. Guidance (guidelines, manuals, methodologies, technical reviews, issues and option papers) covering animal nutrition, feeds, animal breeding, husbandry, processing/value adding, animal welfare, animal identification, regulation of the livestock sector, good management practices for responsible intensification and increased efficiency of livestock production (spanning crop-livestock / pasture / aquaculture / agroforestry systems).
5. Livestock components within the NPFS/RPFS (national and regional programmes on food security) with focus on increased productivity, improved incomes and nutritional benefits.
6. Relief and rehabilitation response to natural disasters and man-made emergencies which have an impact on the livestock sector.
7. Investment facilitation for livestock sector development, as guided by sub-sector policies and strategies, including through enhanced public-private partnerships for strengthening livestock services and through formal partnerships among important stakeholders.
8. Capacity building (technical, statistics, policy, legal and institutional) to enhance the livestock sector's contribution to economic development, poverty alleviation and better quality diets.

#### **Organizational Result B2 - Reduced animal disease and associated human health risks**

<b>OR Indicator</b>	<b>Target (4 years)</b>
<b>B2.1</b> Number of the most significant animal and zoonotic, food- and vector-borne diseases covered by the FAO/OIE/WHO Global Early Warning System (GLEWS) platform on animal / zoonotic diseases (domestic terrestrial and aquatic animals, wildlife)	10
<b>B2.2</b> Number of countries implementing a regulatory framework for animal health system governance that emphasises disease prevention and control capabilities, thereby considering public-private partnerships and inter-sectoral collaboration requirements (One World-One Health orientated)	50
<b>B2.3</b> Number of Transboundary Animal Diseases (TADs), food-borne and vector-borne animal diseases, Transboundary Aquatic Animal Diseases (TAADs) and Emerging Infectious Diseases (EID) against which EMPRES and the Emergency Centre for Transboundary Animal Disease Operations (ECTAD) have taken action	All important animal diseases, TAADs, EIDs as per response to country requests
<b>B2.4</b> Number of countries implementing investment programmes for animal health system which incorporate the One World – One Health approach	50

#### **Primary Tools** for achievement of the Organizational Result

1. Analysis of national animal health systems, including product inspection and hygiene, for guiding design, negotiation and implementation of comprehensive animal health and veterinary public health (zoonotic / food-borne diseases at the production stage) policy, legislation and investment opportunities.

2. Timely information, surveillance, disease intelligence, forecasting, early warning tracing and detection of animal and zoonotic disease threats through the FAO/OIE/WHO Global Early Warning System (GLEWS) on animal / zoonotic, food- and vector-borne diseases (domestic terrestrial and aquatic animals, wildlife).
3. Methods and tools (guidelines, manuals and strategies), instruments, policies, and decision support for prevention, control and elimination of main animal, zoonotic, food-borne and vector-borne diseases and risk communication at national, regional and international levels, and response to animal health crises (e.g. CMC-FC/ECTAD); mainstream One World – One Health concept (domestic animal, wildlife, human and ecosystem health).
4. Regional and sub-regional mechanisms for collaboration among countries and sectors on contingency planning, prevention and control of transboundary animal and zoonotic diseases, based on the EMPRES platform.
5. Public-private partnerships, legal instruments and investment strategies for strengthening animal health systems, including private practitioners/service providers and community animal health workers where indicated.
6. Support of national and regional capacity building at technical, institutional, policy and regulatory levels on early warning, detection, prevention, preparedness, risk communication, inter-agency collaboration, coordination and control of animal and zoonotic and food-borne diseases at the production stage; partnership arrangements.

**Organizational Result B3 - Better management of natural resources, including animal genetic resources, in livestock production**

<b>OR Indicator</b>	<b>Target (4years)</b>
<b>B3.1</b> Number of assessments of risks and opportunities in the livestock sector's use of, and interactions with natural resources and climate published	3 regional, 1 global reports
<b>B3.2</b> Number of countries implementing livestock-environment interface management	20
<b>B3.3</b> International agreements in which FAO's role/mandate on animal genetic resources and livestock-environment issues is recognised/mainstreamed	CBD-UNFCCC post-Kyoto
<b>B3.4</b> Number of countries implementing national strategies and action plans for the improved management and conservation of animal genetic resources	30

**Primary Tools** for achievement of the Organizational Result

1. Information and knowledge management on livestock-environment interactions, on impacts of climate change on livestock, wildlife, habitat use and environment-mediated disease spread, on technology, institutional, regulatory and policy options for reducing the environmental impact of the livestock sector (including excessive grazing pressure, waste and greenhouse gas emissions; water pollution, forest conversion, land, ecosystem and biodiversity degradation); national and regional capacity building at technical, institutional and policy levels on the livestock-environment interface, vulnerability, mitigation and adaptation strategies.
2. Policies and strategies for enabling sector adjustment to changing environmental conditions; programmes for livestock sector adaptation to and mitigation of the impacts of environmental and climate change, including assessment of aquaculture habitat degradation affecting fish<sup>5</sup> production.
3. Investment in livestock-mediated natural resources stewardship with particular attention to industrial systems and extensive, grassland-based systems, including payment for environmental services and focusing on public-private partnerships.
4. Technical and scientific information for underpinning incorporation of livestock sector considerations in international environmental fora (conventions, treaties and agreements).
5. Guidance (guidelines, manuals, methodologies and good management practices, capacity building for extension and advisory services) for improving natural resource use efficiency in livestock production, including use of integrated land/water management (crop-livestock / pasture / aquaculture / agroforestry).
6. Support to countries in the implementation of the Global Plan of Action on Animal Genetic Resources<sup>6</sup> (GPA – AnGR) through information and knowledge management, development of tools and guidelines on characterization, monitoring and inventory, sustainable use and conservation, maintenance of a Clearing House Mechanism (DAD-IS), advocacy and capacity-building; leading the development and implementation of a funding mechanism; and assistance to countries in institutional, policy and legal development.
7. Advice on AnGR-related issues to the Commission on Genetic Resources for Food and Agriculture (CGRFA) including through the Intergovernmental Technical Working Group on Animal Genetic Resources for Food and Agriculture (ITWG-AnGR).

**Organizational Result B4 - Code of Conduct for a Responsible Livestock Sector**

OR Indicator	Target (4 years)
<b>B4.1</b> Decision of FAO membership on COAG-led preparation and adoption of a Code of Conduct for a Responsible Livestock Sector	Expert consultations (2011; 2013); annual “World Livestock 20xx” reports

**Primary Tools** for achievement of the Organizational Result

1. Design and negotiation of livestock sector-relevant framework agreement (Code of Conduct for a Responsible Livestock Sector), overseen by COAG, in synergy and harmony with relevant international agreements and instruments; and advised by expert consultation(s).  
[The focus of attention of this Code of Conduct will be: a) on technical options ranging from improved animal nutrition, feeds, animal breeding, husbandry, processing/value adding, animal welfare, animal identification, animal health management, good agricultural and management practices for the sustainable intensification and increased efficiency of livestock production, and b) on the improved regulation and policy / institutional support of the livestock sector as guided by integrated agricultural/rural development and food security programmes at national and regional

<sup>5</sup> insofar as integrated livestock-fish production is concerned

<sup>6</sup> terrestrial animal species only (excluding aquatic animals)

levels and with focus on enhancing livestock's role in social/economic development, public health and environmental sustainability].

2. Two expert consultations to prepare background materials and decision support for the Code negotiation process.
3. Annual flagship publication ("World Livestock 20xx", first edition in 2010) for the information/guidance of negotiation and implementation of Code of Conduct for a Responsible Livestock Sector.

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## ANNEX 4: STRATEGIC OBJECTIVE C - SUSTAINABLE MANAGEMENT AND USE OF FISHERIES AND AQUACULTURE RESOURCES.

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### *Issues and Challenges*

The fisheries and aquaculture sector plays an important role in human nutrition, the fight against hunger and poverty and more generally in economic development. The demand for fish and fish products will continue to grow. Effective management and conservation of fisheries and aquaculture resources, and ensuring the conservation of aquatic biodiversity and the health and productivity of ecosystems supporting fishery resources and fish production, is called for by the Code of Conduct for Responsible Fisheries (CCRF).

The state of world capture fisheries is far from optimal as reported in the State of World of Fisheries and Aquaculture (SOFIA) released in March 2009. Moreover, the problems of fleet overcapacity and illegal, unreported and unregulated (IUU) fishing challenge the international community as it seeks lasting solutions. Inland resources and ecosystems are particularly prone to adverse impacts from a variety of human activities.

There is limited potential for growth of global catches of wild fish stocks and it is expected that aquaculture will contribute to fill the gap in the increasing demand for fish and fish products. Aquaculture currently provides about half of the fish used for human consumption. Sustainable development of the sector faces two challenges: the urgent need for appropriate technologies and avenues to increase aquaculture production in many developing countries; and the broad demand for improving resource use efficiency and management and protection of the environment.

An important issue is the co-existence, in relation to both capture fisheries and aquaculture, of a large-scale, industrial subsector and a small-scale subsector. The latter employs more than 90 percent of all people who work in fisheries and aquaculture, communities for which artisanal fishing or small-scale aquaculture represents a major contribution to food security and livelihoods. Integrated policies and improved management tools are necessary to address the specific needs of both subsectors.

There will continue to be a considerable need for the promotion of good governance, practices and regulatory action in relation to fisheries and aquaculture at global, regional and national levels, particularly those based on the principles and standards contained in the CCRF and related instruments. Relevant institutions must be strengthened to achieve good fisheries governance.

A multipronged approach is required to enable FAO Members and regional fishery bodies (RFBs) to take the action necessary to facilitate enhanced responsibility and meeting international obligations, especially when implementing international instruments that seek to improve fisheries governance. In addition, they will need well trained staff and adequate financial resources. Assistance and capacity building in these fields are essential.

There are major challenges facing the improvement of information and data on the status and trends of fisheries and aquaculture for use as a sound basis for policy-making, management and sectoral planning. In particular, artisanal fishing and small-scale aquaculture are often under-represented, or sometimes even totally neglected in official statistics. Inland fisheries as a whole are also a serious problem in this regard. The Committee on Fisheries (COFI) has adopted complementary Strategies for capture fisheries and for aquaculture to address these challenges. Active implementation of the Strategies is now needed at global, regional and national levels. This will require a major focus on capacity building and partnership with emphasis on the integration of information and data utilizing common standards.

Other challenges are emerging: the impact of climate change, including the increasing frequency of natural disasters; rising fish prices, fuel dependency and consumption and production inputs costs; the emergence of animal diseases in aquaculture; the increasing influence of retail sector and use of market instruments and certification to promote sustainability and responsible trade; the general deterioration of aquatic ecosystems, both in the marine environment and in inland waters; the need for increased attention to be paid to environmental threats and concerns; and the need for adequate responses to emergencies.



**Assumptions and Risks**

- Assumption that all States give high priority to the implementation of the Code of Conduct for Responsible Fisheries (CCRF).
- Assumption that countries have the will and capacity to improve governance and management in the fisheries and aquaculture sectors through strengthened regulatory and institutional frameworks at the national, regional and global levels.
- Assumption that there is adequate capacity in national fisheries and aquaculture administrations and regional fishery bodies (RFBs) for effective management, including an appropriate representation of the interests of the fisheries and aquaculture sector in national and regional planning.
- Assumption that trade in fish and fish products will generate benefits (income and employment) from the point of capture/production to the final consumer.
- Assumption that adequate capacity to collect, verify, analyse, disseminate and exchange information and data, utilizing international standards is available and used for decision-making by countries individually or collectively through regional and global mechanisms.
- Risk that overfishing, overcapacity and IUU fishing will persist, and even worsen, if the necessary regulatory and institutional measures are not maintained or not adopted and implemented.
- Risk of widespread difficulties to attract and retain qualified staff in fisheries and aquaculture administrations, particularly in developing countries.
- Risk that aquaculture sector growth may be hampered by e.g. the environmental impact of aquaculture development; conflicts between resource users; prevalence of diseases; and the increased dependence on wild fish for use as seed and feed.
- Risk that a lack of adequate capacity and non-adherence to standards could lead to inadequate information and jeopardise effective decision-making.

**Application of Core Functions to Strategic Objective C**

Org Result	A - Perspectives, trend monitoring, assessment	B - Information, knowledge, statistics	C - International instruments	D - Policy advice	E - Tech support, capacity building	F - Advocacy, communication	G – Inter-disciplinary approach	H - Partnerships, alliances
<b>C1</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>C2</b>			<b>X</b>	<b>X</b>	<b>X</b>			
<b>C3</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>C4</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>C5</b>		<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>C6</b>		<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>		<b>X</b>

**Organizational Result C1 - Members and other stakeholders have improved formulation of policies and standards that facilitate the implementation of the Code of Conduct for Responsible Fisheries (CCRF) and other international instruments, as well as response to emerging issues**

Indicator	Target (4 years)
<b>C1.1</b> Countries and RFBs have developed an appropriate policy and regulatory framework for the implementation of the CCRF and related instruments, including the formulation, adoption and/or implementation of policies, plans of action, laws and regulations and bilateral and regional agreements with specific attention to small-scale fisheries, overcapacity and IUU fishing.	10% increase in countries
<b>C1.2</b> International fisheries instruments have been developed under the guidance of COFI or other fora including international guidelines and legally binding instruments.	Adoption of three to five new instruments

<b>C1.3</b> Countries and RFBs have improved monitoring and analytical capacities through improved statistical collection and reporting systems as a basis for policy making, sectoral planning and management.	10% improvement
<p><b>Primary Tools</b></p> <ol style="list-style-type: none"> <li>1. Regular reporting on the status of implementation of the CCRF and related instruments.</li> <li>2. Advice on establishing and integrating policy and legal frameworks, balancing development objectives with conservation needs and giving special attention to small scale fisheries and aquaculture.</li> <li>3. Providing platforms, such as COFI, for international debate, and strengthening their contribution to and participation in other international fora [Such as the United Nations General Assembly (UNGA), Organization for Economic Cooperation and Development (OECD), World Trade Organization (WTO), Asia Pacific Economic Cooperation (APEC), Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), Commission on Biological Diversity (CBD), Convention on Migratory Species (CMS), United Nations Environment Program (UNEP), International Maritime Organization (IMO) and International Labour Organization (ILO)].</li> <li>4. Developing new instruments, such as agreements, plans of action, technical and international guidelines.</li> <li>5. Advocacy and communication, in particular about the economic, social and environmental benefits and the sector's enhanced contribution to the UN MDGs of implementing the CCRF and related international instruments.</li> <li>6. Capacity building in statistics and the development of legal and policy frameworks, international negotiation, and economic and social aspects of fisheries.</li> <li>7. Production and utilization of timely and reliable information and statistics and citation and other analyses of their use as a basis for policy development.</li> <li>8. Strengthened collaboration with relevant intergovernmental, governmental and non-governmental partners including organizations of fishworkers, fishfarmers and fishing/aquaculture industry.</li> </ol>	
<b>Organizational Result C2 - Governance of fisheries and aquaculture has improved through the establishment or strengthening of national and regional institutions, including RFBs</b>	
<b>Indicator</b>	<b>Target (4 years)</b>
<b>C2.1</b> Improved governance leads to greater benefits from capture fisheries and aquaculture	4% increase
<b>C2.2</b> Countries have conducted assessments of their institution(s) and institutional arrangements and based on lessons learned have adopted new policies and instruments for better governance, including strengthening their institutions and institutional arrangements or creating new ones where needed.	10 countries
<b>C2.3</b> RFBs have conducted assessments of their performance and have taken steps to improve it	10 RFBs
<b>C2.4</b> Countries and relevant stakeholders have taken steps towards the establishment of new RFBs/Aquaculture networks (AqN) where gaps have been identified in the governance of shared resources	Establishment of 2 RFBs
<p><b>Primary Tools</b></p> <ol style="list-style-type: none"> <li>1. Advice and assistance (through legal, policy and information support) to strengthen existing institutions.</li> <li>2. Capacity building on governance and management of institutions.</li> <li>3. Regular analysis and reporting on experiences with institutional assessments and reform.</li> <li>4. Legal, policy and technical advice to establish new RFBs.</li> <li>5. Field support to and case studies on institutional reform.</li> </ol>	

6. Working with other UN agencies and relevant IGOs and NGOs to ensure maximum efficiency in promoting institutional reform for improved governance.
7. Support to RFBs, AqN and relevant international institutions in addressing cross-cutting issues such as small-scale fisheries and small-scale aquaculture.

**Organizational Result C3 - More effective management of marine and inland capture fisheries by FAO Members and other stakeholders has contributed to the improved state of fisheries resources, ecosystems and their sustainable use**

Indicator	Target (4 years)
<b>C3.1</b> Stocks or populations (marine and inland) have been assessed using the best scientific evidence available, also taking into account traditional and local knowledge as appropriate	5% more stocks assessed by 2012
<b>C3.2</b> National and international stocks or populations (marine and inland) show improved status and/or have been successfully maintained where already at productive levels.	A decrease to 25% or less in the global mean level of Overexploited, Depleted and Recovering stocks
<b>C3.3</b> Countries and RFBs have adopted and implemented measures for more effective management of their marine and inland capture fisheries and their marine and inland water ecosystems, in accordance with the CCRF and consistent with an EAF and taking into account the specific needs and contributions of small-scale fisheries.	10% increase in the number of countries/RFBs that have completed and formally adopted fisheries management plans or equivalent frameworks that are consistent with the Code of Conduct and EAF.

**Primary Tools**

1. Development and dissemination, in cooperation with other appropriate partners, of technical guidelines, toolboxes and other information material on fisheries management in the framework of EAF and relevant aspects of the Code of Conduct. Particular emphasis will be placed on material for management of small-scale fisheries.
2. Regular reporting on and assessment of the state of fish stocks and ecosystems.
3. Technical advice and capacity building in all areas of fisheries assessment and management in the framework of EAF, taking special account of the needs of small-scale fisheries and livelihood requirements, at national, regional and global levels.
4. Partnerships with other UN agencies and relevant IGOs and NGOs. Facilitating and promoting international cooperation in fisheries management through e.g. workshops, consultations, creation of networks and other means, including with other sectors where necessary.

**Organizational Result C4 - Members and other stakeholders have benefited from increased production of fish and fish products from sustainable expansion and intensification of aquaculture**

Indicator	Target (4 years)
<b>C4.1</b> Increased contributions of aquaculture sector to rural development and livelihoods	10% increase
<b>C4.2</b> Improved aquaculture output as well as performance (e.g. decrease in the global use of fishmeal, reduce dependence on antibiotics, reduction of habitat deterioration)	10% increase
<b>C4.3</b> Increased consumption of farmed fish products coming from sustainable aquaculture practices	10% increase

**Primary Tools**

1. Promotion of the ecosystem approach to aquaculture (EAA) including biosecurity frameworks, risk assessments, integrated aquaculture, ICZM etc.
2. Capacity building through training programmes, regional workshops to facilitate adoption and implementation of FAO guidelines, focusing on rural sectors, small farmers and women.

3. Support and promotion of small farmers' clusters and associations emphasizing the involvement of women and minorities.
4. Promotion of global, regional and thematic reviews and assessments of the aquaculture sector.
5. Promotion and support to aquaculture partnerships and aquaculture networks in applied research and development, technology transfer, and capacity building.
6. Development of information tools and systems to disseminate, collect, manage and utilize relevant data.
7. Improved communication and coordination between regional offices and FI in HQ as well as between FAO and other regional organisations.
8. Effective work of the Sub-Committee on Aquaculture.

**Organizational Result C5 - Operation of fisheries, including the use of vessels and fishing gear, is made safer, more technically and socio-economically efficient, environmentally friendly and compliant with rules at all levels**

Indicator	Target (4 years)
<b>C5.1</b> Increased number of countries whose fisheries are harvested using environmental friendly, safe, technically and economically efficient fishing vessels, fishing gear and fishing practices	5% improvement over baselines
<b>C5.2</b> Number of countries and RFBs with increased operational capacity to strengthen and expand MCS nationally and internationally	5% improvement over baselines
<b>C5.3</b> Increased number of countries whose fishing communities are better prepared and have improved resilience to threats, natural disasters and climate change	5% improvement in 5 highly vulnerable countries with coastal fisheries

**Primary Tools**

1. Development and application of knowledge products and best practices on safer, more technically and socio-economically efficient fishing operations including inventory of technologies and best practices related to C5-1, C5-2, C5-3.
2. Development and application of knowledge products and best practices to minimize adverse impacts of fishing on the environment including global updates of bycatch and discards, low energy capture technologies and development of environmentally friendly fishing technologies.
3. Provision of technical advice and support on all matters related to responsible fishing operations including facilitation of workshops, technical consultations, commissioning of studies and reviews.
4. Provision of technical advice and support in the development of appropriate small-scale fishing technologies.
5. Provision of technical advice and support on harbour management, waste reduction, microfinance programmes, processes for enhanced stakeholder participation in disaster response and preparedness, and adaptation to climate change.
6. Support to Member states and RFBs in capacity building and promoting activities that strengthen and expand their capacity for integrated monitoring, control and surveillance (MCS) systems of fishing operations.

**Organizational Result C6 - Members and other stakeholders have achieved more responsible post-harvest utilization and trade of fisheries and aquaculture products, including more predictable and harmonised market access requirements**

Indicator	Target (4 years)
<b>C6.1</b> Increased adoption of good practices for fish utilization, marketing and trade, both at the government and industry levels	20% improvement

<b>C6.2</b> Improved participation in and increased benefits from national, regional and international fish trade, particularly for developing countries	+10% improvement
<b>C6.3</b> Improved harmonization, predictability and transparency in international fish trade and market access requirements, including seafood safety requirements, and reduction in trade disputes	20% improvement
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. Provision of support and advice to national, regional and international organizations, including private sector, to improve practices for post harvest utilization and marketing of fish.</li> <li>2. Regular assessment and reporting, in particular through COFI Sub-Committee on Fish Trade, on developments, trends and issues of fish utilization, trade and market access requirements.</li> <li>3. Provision of technical advice and capacity building in all areas of fish utilization, marketing and trade at national, regional and global levels through e.g. responses to ad hoc requests for technical support, TCP projects, continued technical support to and back-stopping of the Fish Infoservices, short and long-term comprehensive projects funded by extra-budgetary funds.</li> <li>4. Development of strategic partnership with relevant UN agencies, IGOs and NGOs to promote the development and implementation of instruments and practices, including market instruments, for responsible and sustainable fish utilization, marketing and trade.</li> <li>5. Support to national and regional extension, research and professional institutions and regional networks to promote responsible fish utilization, marketing and trade.</li> </ol>	

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## ANNEX 5: STRATEGIC OBJECTIVE D - IMPROVED SAFETY AND QUALITY OF FOOD AT ALL STAGES OF THE FOOD CHAIN

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### Issues and Challenges

Inadequate controls of food safety and quality along the food chain continue to plague both developed and developing countries. Reports of food safety management failures demonstrate the difficulties faced by countries in achieving effective and integrated controls throughout the pre-production to consumption continuum, even in developed countries with mature food safety and quality systems supported by considerable technical and scientific capacities. The consequences of these failures include food-borne illness and concomitant negative economic effects on farmers, food businesses and consumers. The challenges are magnified in many developing countries which are mainly characterised by fragmented food control systems, inadequate or inconsistent legal frameworks, weak institutions, lack of adequate consumer protection policies, poor infrastructure and shortages of trained human resources; where poverty reduction and socio-economic development are highly dependent on countries' capacities to comply with market requirements for safety and quality; and where food-borne diseases remain a major cause of death and illness, particularly among children.

In many developing countries, food safety/quality strategies and action plans also fail due to inadequate and inconsistent budgetary and other support. Improving food safety and quality management at national level at all stages of the food chain requires strategic inter-sectoral planning and investment. There is a need to raise awareness among high-level policy makers of the need for food safety policies and strategies to be developed and considered in the context of broader national food security, agricultural development and public health goals.

The Codex Alimentarius Commission develops science-based food safety standards that most individual countries, in particular developing countries, do not have the capacity or resources to develop on their own. The Commission also develops internationally-agreed food quality standards. Both developing and developed countries look to the Codex Alimentarius standards for international guidance to protect consumers' health, while ensuring fair practices in food trade. Given the implications of WTO's SPS and TBT Agreements on international food trade, there are increasing expectations attached to the Codex standard setting process and to scientific advice to support that process. Developing countries must build capacity to participate effectively in the work of the Codex Alimentarius Commission and its related bodies, so as to ensure the validity and relevance of Codex standards in the international context.

The mere existence of standards is insufficient to provide assurance of public health protection or compliance with specific market requirements. This requires capacity to apply the standards through a national system of food safety/quality management and control, where both public and private sector actors are assigned clearly defined roles and responsibilities and possess the knowledge, skills and facilities necessary to perform their functions effectively and efficiently.

Climate-related effects, altered population demographics, life-style changes, evolving food production systems, shifting market dynamics and increasing application of private standards are all expected to challenge governments to identify emerging hazards, to recognise changing food safety and quality priorities and to adapt programmes of food safety/quality management accordingly.

### Assumptions and Risks

- Assumption that private food safety and quality standards will not undermine harmonization of official standards with Codex Alimentarius.
- Assumption that improved coordination among increasing numbers of international agencies involved in food standards setting and food safety capacity-building will avert fragmented delivery and reduced efficiency and effectiveness of technical assistance.
- Assumption that long-term planning for food safety and quality management is not undermined by the need to respond to food chain emergencies but that governments recognize improved collection and sharing of food safety information and strategic development of food control systems as prerequisites for achieving early detection and prevention of food chain emergencies.
- Risk that political instability and problems of food security may undermine the ability of governments to consistently support food safety and quality programmes.
- Risk that protectionist policies at regional/sub-regional and/or at national levels undermine multilateral agreements on food safety and quality regulation.
- Risk that separate systems and levels of control for domestic markets and export could give rise to greater and uncontrolled food safety risks for the most vulnerable.
- Risk that investments in food safety research and human resource development will be inadequate to effectively address emerging challenges such as climate change related effects on food safety and other emerging food safety hazards, evolving production systems, increasing application of private sector standards, etc.

### Application of Core Functions to Strategic Objective D

Org Result	A - Perspectives, trend monitoring, assessment	B - Information, knowledge, statistics	C - International instruments	D - Policy advice	E - Tech support, capacity building	F - Advocacy, communication	G – Inter-disciplinary approach	H - Partnerships, alliances
<b>D1</b>		<b>X</b>	<b>X</b>		<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>D2</b>	<b>X</b>	<b>X</b>		<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>D3</b>	<b>X</b>	<b>X</b>			<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>D4</b>	<b>X</b>	<b>X</b>			<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>

### Organizational Result D1 - New and revised internationally agreed standards and recommendations for food safety and quality that serve as the reference for international harmonization

OR Indicator	Target (4 years)
<b>D1.1</b> Extent of Codex member country participation in the Codex process	80 national contact points
<b>D1.2</b> Use of Codex standards by member governments	20 -50 percent of countries in 6 regions
<b>D1.3</b> Utilization of FAO/WHO scientific advice (food safety, quality and nutrient requirements) in the development of internationally agreed standards and recommendations	Continued high use of recommendations from Expert bodies by Codex committees (semi-quantitative assessment)

### Primary Tools

1. Contribution of the Codex Secretariat to support the FAO/WHO Codex Alimentarius Commission.
2. Provision of legal advice to the Codex Alimentarius Commission and to related expert bodies.
3. Advocacy to raise awareness of national decision-makers of the importance of Codex and for the use of Codex texts at national and regional levels and facilitation of regional collaboration on food standardisation.
4. Support for the development of institutional and individual capacities that enhance effective country-level participation in Codex and use of Codex standards.
5. Advocacy for and management (jointly with WHO) of the FAO/WHO Codex Trust Fund to support participation of developing countries to regular Codex Sessions.

6. Provision of scientific advice on food safety and quality, including food composition and nutrient requirements, through the implementation of JECFA, JMPR, JEMRA, JECN and ad hoc expert meetings and the operation of INFOODS.

**Organizational Result D2 - Institutional, policy and legal frameworks for food safety/quality management that support an integrated food chain approach**

Indicator	Target (4 years)
<b>D2.1</b> Countries enabled to establish national food safety/quality policies on the basis of sound assessments and through participative processes	15 countries
<b>D2.2</b> Countries enabled to assess their food safety/quality legislative frameworks, to identify legislative drafting priorities and to develop/adopt required legislation.	15 countries
<b>D2.3</b> Countries enabled to establish or improve inter-agency coordinative mechanisms for management and control of food safety/quality along the food chain	15 countries

**Primary Tools**

1. Decision-support tools for policy makers on food safety and quality, including consideration of impact of food biodiversity on nutrition.
2. Support for the review, assessment and strengthening of institutional and legislative frameworks for food safety/quality management and control, including consideration of integrated bio-security systems.
3. Support the development of institutional and individual capacities for the generation, compilation, analysis and use of scientific data on food safety and quality, nutrition and biodiversity to support policy decisions.
4. Provision of scientific advice for early identification of emerging food safety issues and assessment of their implications for food safety management and capacity development.
5. Food production and trade statistics and analysis of market trends, assessment of cost of compliance and economic and social impacts of non-compliance.
6. Facilitate good practices in food safety/quality investment and on enhancing public-private partnerships.

**Organizational Result D3 - National/ regional authorities are effectively designing and implementing programmes of food safety and quality management and control according to international norms**

Indicator	Target (4 years)
<b>D3.1</b> Number of countries enabled to develop risk-based food safety programmes	8 countries with improved systems for using data to develop risk-based food safety programmes
<b>D3.2</b> Countries enabled to provide efficient and uniform food inspection and certification services meeting international recommendations	12 countries with more efficient inspection services
<b>D3.3</b> Countries enabled to expand the range of the food analyses, ensuring their reliability and efficient delivery	10 countries with improved food analysis capacities



<b>D3.4</b> Countries enabled to establish national food safety emergency response plans with an action plan for developing the capacities necessary for its effective implementation and to integrate food safety into other national emergency plans	12 countries
<b>D3.5</b> Countries enabled to develop and implement national strategies for building public awareness and education on food safety and quality including health and nutritional benefits of local/traditional foods	12 countries with national strategies developed and action plans agreed
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. Facilitate development of an enabling environment for broad stakeholder participation in food safety/quality programme design and in standard setting at national level.</li> <li>2. Support the application of the food safety risk analysis framework to food safety decision-making at national level (risk assessment, risk management and risk communication). including the development of national food standards.</li> <li>3. Facilitating access to information on international food safety standards, risk (-benefit) assessment and scientific advice, food composition and other related issues (e.g. the Web-based portal IPFSAPH, JECFA and MRA publication series, Journal of Food Composition etc.).</li> <li>4. Facilitate development of an enabling environment for regional /sub-regional collaboration on a range of food safety and quality issues.</li> <li>5. Support for building capacities and improving efficiency of food laboratory, food inspection and certification services.</li> <li>6. Guidance and technical assistance on nutrient reference values, food labelling, nutrient requirements and health claims.</li> <li>7. Support the development of institutional and individual capacities on specific food control issues such as contaminant monitoring programmes, sampling programmes, traceability/ product tracing and facilitate a supportive policy environment for implementation of effective programmes.</li> <li>8. Provision of timely information, food safety intelligence, forecasting, early warning and guidance and assistance on national-level preparedness and to food safety emergencies through EMPRES-Food Safety, INFOSAN and CMC-FC.</li> <li>9. Support to the design and implementation of NPFS/RPFS to assure attention to the impact of food safety and quality on food security and poverty alleviation.</li> <li>10. Partnerships with academic and research institutions as reference centres, and to enhance and expand training and capacity building.</li> </ol>	
<b>Organizational Result D4 - Countries establish effective programmes to promote improved adherence of food producers/businesses to international recommendations on good practices in food safety and quality at all stages of the food chain, and conformity with market requirements</b>	
<b>Indicator</b>	<b>Target (4 years)</b>
<b>D4.1</b> Countries enabled to introduce holistic and integrated strategies for promoting compliance with good agricultural, manufacturing and hygiene practices based on sound assessments of key sub-sectors	12 countries with strategies and action plans developed; 6 countries with strategies formally adopted and action plans under implementation
<b>D4.2</b> Countries enabled to comprehensively incorporate food safety/hygiene considerations into programmes of good practice in primary production	Training implemented in 15 countries Reduced levels of contamination in primary products in 10 countries

<b>D4.3</b> Countries enabled to provide effective programmes in support of food businesses, on food safety/quality management and on context-appropriate technologies	20 countries
<b>D4.4</b> Countries enabled to implement voluntary standards and schemes, including those for specific quality	8 countries with programmes to strengthen the capacity of farmers and businesses to comply with voluntary standards and schemes
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. Support development of national strategies for achieving food quality and safety goals.</li> <li>2. Support institutional and individual capacities to develop and implement programmes for improving food safety and quality management for small and lesser developed businesses including the street food sector.</li> <li>3. Provision of guidelines on good practices at primary production in the animal, plant and fisheries sectors.</li> <li>4. Assist national actors to assess feasibility of voluntary standards and schemes and support institutional and individual capacities to implement such standards and schemes for specific quality products.</li> <li>5. Support for the development of national capacities to promote product and process innovation.</li> <li>6. Assist national actors to develop programmes of consumer awareness/education in food safety, biodiversity and its impact on nutrition and other food quality issues.</li> <li>7. Decision-support tools to inform investment planning in food safety/quality infrastructure.</li> <li>8. Market studies and identification of emerging market trends including analyses of the impact of private and voluntary standards on market access.</li> </ol>	

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## ANNEX 6: STRATEGIC OBJECTIVE E - SUSTAINABLE MANAGEMENT OF FORESTS AND TREES

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### *Issues and Challenges*

The forest sector continues to be affected by the rapid pace of global changes. Forestry has become more people centered, and society's demands on forests have undergone significant changes with increasing emphasis on environmental, social and cultural values. Interactions between the forest sector and other sectors are increasingly understood to be the source of both problems and opportunities. In addition, the critical roles that forests and trees outside forests play in mitigation of and adaptation to climate change, as well as a source of bio-energy, are increasingly recognized, requiring careful consideration in national and international decision-making.

The significant contributions of forests and trees to sustainable livelihoods and eradication of hunger and poverty is increasingly appreciated. There is greater recognition of the linkages of forestry with agriculture, energy and water. However, progress towards sustainable forest management remains uneven and the potential for cross-sector synergies, integrated management and landscape approaches is often underutilized. The continuing loss of forests and forest degradation in many developing countries, especially in tropical regions, is a major issue.

Rural livelihoods often depend on productive forests that support employment and income, thus reducing poverty. In many economically developed countries, environmental conservation and forest-based recreation are the dominant concerns of society. In all regions, the demand for ecosystem services from forests is increasing. A strategic approach is needed to ensure the health and productivity of forests, so as to optimize their capacity to help to mitigate climate change, conserve biodiversity, safeguard wildlife habitat and protect land and watersheds.

The challenge for FAO is to assist more countries to improve the management of their forests. As the quantity of, and access to information about forests and forestry continue to expand, the need to share and manage knowledge more effectively is becoming more urgent. Countries expect that FAO reach outside the traditional forest sector, engage in partnerships with new stakeholders, and serve as a global leader.

### *Assumptions and Risks*

- Assumption of relatively consistent economic progress and increased investments in forestry.
- Assumption of widespread recognition of the importance of sustainable forest management (SFM) and support for FAO's role in helping to promote SFM, both at national and international levels.
- Assumption that sufficient resources are available to enhance capacities of countries to help them overcome obstacles to sustainable forest management through policy and legal advice, capacity development and technical assistance.
- Risk of pressure to utilize forest resources unsustainably because of continued population growth and rural poverty.
- Risk of overwhelming economic pressures to convert forests to agriculture, urban or other land uses.
- Risk that countries are unable to combine political will, effective governance at all levels, and overall economic progress to achieve SFM.

[illegible]

<b>Organizational Result E3 - Institutions governing forests are strengthened and decision-making improved, including involvement of forest stakeholders in the development of forest policies and legislation, thereby enhancing an enabling environment for investment in forestry and forest industries. Forestry is better integrated into national development plans and processes, considering interfaces between forests and other land uses.</b>	
<b>Indicator</b>	<b>Targets (4 years)</b>
<b>E3.1</b> Countries use FAO-generated knowledge and technical assistance to support national forest programmes (NFPs)	High level of satisfaction with FAO support for NFPs
<b>E3.2</b> The NFP Facility is effectively enhancing stakeholder participation in NFPs and improving knowledge exchange	Positive impact assessments in a majority of partner countries
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. Support to effective national forest programmes, including capacity building and knowledge exchange.</li> <li>2. Host and support the National Forest Programme Facility.</li> <li>3. Support for integrated (cross-sectoral) policy analysis and planning to better understand the implications of policies of other sectors on forests and vice versa.</li> <li>4. Support participatory development of forest policy and law, institutional reform and efforts to improve governance at all levels.</li> <li>5. Sector studies, including regional forestry outlook studies, and comparative analyses of forest institutions.</li> </ol>	
<b>Organizational Result 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 to contribute to climate change mitigation and adaptation.</b>	
<b>Indicator</b>	<b>Targets (4 years)</b>
<b>E4.1</b> Number of countries using FAO-facilitated good practices to implement plans and strategies for SFM	50% increase
<b>E4.2</b> Number of countries using community-based approaches to fire management	20 countries
<b>E4.3</b> Increased number of countries participating in financial assistance related to reduced deforestation and forest degradation.	10 additional countries
<b>E4.4</b> Use of FAO guidelines and advice for forest health and protection against insects and disease including the incorporation of these issues into NFPs and strategies to mitigate and adapt to climate change	Assistance is provided to up to ten additional countries.
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. Development and use of guidelines for good forest practices through effective stakeholder consultative processes.</li> <li>2. Support development and implementation of strategies for conservation and sustainable use of forest genetic resources at global, regional and local levels.</li> <li>3. Support improved forest fire management including through community-based approaches.</li> <li>4. Support the development and implementation of national and international financial mechanisms to support sustainable forest management.</li> <li>5. Increased use of financial mechanisms to facilitate information sharing and database development, and to build capacity to strengthen forest management and to reduce deforestation and forest degradation (e.g., REDD).</li> </ol>	

<b>Organizational Result 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.</b>	
<b>Indicators</b>	<b>Targets (4 years)</b>
<b>E5.1</b> Analysis and knowledge of social and economic factors result in increasing investment in forestry	Increasing trend in number of users and positive feedback
<b>E5.2</b> FAO analyses of forest production, consumption and trade are used to support policy	Increasing trend in number of users and positive feedback
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. Analysis and knowledge of social and economic factors resulting in increased innovation and investment.</li> <li>2. Analysis of production, consumption and trade of forest products.</li> <li>3. Technical assistance and guidelines for community-based forest management, forest-based enterprises that improve livelihoods and reduce poverty.</li> <li>4. Information and assistance on accessing carbon markets provided to forestry practitioners.</li> </ol>	
<b>Organizational Result E6 - Environmental values of forests, trees outside forests and forestry are better realized; strategies for conservation of forest biodiversity and genetic resources, climate change mitigation and adaptation, rehabilitation of degraded lands, and water and wildlife management are effectively implemented</b>	
<b>Indicator</b>	<b>Targets (4 years)</b>
<b>E6.1</b> Number of countries using FAO technical assistance and documentation on conservation and sustainable use of forest biodiversity (at genetic, species and ecosystem levels)	Ten additional countries
<b>E6.2</b> Number of countries with improved watershed management practices based on use of FAO technical assistance and documentation	Ten countries
<b>E6.3</b> Active country participation in preparing the State of the World's Forest Genetic Resources (to be completed by 2013)	A majority of FAO member countries participate in at least one workshop or expert consultation on the subject; all six regional forestry commissions participate in the process.
<b>E6.4</b> Number of countries using FAO information, guidelines and technical assistance for integrating climate change strategies into national forest policies and into forest management plans	3 countries using the guidelines
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. Provide technical, policy, and legal assistance in support of landscape and ecosystem approaches and the development of payment for environmental services schemes, with an emphasis on mountain ecosystems, arid zones and rangelands, coastal forests and other fragile ecosystems.</li> <li>2. Development and use of guidelines for adapting forest policies, institutions, practices and governance arrangements to improve climate change mitigation and adaptation.</li> <li>3. Support national and regional initiatives to conserve biological diversity including wildlife resources in protected areas and production forests.</li> <li>4. Provide policy and technical assistance to improve the management of watersheds, to rehabilitate degraded forest lands and combat desertification.</li> </ol>	

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**ANNEX 7: STRATEGIC OBJECTIVE F -  
SUSTAINABLE MANAGEMENT OF LAND, WATER AND GENETIC  
RESOURCES AND IMPROVED RESPONSES TO GLOBAL ENVIRONMENTAL  
CHALLENGES AFFECTING FOOD AND AGRICULTURE**

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**Issues and Challenges**

Natural resources (land, water, climate and genetic resources) and their services are essential to food production, rural development and sustainable livelihoods. Conflicts and competition over access to, and the use of these resources will increase in many regions, due to rising demands for food, water, fibre and energy. Increased intensity of natural resource use will result in the loss of biodiversity and the degradation of productive land and water resources. This will be exacerbated by the anticipated impacts of climate change on agricultural production, growing conditions, water availability, occurrences of extreme weather events and others, as well as by volatility in global markets. Hence, the sustainable management of natural resources for the benefit of present and future generations requires distinct technical disciplines to address key aspects of natural resources and their governance, as well as multi-disciplinary and multi-sectoral approaches so that competition for natural resources can be reduced. This includes support of the development and use of international instruments. A central challenge is to ensure that the capacities to manage and regulate natural resource use are supported at all levels. These capacities will need to respond effectively to rapid socio-economic transitions and emergencies. They will need to be underpinned by key data (including geospatial), knowledge and approaches, available at the national, regional and global levels.

Many opportunities exist to limit the adverse impacts of climate change through improved knowledge and management of natural resources in agriculture, forestry and fisheries policies and practices. Adaptation and mitigation strategies will involve reduction of anthropogenic emissions and the enhancement of carbon sequestration. Financing mechanisms (e.g. CDM, GEF, PES and others) support means to mitigate and adapt to climate change that apply across sectors and that require multidisciplinary approaches. However, complex procedures and restrictive eligibility criteria have tended to hamper funding of activities relevant to agriculture, forestry and fisheries. There is increasing international recognition that bioenergy development both offers opportunities and challenges for sustainable agricultural and rural development. International and national data and information and consultative processes leading towards sustainable bioenergy strategies and policies are needed.

**Assumptions and Risks**

- Assumption that the current international interest in and commitment to sustainable natural resources management, reflecting its critical importance for food security and poverty reduction, will continue and be converted into policy decisions and budget allocations to promote the adoption of appropriate management approaches and practices.
- Assumption that, at the national level, countries will be able to set achievable goals and formulate relevant policies, programmes and practices for the sustainable management of their natural resources, including, for example, for access to genetic resources and the sharing of benefits derived from their use, access to and tenure of land, and for adaptation to and mitigation of climate change.
- Assumption that FAO can contribute effectively to the formulation of relevant instruments related to sustainable natural resources management at the international level and their implementation at the national level.
- Assumption that, at the institutional level of FAO, adequate mechanisms exist to ensure effective inter-unit collaboration.
- Risk that international policies and arrangements cannot be agreed by countries for sustainable natural resources management, including, for example, in relation to access to genetic resources and the sharing of benefits derived from their use; and in relation to climate change related instruments, such as the Kyoto protocol and any post-2012 arrangements, Clean Development Mechanism and other carbon market mechanisms, facilitating farmers' access to such financial resources.

- Risk that, at the national level, countries are not able to develop the capacities to manage the opportunities and challenges and mobilise necessary resources for capacity building related to sustainable natural resources management.
- Risk that as a result of climate change new challenges will develop in relation to natural resources and their sustainable management for which appropriate mitigation and/or adaptation mechanism have not yet been explored.

### Application of Core Functions to Strategic Objective F

Org Result	A - Perspectives, trend monitoring, assessment	B - Information, knowledge, statistics	C - International instruments	D - Policy advice	E - Tech support, capacity building	F - Advocacy, communication	G – Inter-disciplinary approach	H - Partnerships, alliances
<b>F1</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>F2</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>F3</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>F4</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>F5</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>F6</b>	<b>X</b>	<b>X</b>		<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>

### Organizational Result F1 - Countries promoting and developing sustainable land management

Indicators	Target (4 years)
<b>F1.1</b> Number of countries whose land resources databases and geospatial infrastructure meet FAO standards/criteria	10 countries
<b>F1.2</b> Number of countries whose national land use plans, national strategies and national land use legislation are consistent with FAO guidelines and policies for sustainable land management including in environments at greatest risk (particularly drylands/ mountains/ coastal zones)	10 countries

### Primary Tools for achievement of the Organizational Result

1. Provide policy and legal advice, capacity building and technical guidance and/or develop guidelines on how to use land in sustainable ways, including the analysis of food chains and their relative impact on the land resources, and ecosystem approaches.
2. Strengthening the capacity of countries to generate and use soil, land cover and land use data at the national level, including through the establishment of appropriate Spatial Data Infrastructures and Standards.
3. Contribute to the preparation of a periodic, high-profile FAO publication on the State of Land and Water Resources (SOLAW).
4. Assess and monitor land resources, land use, land suitability, land degradation, and soil/land management practice and coordinate, compile and disseminate global level assessments notably through Geonetwork.
5. Contribute to the long-term perspectives, harmonised monitoring, assessment and reporting of trends at various levels: global, regional and national.
6. Strengthen the contents, coverage, and quality of statistics on land resources, use, and management in FAOSTAT to enable it as an important information system in support of design, monitoring and implementation of effective and efficient global and national policies.
7. Support international conventions where land use, land use change and land degradation are relevant and support countries in their reporting obligations under these international instruments and in implementing these conventions through appropriate national legislation.
8. Assess interactions between land and climate change, including greenhouse gas emissions and sequestration, and payments for environmental services.



<b>Organizational Result F2 - Countries address water scarcity in agriculture and strengthen the capacities to improve water productivity of agricultural systems at national and river-basin levels including trans-boundary water systems</b>	
<b>Indicators</b>	<b>Target (4 years)</b>
<b>F2.1</b> Number of countries or river-basin organizations whose water-scarcity coping strategies adopt FAO recommendations	8 countries or river basins organizations
<b>F2.2</b> Number of institutions which have adopted FAO water productivity enhancement tools and approaches.	20 institutions
<b>F2.3</b> Number of users accessing and downloading FAO water information products and global datasets	50% increase above the baseline
<b>Primary Tools for achievement of the Organizational Result</b>	
<ol style="list-style-type: none"> <li>1. Strengthening of FAO Water platform to promote joint technical work and disseminate results on the multi-functional use and cross-sectoral management of water within FAO (through collaboration between relevant units, including water, land, agriculture, livestock, economics, forestry, legal, policy and investment units).</li> <li>2. Provision of water policy services to address water management strategies in support to rural development and agricultural productivity enhancement, and the adoption of effective water allocation under conditions of scarcity. Deployment of water audit, irrigation and water investment framework methodologies to account for agriculture's water use and related investment in institutional and infrastructure assets.</li> <li>3. Provision of technical support to promote responsive agricultural water management. Strengthening of national capacity to address irrigation performance and modernization, water use efficiency and productivity enhancement, water quality management and technological development using FAO main products (including MASSCOTE, AQUACROP, etc.) and guidelines.</li> <li>4. Networking with key partners for the effective promotion of best practices in agricultural water management. Support to knowledge hubs and communities of practice for knowledge synthesis, dissemination, and capacity building at requisite scales.</li> <li>5. Provision of water information services to underpin field and normative water activities across FAO. Coordinate, compile and disseminate assessments of water resources and water use at global level (AQUASTAT, and linkage with FAOSTAT, GeoNetwork), and develop global analysis on status and trends of water resources (specifically, for FAO's AT2030/50 projections, the World Water Development Report and inter-agency coordination on water issues – UN-Water).</li> </ol>	
<b>Organizational Result F3 - Policies and programmes are strengthened at national, regional and international levels to ensure the conservation and sustainable use of biological diversity for food and agriculture and the equitable sharing of benefits arising from the use of genetic resources</b>	
<b>Indicators</b>	<b>Target (4 years)</b>
<b>F3.1</b> Number of outputs and milestones achieved, as agreed by the intergovernmental Commission on Genetic Resources for Food and Agriculture (CGRFA) in its Multi-Year Programme of Work on biodiversity for food and agriculture	Two milestones and four major outputs achieved
<b>F3.2</b> Number of countries whose national programmes and policies on biodiversity for food and agriculture incorporate policies and recommendations from the Commission on Genetic Resources for Food and Agriculture	10 countries
<b>F3.3</b> Number of joint work plans or cooperation arrangements on biodiversity for food and agriculture with international forums, such as the Convention on Biological Diversity, the World Intellectual Property Organization and the International Treaty on Plant Genetic Resources for Food and Agriculture	5

<b>Primary Tools for achievement of the Organizational Result</b> <ol style="list-style-type: none"> <li>1. Provide an intergovernmental forum for policy making, including the negotiation of effective international instruments and the up-dating of existing instruments (e.g. Global Plan of Action for Plant Genetic Resources), on all components of biodiversity of relevance to food and agriculture, including through facilitating sessions of the CGRFA.</li> <li>2. Guide and oversee: 1) assessments of the state of the world's different components of genetic resources for food and agriculture, and 2) the implementation of policy instruments on biodiversity for food and agriculture.</li> <li>3. Facilitate the achievement of outputs and milestones established by the Commission's Multi-year Programme of Work.</li> <li>4. Establish partnerships and strengthen cooperation with relevant international organizations, <i>inter alia</i> through the coordination of FAO expertise/cooperation with allies, to facilitate through policy and technical advice the implementation of instruments of relevance to biodiversity for food and agriculture.</li> <li>5. Monitor trends regarding the use and exchange of genetic resources for food and agriculture to assist in articulating policy and strategy options for access and benefit-sharing policies, at national, regional and international levels, aiming at improving food security.</li> </ol>	
<b>Organizational Result F4 - An international framework is developed and countries' capacities are reinforced for responsible governance of access to and secure tenure of land and its interface with other natural resources</b>	
<b>Indicators</b>	<b>Target (4 years)</b>
<b>F4.1</b> Increased international consensus on measures to improve governance of access to and secure tenure of land and its interface with other natural resources	Adoption of voluntary guidelines by FAO Technical Committee(s)
<b>F4.2</b> Number of countries that have increased capacity to implement secure and equitable tenure of land and its interface with other natural resources.	15 countries
<b>Primary Tools for achievement of the Organizational Result</b> <ol style="list-style-type: none"> <li>1. Support for the development of consensus on voluntary guidelines and policies on responsible governance of tenure, including through the development of partnerships and alliances, and undertaking advocacy and communication.</li> <li>2. Tools and methodologies for building capacity in the administration of natural resource tenure, including through the development of partnerships and alliances to stimulate the dissemination and application of information.</li> </ol>	
<b>Organizational Result F5 - Countries have strengthened capacities to address emerging environmental challenges, such as climate change and bioenergy</b>	
<b>Indicators</b>	<b>Target (4 years)</b>
<b>F5.1</b> Number of countries that have developed action plans and projects to address the challenges of climate change mitigation and adaptation in agriculture	15 countries
<b>F 5.2</b> Interactions and linkages between food security, sustainable natural resources management, poverty reduction and adaptation to climate change recognised and addressed in international dialogue and Multilateral Agreements.	10 countries have developed projects and are actively involved in dialogue
<b>F5.3</b> Number of countries that are implementing sustainable bioenergy development programmes through an enabling policy environment, stronger implementing organisations and more training/education programmes on the topic.	15 countries

<b>F5.4</b> Interactions and linkages between food security, sustainable natural resources management, poverty reduction, and sustainable bioenergy development recognised and addressed in international dialogue and Multilateral Environmental Agreements.	10 countries have developed projects and are involved in dialogue
<b>Primary Tools for achievement of the Organizational Result</b> <ol style="list-style-type: none"> <li>1. Generation and management of knowledge, data, tools, technologies, approaches, communication for development and extension practices, related to sustainable bioenergy development and climate change mitigation and adaptation, including impact assessments, (climate related) disaster risk reduction, and financial implementation mechanisms, such as payments for environmental services.</li> <li>2. Technical assistance, policy and legal guidance to strengthen countries' capacities related to environmental challenges including climate change impact assessment, mitigation and adaptation, (climate related) disaster risk reduction, sustainable bioenergy development and adapted production systems.</li> <li>3. Training, appropriate information, Website developments and other types of communication and capacity building support related to the challenges of climate change and sustainable bioenergy development.</li> <li>4. Participation in international dialogues on climate change mitigation and adaptation and sustainable bioenergy development and in Multilateral Environmental Agreements, including technical support to countries to facilitate and make more efficient their participation in these international dialogues.</li> <li>5. Advocacy and provision of inputs to intergovernmental processes to ensure that the dimensions of food, crop, livestock, forestry and fisheries are reflected in the negotiations, financial mechanisms and the implementation of international instruments addressing global challenges.</li> </ol>	
<b>Organizational Result F6 - Improved access to and sharing of knowledge for natural resource management has been facilitated.</b>	
<b>Indicators</b>	<b>Target (4 years)</b>
<b>F6.1</b> Number of countries with projects in place to enhance capacities of research and extension systems for sustainable natural resource management	10 countries
<b>F6.2</b> Number of programmes and strategies by countries, regions, and globally in communication for development for sustainable natural resource management developed and implemented	10 programmes and strategies
<b>Primary Tools for achievement of the Organizational Result</b> <ol style="list-style-type: none"> <li>1. Technical assistance and policy advice to Member Countries on strengthening national research and extension systems.</li> <li>2. Development of a coalition with CGIAR, GFAR, and other international agricultural research entities for sustainable agricultural development and knowledge availability and transfer.</li> <li>3. Development of assessment tools and strategies for countries' research, extension systems and communication for development plans in sustainable agricultural development and natural resources management.</li> <li>4. Facilitation of dialogue to establish functional linkages among stakeholders of agriculture innovation systems</li> </ol>	

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## ANNEX 8: STRATEGIC OBJECTIVE G - ENABLING ENVIRONMENT FOR MARKETS TO IMPROVE LIVELIHOODS

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### *Issues and Challenges*

Agricultural producers, workers, traders, processors, input suppliers, exporters, importers and consumers are linked through local, national, regional and international markets. As a result of these multiple exchanges, incomes and employment can be generated. Livelihoods are therefore affected by the extent to which participants exploit market opportunities, and markets function efficiently in a changing environment. However, the effective participation of developing country producers in markets is limited and the efficient functioning of markets is constrained by *inter alia* inappropriate policies, low volumes, limited competitiveness, lack of information, inadequate infrastructure, weak institutions and market power asymmetries. At the same time, markets are evolving as a result of changes in technology, trade rules, structural developments, the proliferation of demanding standards and a variety of other emerging issues.

Stakeholders need analytical information concerning the nature and the implications of such changes for growth, rural poverty and food security. They also need improved capacity to participate effectively in international fora negotiating international trade rules so that their interests are taken into account. To reduce poverty and meet development and food security needs, policy makers should have the capacity to identify and implement appropriate policies to facilitate the response of the private sector, including small producers, to new market demands and opportunities. At the same time, employment creation in agriculture or through rural enterprise and agribusiness development needs to be accompanied by policies that ensure fair and safe conditions in rural areas.

### *Assumptions and Risks*

- Assumption that there is a significant need for assistance to countries, regional bodies and other stakeholders to assess the implications of key developments and to identify market, institutional, policy and legal responses and resource mobilization strategies.
- Assumption that those involved directly in production, processing and marketing activities generally need to adopt a more commercial approach and improve their technical, managerial and marketing skills in order to benefit from remunerative markets.
- Assumption that given the globalization of value chains, stakeholders need to be cognizant of developments in international markets and policy and in international trade rules.
- Assumption that analysis and information concerning markets are needed to support the development of appropriate national and international policies.
- Assumption that countries support policy design and implementation and FAO and its partner organizations have the capacity to assist them.
- Risk that ministries of agriculture and other relevant organizations may be ill-equipped to analyze, formulate or implement appropriate policies, regulations and legislation and to develop other aspects of an enabling environment for rural producers, workers, and agribusinesses.
- Risk that governments may not demonstrate the political will and financial commitment to improve the functioning of national and international markets and other institutions and infrastructural investments to encourage greater market orientation of small producers may not be in place.
- Risk that the market possibilities of smaller enterprises may be adversely affected by the power of larger enterprises, including multinational companies.
- Risk that efforts to create an enabling environment may be compromised by political, economic (including food price volatility), and environmental crises that may transcend national boundaries.

[illegible]

10. Contribute to the development of appropriate risk management tools for producers.	
<b>Organizational Result G2 - Rural employment creation and income diversification are integrated into agricultural and rural development policies, programmes and partnerships.</b>	
<b>Indicator</b>	<b>Target (4 years)</b>
<b>G2.1</b> Policy makers, partners, and FAO units use FAO analyses of patterns and trends of farm and non-farm employment and effective policies and programmes to promote sound approaches to rural employment and income diversification	60 Citations 8 countries/partners 8 FAO units/offices
<b>G2.2</b> Countries are developing food security, agriculture and rural development programmes and policies that explicitly promote sound approaches to rural employment and income diversification	8 countries ; 8 units/offices
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. Establishment and maintenance of a database with primary data and information on sources of income and other socioeconomic characteristics of rural households.</li> <li>2. Policy relevant analytical work on rural households' sources of income and patterns and trends in farm and off-farm employment, including gender differences.</li> <li>3. FAO self-assessment, strategy, and work programme on decent rural employment developed to reflect all relevant FAO technical areas and accessible to member countries and partners through the FAO-ILO website and other channels.</li> <li>4. Policy advice to create both more and better rural employment in agricultural and non-agricultural rural sectors.</li> <li>5. Capacity building and advocacy work to support policies that are more conducive to decent rural employment.</li> <li>6. Capacity building in data collection and analysis of rural employment and income issues.</li> <li>7. ILO standards and conventions (i.e. gender discrimination, child labour, youth employment, occupational health and safety, rural enterprise creation, rights of association, labour standards) and FAO negotiated and voluntary standards and codes of practice relevant to rural employment concerns (i.e. chemicals/pesticide use, distribution and disposal, equipment safety, Good Agricultural Practices (GAP), logging, and safety at sea (on board of vessels); maritime convention; code of conduct of responsible fisheries, etc.).</li> <li>8. FAO-ILO Memorandum of Understanding (2004) and ILO, IFAD, FAO, IFPRI, IFAP, IUF Declaration of intent on cooperation on child labour in agriculture (2007).</li> </ol>	
<b>Organizational Result G3 - National and regional policies, regulations and institutions enhance the competitiveness and developmental impacts of agribusiness and agro-industries</b>	
<b>Indicator</b>	<b>Target (4 years)</b>
<b>G3.1</b> Policy makers and development partners are better informed about agribusiness and agro-industry trends, opportunities and risks, and effective public sector actions to promote agribusiness and agro-industries development	Ten countries with strategies for improving agribusiness competitiveness in their ARD policy documents - at least ten member countries and private sectors within those countries have an enhanced understanding of issues relating to value chain financing for agribusiness development

<b>G3.2</b> Countries with agribusiness development strategies mainstreamed in agricultural and rural development (ARD) policies and plans, and with clarified institutional mandates and enhanced capacity for agro-industry sector oversight and coordination, and stronger public-private cooperation	Six countries have clarified institutional mandates for agri-business and agro-industries - four countries receiving direct assistance from FAO to build public sector capacity for agri-business, mechanization, value chain and agro-industries development
<b>G3.3</b> Governmental and non-governmental organizations with improved capacity to provide services for strengthening farm-agribusiness linkages, agribusiness management, and agro-industry product, process and technological innovation, including through SME development	Ten countries have official documented mechanisms for including the private sector in policy development - six countries have received direct FAO assistance on strengthening and diversifying support services to the SME sector. Six countries have received direct FAO assistance on developing agro-industry product, process and technological innovation
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. Appraisal of trends and policy responses.</li> <li>2. Support countries in developing sectoral strategies for agribusiness and agro-industries.</li> <li>3. Identify sector specific indicators and benchmarks to guide policy development and institutional reform.</li> <li>4. Promote actions to improve financial services to agribusiness.</li> <li>5. Support governments in formulating strategies and policies for mechanization.</li> <li>6. Provide guidance on public sector roles and responsibilities for contract intermediation, conflict resolution, and promotion of responsible business practices.</li> <li>7. Build capacity of organizations that provide support to agricultural SMEs.</li> <li>8. Support piloting and appraisal of SME value adding technologies and value chain innovations.</li> <li>9. Contribute to the development of appropriate risk management tools for agro-enterprises.</li> </ol>	
<b>Organizational Result G4 - Countries have increased awareness of and capacity to analyze developments in international agricultural markets, trade policies and trade rules to identify trade opportunities and to formulate appropriate and effective trade policies and strategies</b>	
<b>Indicator</b>	<b>Target (4 years)</b>
<b>G4.1</b> Policy-makers and other stakeholders are better informed about trends in international agricultural commodity markets, trade policy and related trade negotiations issues	Increase/same
<b>G4.2</b> FAO analyses of international agricultural commodity markets, trade policies and negotiating issues found relevant and of high technical quality	Higher ranking +10 percent
<b>G4.3</b> Capacity to analyse policy options, formulate appropriate trade policies and participate effectively in trade negotiations enhanced	80 percent
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. Monitoring, statistical information and analysis of situation and outlook for international markets for agricultural products.</li> <li>2. Analysis of standards in international agricultural trade.</li> <li>3. Analysis of trade policies and strategies.</li> <li>4. Monitoring and analysis of changes in trade rules under multilateral and regional trading arrangements.</li> <li>5. Advice, training support and assistance in market information and analysis.</li> </ol>	

6. Advice, training support and assistance related to standards and certification.
7. Advice, training support and assistance in policy formulation and legislative development.
8. Advice, training support and assistance on international trade negotiations - workshops, roundtables and technical assistance.



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## ANNEX 9: STRATEGIC OBJECTIVE H - IMPROVED FOOD SECURITY AND BETTER NUTRITION.

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### *Issues and Challenges*

It is now clear that it will not be feasible to meet the Millennium Development Goal (MDG) target for halving hunger by 2015. Malnutrition acts as a break on economic development and ways and means must be urgently found to accelerate reductions in hunger and malnutrition and to raise levels of food security and nutrition for all.

FAO's most recent estimates put the (rising) number of hungry people at 963 million in 2008, an increase of more than 120 million since the 1990-92 base period. Moreover, micronutrient malnutrition affects about 2 billion people worldwide - over 30% of the world's population. Globally 10 million children die before their fifth birthday every year - over a third caused by undernutrition. One in three developing country children under the age of five – 178 million children – suffer stunting due to poor quality diets and disease.

Exacerbating factors include demographic changes (population growth and urbanization) that increase demand for food and alter dietary patterns at the same time as widespread land degradation, increased smallholder marginalization, transboundary movement of diseases, and environmental pressure. Efforts to overcome food insecurity and malnutrition are made more arduous by the impact of the present financial and economic crisis and in particular of soaring or volatile food prices, impact of climate change and climate variation, and use of food crops as biofuel.

As events in 2008 demonstrated, national, regional and global capacities in support of appropriate and effective food security and nutrition governance are weak. Economic, political, institutional, regulatory, legal and social frameworks must be strengthened for better food security and nutrition governance and in support of the realisation of the right to food.

The magnitude of hunger, food insecurity and malnutrition has been assessed in many countries; however, there remains insufficient understanding of the prevalence and root causes of food insecurity and malnutrition among vulnerable groups at sub-national levels. Timely and forward looking assessments and analyses are needed for the design and implementation of appropriate policies, prioritised investment programmes and interventions to address food security and nutrition challenges.

The immediate needs of vulnerable populations must be met, while at the same time building longer-term resilience by tackling the underlying causes. Consequently up-to-date information, analyses, policies and programmes are needed for determining the underlying causes of food insecurity and malnutrition and for identifying and implementing effective solutions. Bringing together FAO knowledge, targeted initiatives and programmes supported by consistent, coherent and effective action at country (at both at sub-national and national), regional and global levels is a prerequisite to achieve this Strategic Objective.

### *Assumptions and Risks*

- Assumption that national governments and the international community create an enabling policy environment and supportive institutional and technical mechanisms to implement cross-sectoral food security and nutrition policies, programmes and actions.
- Assumption that food security and nutrition issues are well articulated in national exercises such as the PRSP, UNDAF, and in national government priorities.
- Assumption that adequate human resources and budgets are made available by countries and development partners to overcome the constraints to achieving sustainable food and nutrition security.
- Assumption that there is willingness among concerned national line ministries and institutions and among international agencies and other development partners to work cross-sectorally at all levels.
- Assumption that national information systems have the capacity needed to assess and monitor developments in food security and nutrition, while also providing the necessary data for the compilation of Supply Utilization Accounts and Food Balance Sheets used for the estimation of undernourishment.

- Assumption that countries and development partners provide adequate attention and resources to dietary diversification and nutrition improvement.
- Assumption that households and household members have entitlement and access to sufficient economic and physical resources and awareness of how to efficiently manage such resources for improved food security and better nutrition.
- Assumption that sufficient awareness of the benefits of a healthy diet leading to greater demand for nutritionally adequate, safe and diverse diets.
- Risk that civil strife, political and economic instability, lack of financial commitment and insufficient policy dialogue hinder the implementation of needed reforms.
- Risk that lack of effective collaboration and insufficient capacity of key stakeholders to effectively participate and contribute to decision-making processes.
- Risk that lack of economic resources and political will may jeopardize targeting of the poor and most marginalized sectors of the society.
- Risk that external factors (water, sanitation, HIV pandemic, tuberculosis, malaria and other diseases) offset dietary improvements and gains in food utilization.

#### Application of Core Functions to Strategic Objective H

Org Result	A - Perspectives, trend monitoring, assessment	B - Information, knowledge, statistics	C - International instruments	D - Policy advice	E - Tech support, capacity building	F - Advocacy, communication	G – Inter-disciplinary approach	H - Partnerships, alliances
<b>H1</b>	<b>X</b>			<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>H2</b>	<b>X</b>		<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>H3</b>				<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>H4</b>	<b>X</b>	<b>X</b>			<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>H5</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>

#### Organizational Result H1 - Countries and other stakeholders have strengthened capacity to formulate and implement coherent policies and programmes that address the root causes of hunger, food insecurity and malnutrition

Indicator	Target (4 years)
<b>H1.1</b> Countries and other stakeholders formulate sectoral and cross-sectoral policies and strategies that better incorporate food security and nutrition dimensions	(i) 10 countries; 2 regions (ii) ex-ante assessment 6 countries
<b>H1.2</b> Countries implement cross-sectoral policies, strategies and programmes that address food security and nutrition concerns and objectives, in particular for most vulnerable groups	(i) 33 NPFS and 8 RPFS (ii) 10 countries
<b>H1.3</b> Stakeholders establish cross-sectoral results-based policy monitoring systems	Methodology implemented in at least 5 pilot countries

#### Primary Tools

- Advocacy and cross-sectoral collaboration: Development and dissemination of lessons learnt on policy processes and management, raising awareness of, and developing evidence-based advocacy strategies, while working through partnerships and alliances across agencies (e.g. SCN/REACH, IAAH/NAAH, UNDP/Spain MDG Fund) and at national and regional levels to advocate for investment in prioritised cross-sectoral food security and nutrition programmes, including through improved information and communication.
- Monitoring and analysis: Develop and deliver methods and tools for strengthening global, regional and national food security information and early warning systems including support to national FIVIMS, poverty and vulnerability assessments in support of better-targeted and prioritised policies and programmes. In addition, provide methods and tools for ex ante socio-economic policy impact assessments, policy monitoring and intelligence systems, and technical assistance for results-based policy monitoring system.
- Provision of FAO policy and programme advice: Conduct global, regional and country analysis of impacts of macroeconomic, agricultural and socio-economic policies on food and nutrition, and the impacts of food security and nutrition policies on development objectives of the country;

preparation of policy profiles and frameworks on food security and nutrition-related emerging issues, and technical advice on ways to integrate food security and nutrition goals and objectives in national development and sector policies, strategies and programmes.

- Capacity development and institution building: Provision of technical and institutional support for the development of analytical and methodological tools for ex-ante policy impact analysis and policy monitoring, priority setting for programme development and implementation, food security and nutrition linkages, negotiations skills, participatory and sustainable food security and nutrition strategy and policy formulation; furthermore, strengthen capacities of national and local institutions to formulate, implement, monitor and evaluate food security and nutrition strategies and programmes, reduce post-harvest production losses and enhance efficiencies in the food system/value chain.

**Organizational Result H2 - Member countries and other stakeholders strengthen food security governance through the triple-track approach and the implementation of the Voluntary Guidelines to Support the Progressive Realization of the Right to Adequate Food in the Context of National Food Security**

Indicator	Target (4 years)
<b>H2.1</b> Countries adopt a triple-track strategy and apply good governance principles in the formulation, implementation and monitoring of policies, programmes and other public actions	5 countries
<b>H2.2</b> Countries implement enabling institutional, legal and/or social environments for the progressive realization of the right to adequate food	10 countries
<b>H2.3</b> Countries target specific food insecure and vulnerable groups and apply human rights principles when implementing policies and programmes	10 countries
<b>H2.4</b> Countries undertake advocacy, communication and education strategies in support of good food security governance and the right to food	10 countries

**Primary Tools**

- Conceptual guidance on the development and implementation of a triple-track approach.
- Capacity development and advocacy on the application of triple-track approach and the principles of good governance (including transparency, accountability, participation, non-discrimination, empowerment, and respect for the rule of law).
- Application and adaptation of FAO's Right to Food Methodological Toolbox (comprising guides and methodological tools on how to legislate, monitor, assess, budget for the right to food, including the right to food curriculum development) to guide and promote policies, strategies, programmes and public actions.
- Assessment and analysis of population groups most vulnerable to food insecurity and malnutrition (FAO-FIVIMS).
- Knowledge generation and exchange with national and international partners on the application of the right to food and human rights-based approaches, including the collection, analysis and dissemination of best practices and lessons learned.
- Provision of a multi-stakeholder platform for dialogue and exchange of lessons learned on the implementation of good governance and the right to food (e.g. CFS, GPFS, RTF Forum).
- Technical and policy advice on legal, institutional and social reforms.
- Integration of the right to adequate food and human rights principles and approaches in FAO's normative and operational work.

<b>Organizational Result H3 - Strengthened capacity of Member countries and other stakeholders to address specific nutrition concerns in food and agriculture</b>	
<b>Indicator</b>	<b>Target (4 years)</b>
<b>H3.1</b> Countries and other stakeholders incorporate nutrition objectives into agricultural and other sector policies, strategies and programmes	10 countries
<b>H3.2</b> Countries have strengthened capacity to assess and analyse the impact of changing food systems on nutrition	10 countries
<b>H3.3</b> Countries have strengthened institutional capacity to address nutrition problems through relevant training, education and regulations	10 countries
<b>Primary Tools</b> <ul style="list-style-type: none"> <li>• Provision of household food security and nutrition expertise, methods, guidelines and analytical tools for nutrition and dietary assessment to support food and nutrition policy, strategy and programme development, to select appropriate food-based interventions and to assess impact</li> <li>• Household and individual level dietary diversity and food access measures (food security and nutrition assessment and monitoring)</li> <li>• Assessment and analysis of population groups most vulnerable to food insecurity and malnutrition (FAO-FIVIMS)</li> <li>• Advice on incorporating nutrition objectives into food and agricultural policies and programmes to address food-related nutrition problems</li> <li>• Build capacity in the development of science-based national dietary guidance and regulations and develop educational and communication resources on improving nutrition and the diversity of diets for dissemination and adaptation at local, national and regional levels</li> <li>• Upgrade countries' institutional abilities to develop and implement nutrition curricula and professional training programmes at all levels to assist countries raise the level of capacity and understanding of the importance of nutrition concerns in the broader policy/programme environment</li> </ul>	
<b>Organizational Result H4 - Strengthened capacity of Member countries and other stakeholders to generate, manage, analyse and access data and statistics for improved food security and better nutrition</b>	
<b>Indicator</b>	<b>Target (4 years)</b>
<b>H4.1</b> Countries use FAO guidelines, methodologies and standards for collecting, analyzing and disseminating data and statistics on food and agriculture	50 countries
<b>H4.2</b> Countries strengthen their capacity in data management, analysis and dissemination to support decision-making at national and sub-national levels	30 countries
<b>H4.3</b> Countries and other clients access FAO databases and statistical publications on food, agriculture and nutrition at global, regional and country levels	1.5 million hits for FAOSTAT
<b>Primary Tools</b> <ul style="list-style-type: none"> <li>• Capacity building on food balance sheets, agricultural census and household budget surveys.</li> <li>• Developing global datasets on food security situation and trends.</li> <li>• Promoting greater sharing and consolidation of food security and nutrition data and statistics</li> <li>• Promoting the adoption or development of data and information management systems, such as CountrySTAT.</li> <li>• Adapting and developing new and appropriate statistical methods.</li> </ul>	

- Providing technical support to improve countries' capacity to analyse data and statistics in order to better assist decision-makers to formulate sound food security and nutrition policies and programmes.
- Developing strategies in support of sustainable national statistical services.
- Promoting the production of supply/utilization accounts and food balance sheets. (SUAs/FBSs), including statistics on macro-nutrient and micro-nutrient availability.
- Promoting the generation and dissemination of food security statistics from household surveys.

**Organizational Result H5 - Member countries and other stakeholders have better access to FAO analysis and information products and services on food security, agriculture and nutrition and strengthened own capacity to exchange knowledge**

<b>H5.1</b> Member countries and other stakeholders access FAO knowledge and information resources, products and expertise to address food security and nutrition concerns	30 countries, regional institutions
<b>H5.2</b> Member countries and other stakeholders use FAO research and analysis on food security, agriculture and nutrition	To be defined
<b>H5.3</b> Member countries and other stakeholders use FAO standards, tools, and systems for information management and knowledge sharing	To be defined

**Primary Tools**

- Publish country, regional and global FAO research and analytical materials on food security, poverty, agriculture and nutrition (i.e. Working papers, journal articles, policy briefs, etc)
- Publish FAO targeted information/knowledge products including flagship publications (SOFA, SOFI, SOCO, SOFIA), periodic reports and key documents on emerging issues relevant to food security, agriculture and nutrition (Food Outlook, CPFS, CFSAM Reports, Agricultural Outlook)
- Conduct socio-economic analysis on global perspective issues related to major long-term global food, nutrition, agriculture and natural resources issues with the objective to inform policy decisions and development plans based on analytic information and informed judgement
- Conduct household analysis relevant to address rural poverty, food insecurity, income and employment issues
- Develop and deliver methods, tools and guidelines to standardize and harmonize food security and nutrition information (FIVIMS, EC/FAO Food Security Programme)
- Develop global analysis and monitoring services and advocacy for improved decision-making in food security and nutrition (CFS, FAOSTAT, GIEWS, FIVIMS, Nutrition Country Profiles)
- Global, regional and national fora on food security and nutrition supported by FAO (CFS, technical meetings, high level meetings)
- Development of face-to-face and virtual knowledge exchange events and platforms and knowledge sharing services on current and emerging issues at global, regional and national and local levels (e.g, CFS, CCP, Regional/national fora)
- Development and dissemination of FAO standards, methods, tools, and systems related to information management and knowledge sharing (including for digital information)
- Undertake assessments and appraisals of capacity gaps in information and knowledge to strengthen food security and nutrition
- Support to national/local capacity development in management and exchange of information and knowledge
- Development of platforms for documenting experiences, sharing good practices and lessons learned

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## ANNEX 10: STRATEGIC OBJECTIVE I - IMPROVED PREPAREDNESS FOR, AND EFFECTIVE RESPONSE TO, FOOD AND AGRICULTURAL THREATS AND EMERGENCIES.

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### *Issues and Challenges*

Three out of four people in developing countries live in rural areas and depend predominantly on agriculture for their livelihoods. Emergencies tend to have the most severe consequences on the food security and livelihoods of poor, vulnerable and agriculture-dependent populations. The nature of these emergencies ranges from sudden-onset natural disasters, chronic disasters (e.g. drought), complex crises (e.g. civil conflict, market shocks) to the consequences of climate variability. Climate change is not only increasing the frequency and severity of natural disasters, but may also affect the incidence of transboundary pests and diseases.

In 2008, the Centre for the Research on the Epidemiology of Disasters reported 321 disasters associated with natural hazards. Climate-related disasters caused nearly three-quarters of the damage inflicted. In 2008, the number of deaths caused by natural hazards was three-times the average for 2000-2007. Complex emergencies continue to affect tens of millions of persons globally. In response to some of these needs, the 2009 UN Humanitarian Consolidated Appeal reported that 30 million people will require assistance at a record high of USD 8.2 billion, as compared with USD 3.8 billion in 2008 for 25 million people.

Proactive strategies are essential if vulnerable countries are to avoid large-scale loss of life, destruction of the environment, infrastructure and economic activity, and degradation of livelihoods and nutrition. Emergency preparedness and response must address the specific needs of agriculture-based populations, particularly smallholders, pastoralists, fishers, forest users, landless farm workers and their dependants, with particular focus on food insecure and nutritionally vulnerable groups. Effective support should involve all elements of disaster risk management (DRM), including early warning, contingency planning, disaster risk reduction (preparedness), needs assessment, timely response and support to national DRM planning. Collaboration with primary actors, such as UN agencies and partners (UNISDR, GFDRR), regional organizations, national counterparts and other sectors (e.g. health, education, social affairs) must ensure integrated support at global, regional and national levels.

FAO support to country-level preparedness and emergency response will necessarily be influenced by changing financial and institutional conditions. Funding modalities will continue to evolve to be more diversified and pooled at global and country levels. The high number of UN agencies and NGOs involved in food, nutrition and agricultural emergency and rehabilitation work will create opportunities for collaboration and cooperation, but also coordination challenges, particularly those associated with transition from immediate response and rehabilitation to development. Within the UN system, the existing reform process will offer opportunities for FAO with regard to coordination and leadership on food security and nutrition issues at global, regional and national levels. At country level, the governments of countries experiencing emergency situations will play new and stronger roles in risk reduction and the coordination of external assistance through capacity building of national disaster management institutions.

### *Assumptions and Risks*

- Assumption that Governments assign sufficient priority to capacity building in risk analysis, early warning, contingency planning, preparedness, coordination of response in emergencies and supporting transitions from relief to development programming.
- Assumption that countries support national preparedness and early warning systems, and promote capacity development in community, national, regional and international systems to identify new threats and risks, and related impact and mitigation measures.
- Assumption that cost effective and sustainable preparedness methodologies are available for implementation in developing countries.
- Assumption that core capacity of FAO technical divisions generally remain consistent with the need to support work in emergencies, rehabilitation and transitions, and to assume leadership when

appropriate. FAO will manage food chain emergencies applying the Crisis Management Framework for Preventing and Responding to Transboundary Animal Diseases and Plant Pests and Food Safety Emergencies [CMC for the Food Chain]. FAO will augment its rapid response capacity through the progressive corporate implementation of the Incident Command System (ICS) within the Crisis Management Framework for large emergencies..

- Risk that the number and severity of crises may become far greater than the capacity of the countries and the Organization to respond effectively.
- Risk that the global financial crisis precludes adequate levels of funding for humanitarian relief, recovery and transitions programming in the immediate and near future.
- Risk that FAO may not be able to ensure the integrated and coordinated approach necessary to provide appropriate and timely support across all elements of disaster risk management associated with food and agriculture.

### Application of Core Functions to Strategic Objective I

Org Result	A - Perspectives, trend monitoring, assessment	B - Information, knowledge, statistics	C - International instruments	D - Policy advice	E - Tech support, capacity building	F - Advocacy, communication	G - Inter-disciplinary approach	H - Partnerships, alliances
<b>I1</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>I2</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>I3</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>

### Organizational Result I1 - Countries vulnerability to crisis, threats and emergencies is reduced through better preparedness and integration of risk prevention and mitigation into policies, programmes and interventions

Indicator	Target (4 years)
<b>I1.1</b> National early warning systems for agriculture and food security established/ strengthened	With FAO support, X countries have shifted from category 2 to category 1, or from category 3 to 2
<b>I1.2</b> Contingency plans for agriculture and food security prepared and tested	With FAO support, X countries have shifted from category 2 to category 1, or from category 3 to category 2
<b>I1.3</b> Strengthened institutional capacities for disaster risk reduction	DRR training strategies in agriculture field tested and implemented in at least 10 high risk disaster hotspot countries
<b>I1.4</b> Risk reduction strategies for Agriculture, included in national disaster risk management plans.	Sector specific DRR action plans for agriculture included in 15 national DRM plans

### Primary Tools

1. Early warning systems and preparedness: - Development and application of services and products for EW food security situation analysis (GIEWS information and tools, GIEWS Workstation, IPC, climate forecasts) - Products and services supporting assessment and EW systems and food security situation analysis (Livelihood Analysis, Vulnerability Analysis, CFSAM methodology IPC) - Streamlined/ strengthened/ funded local, national, regional and global early warning systems through appropriate partnerships - Developed and implemented FAO Training Package in Disaster Preparedness, internally and with partners - Hazard, Livelihood and Vulnerability Baseline methodology - Guidelines to build/ strengthen capacity to produce, monitor, analyze and manage early warning data in high risk developing countries with significant vulnerable rural populations - Guidelines/ support to contingency planning - FAO response teams established and trained for rapid deployment with core functions delivered for different types of emergencies - Agriculture cluster operational including contingency plan and networks in country (including DRM) - Technical support to emergency preparedness and response provided - Development of disaster preparedness plans and practices (to be an inter-agency - UN, NGOs, Governments and donors) exercise with a holistic approach inclusive of local communities - Disaster preparedness further mainstreamed in emergency and rehabilitation activities - Contingency plan available and owned by the Government - FAO leadership established for coordination of agriculture-based livelihood and food security.

2. Policy and technical support for integrating risk reduction practices and principles into sectoral policies and programmes, including: -FAO and partners (within contingency planning and within cluster groups of UNCT) facilitate Governments to develop DRM strategy and plan (rolling document and linked to the NMTPF) and based on most likely scenarios -DRM mainstreamed in national policies and institutions, with multi-partner collaboration on transition -Integrated policy and technical support for integrated risks reduction practices and principles -Cost benefit analysis tool developed to support mitigation choices/ activities -Countries allocate resources to prevention and mitigation and train surge teams or quick intervention leaders -Countries allocate resources and implement policies on DRR (evidence-based analysis to contribute to national programming processes and capacity building) -Best practices on knowledge sharing and lessons learnt for preparedness, prevention and mitigation communicated through a systematic approach and integrated into projects/ programmes.
3. (CONTD) Policy and technical support for integrating risk reduction practices and principles into sectoral policies and programmes, including: -Promoting sustainable natural resource management practices (for example: land, water, watershed, forestry, or coastal areas) -Farming options development and adoption for Agriculture (forestry, fishery and livestock) in the context of extreme events -Support Household adaptive capacities through the support to food systems resilience - Disease and pest monitoring and control in a crisis context, including climate change -Land use planning and tenure in the context of extreme events or encroachment into new habitats - Infrastructure and agricultural services (for example, seeds systems, seed storage, vaccine banks and cold chain) development in the context of recurrent crises -Infrastructure and appropriately designed food safety risk management programmes -Access to integrated databases for food chain risks - Technical advice and/or assistance provided on food security, nutrition and livelihoods in at risk areas and emergency contexts -TECA database on good practices for DRM, particularly good practice options for climate risk management documented in international DRR and CCA databases - Developing guidance on the principles of good practice options associated with DRR/DRM and documenting lessons learned from application and replication of context-location specific good practice options at the local level - Developing guidance on how to integrate conflict analysis with DRR (focus on complex emergencies and associated rehabilitation)- Farming good practices adopted - Guidance on how to integrate conflict analysis with DRR.
4. Institutional and technical Capacity building for comprehensive Disaster Risk Reduction (Preparedness prevention and mitigation), including: - Assessing and enhancing institutional and technical delivery capacities for DRR within sectoral line departments and extension services; - capacity building and training (Policy and technical support) for integrating DRR practices and principles, into sectoral development plans or country programming exercises (United Nations Development Assistance Framework [UNDAF], National Medium-Term Priority Framework [NMTPF]); -EMPRES-led capacity building programme at national and regional levels on risk assessment, management and communication, including the establishment of regional [laboratory] networks [Regional Animal Health Centres] to share information and deliver training - Provision of targeted FAO expertise and knowledge products in disaster risk profiling, monitoring and analysis and disaster preparedness and mitigation policies and planning - Capacity building programmes (such as EMPRES, GIEWS) at national and regional levels focused on risk assessment, preparedness and contingency planning - Internal built capacity on DRR mitigation, at headquarter and at field level - Trained and experienced core staff group in FAO supporting national efforts in capacity building.
5. Advocacy, coordination and provision of inputs to national, interagency and intergovernmental processes, including: -Participating in inter-agency and intergovernmental processes, and conventions and conferences; -Contributing to integration of DRR and CCA concepts within UNFCCC process; - DRR/DRM advocacy tools focused on Agriculture are used to enhance focus on global DRM agenda (ISDR and UNFCCC) and attract funding for preparedness, prevention and mitigation. - Improved communication strategy and dissemination of information CMC Food Chain contributions to improved risk analysis and coordination of food chain risk management in intergovernmental processes.



<b>Organizational Result I2 - Countries and partners respond more effectively to crises and emergencies with food and agriculture related interventions.</b>	
<b>Indicator</b>	<b>Target (4 years)</b>
<b>I2.1</b> Proportion of countries where post disaster needs assessments lead to coordinated national response plans and activities	Increase by 25% of countries that are supported through joint post disaster needs assessments leading to coordinated national response plans and activities
<b>I2.2</b> Countries are able to coordinate timely and technically sound response with national, local and international partners.	50% of countries responding to a new crisis are applying the Cluster approach and implementing a technically sound agriculture and food security cluster plan.
<b>I2.3</b> Countries are able to implement emergency programmes using socio-economic and gender analysis tools (developed by FAO or with FAO assistance).	Increase by 10% the number of countries utilizing the socio-economic and gender analysis tools and approaches developed by FAO or with FAO assistance.
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. Improved partnerships, coordination and leadership, including: a) Global and country level support for effective cluster leadership; b) Relevant, reliable information on food security related to crisis disseminated to the right people at the right time; c) Cluster communication and information toolkit developed; d) Active partnership in IASC, UNCT and international and national fora.</li> <li>2. Advocacy and resource mobilization, including: a) Advocacy strategies and tools developed and in place; b) Emergencies communication strategy implemented; c) Resource mobilization strategy developed for and with headquarter, liaison and field offices; d) Flexible and fast funding mechanisms established.</li> <li>3. Standardize protocols and procedures for organized response, assessments, and strategic planning, including: a) Coherent Emergencies Handbook developed for FAO; b) Active use of internal and external partnerships in well designed, relevant, timely and multi-disciplinary assessments; c) Training programme for partners developed and implemented; d) Region-specific, relevant strategic emergency frameworks in place; e) Crisis Management Centre approach for food chain emergencies; f) Emergency response system development for FAO rapid response to sudden-onset and large emergencies; g) Emergency Response Roster and surge capacity development; h) Plan of Action Guidelines; i) Livelihood Assessment Toolkit (LAT); j) Resilience Tool; k) IPC.</li> <li>4. Standards, "Do no harm" and "building back better" principles and Good practices for response, including Implement various toolkits and guidelines developed for emergencies dependent on the type of emergency (e.g seed specifications, fertilizer, use of pesticides, processing and storage technologies to facilitate interim food preservation, livestock emergency guidelines, fisheries and aquaculture emergencies guidelines, food safety emergency guidelines, needs assessment guidelines, watershed management approaches, slope stabilization techniques, rehabilitation of livelihood principles, etc).</li> <li>5. Appropriate and timely recovery interventions, including: a) Response plan developed based on appropriate partnerships and promoting high quality standards; b) Implementation : targeted households have improved conditions compared to pre-emergency; c) Project/ programme monitoring aligned with RBM SO I monitoring; d) Enhanced capacity of partner institutions, organizations and households for direct emergency response; e) Support to development of national policies relating to emergencies.</li> </ol>	
<b>Organizational Result I3 - Countries and partners have improved transition and linkages between emergency, rehabilitation and development.</b>	
<b>Indicator</b>	<b>Target (4 years)</b>
<b>I3.1</b> Level of funding provided to agricultural transition.	TBC pending baseline review

<b>I3.2</b> Number of government agricultural recovery strategies and/or programmes that integrate short, medium and long-term needs.	15 transition strategies for agricultural livelihood recovery prepared approved by Governments in countries with emergencies
<p><b>Primary Tools</b></p> <ol style="list-style-type: none"> <li>1. Capacity of governments, local institutions, communities and other stakeholders enhanced to address immediate and long term needs, including: a) Increased national institutional capacity through appropriate capacity building; b) Resilience tool; c) Sector analysis in support of Agriculture systems; d) Short-term contingency plans are integrated into longer term planning.</li> <li>2. Formulated response, rehabilitation and transition strategy plans that are harmonized and aligned with government policies and programs, including: a) NGOs/CSOs/ community groups / women's groups involved at all stages of programme design; b) Increasing national ownership and development of a livelihood recovery strategy; c) Harmonised national development plans through one-UN type approaches which should start with one FAO programme; d) Multidisciplinary team (FAO, donors, local institutions) set up and deployed to assess "transitional needs", based on which country response programme should be amended; e) NMTPF formulation and implementation, ensuring linkage between emergency design to UNDAF, PRSP, etc.; f) Joint training with planning workshops; g) Involving local institutions; h) Fisheries co-management with government and communities; i) National Forest Programs.</li> <li>3. Knowledge management for informed decision making by partners, including: a) Good practices and lessons learned are documented and disseminated to appropriate audiences; b) HPAI intervention facilitating policies and programmes to other diseases; c) Feeding back lessons learnt into policies and training; d) Partners have access to relevant information and references guidelines.</li> <li>4. Mainstreaming of good development practices into emergency transition programs, including: a) Response planning incorporates transition plans starting from initial stages of emergency; b) Strategic documents for emergency and transition include 'exit strategies' and are harmonized and aligned with national plans; c) Establish procedures to adopt programme approach - should include: elements of medium- to long-term development goals; availability of appropriate expertise; ToRs; leadership and delegation of authority; human resources; d) Strategies to increase resilience, enhance productivity, sustain livelihoods; e) Type of programmes: Seed policy formulation, Mangrove rehabilitation, Fishery rehabilitation programmes, Farmers field schools, Integrated food safety programmes, Production planning and coordination of farmer market linkages, Enterprise management, Watershed management programmes.</li> <li>5. Effective advocacy and donor coordination in favor of transition, including: a) Resource allocation mechanisms for transition established; b) Advocacy tools for donors to secure longer-term funding; c) Donors sensitized to the importance of funding for transition; d) Resources allocated identified for transition during emergency phase (including SFERA-like funding and long-term cluster coordination); e) Adequate resources are mobilized for post-emergency activities; f) Advocacy and communication for funding transition (and building in-country support and ownership; g) IPC analysis; h) CWGER: policy dialogues to create space for transition funding.</li> </ol>	

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## ANNEX 11: STRATEGIC OBJECTIVE K - GENDER EQUITY IN ACCESS TO RESOURCES, GOODS, SERVICES AND DECISION-MAKING IN THE RURAL AREAS

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### *Issues and Challenges*

Gender inequalities and other forms of social inequities are a significant challenge in the quest for equitable social and economic development and this exacerbates food, nutrition and income insecurities. Without addressing social and gender inequalities, the global community will not achieve the goals and aspirations of the World Food Summit and Millennium Development Goals. Men and women play different and complementary roles in agriculture but gender bias in a range of institutions, including government, social norms, families and markets, limits women's ability to access resources, goods and services and to make informed decisions about their productive use. Evidence indicates that economic strategies intended to promote agriculture and rural development are not always beneficial to rural populations particularly women, and sometimes amplify existing socio-economic disparities and marginalization and this trend is likely to worsen given the emerging social, economic and environmental issues including climate change, migration, emerging infectious diseases, global and national economic down-turn.

Although a number of countries have shown some progress in embracing a more gender and socially inclusive approach in agricultural policy formulation and implementation, critical gaps remain. First, cultural biases and lack of political will have resulted in the uneven adoption and implementation of internationally agreed policies and conventions on gender and social equality and women's empowerment. Second, the data needed to understand gender differentiated access to productive resources and its impacts on rural poverty reduction and economic growth are scarce. Third, "gender blindness" in policies and programmes has decreased slightly, but the capacity of policymakers and technical staff in many developing countries remains weak, slowing progress and hindering the integration of gender issues in development programmes. Fourth, even where progress has been made, capacity to sustain policy implementation, monitoring and evaluation of results and impact is often weak. It is possible to address those critical gaps and reach a better level of gender equality in access to resources, goods and services and decision making in rural areas, which is the overall aim of this Strategic Objective.

Although FAO has a clear comparative advantage in addressing rural gender and social equality in agriculture, this requires sharp and sustained focus on the following areas: capacity building both within FAO and among member countries (national level) to ensure that achieving gender equality is seen and treated as a mainstream policy and programming issue; incorporation of rural gender issues in relevant UN policies and joint programmes in order to leverage resources and to efficiently scale-up rural gender issues; sustained generation and analysis of information and statistics on various aspects and trends that have significant implications for gender inequality in order to support the timely formulation and implementation of appropriate policies.

### *Assumptions and Risks*

- Assumption that FAO will remain a centre of knowledge and point of reference on rural gender issues.
- Assumption that Member countries and other institutions will continue to request FAO technical support in rural gender issues.
- Assumption that the One UN pilot programme will succeed and thus UN joint programming will become the modus operandi for UN support at country level.
- Risk that national priorities fail to consider and plan development interventions to meet the gender differentiated needs, priorities and aspirations of men and women.
- Risk that political, economic and cultural biases diminish stakeholder appreciation, understanding, and implementation of the social and economic changes needed to address gender inequalities.
- Risk that member countries, UN agencies, other development partners, FAO governing bodies and senior management fail to show commitment to achieving gender and social equality.

- Risk that inadequate data make it difficult to analyse trends in social and gender issues, identify needs and priorities, and support the development of appropriate gender plans and policies.

#### Application of Core Functions to Strategic Objective K

Org Result	A - Perspectives, trend monitoring, assessment	B - Information, knowledge, statistics	C - International instruments	D - Policy advice	E - Tech support, capacity building	F - Advocacy, communication	G - Inter-disciplinary approach	H - Partnerships, alliances
<b>K1</b>		<b>X</b>	<b>X</b>			<b>X</b>		<b>X</b>
<b>K2</b>				<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	
<b>K3</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>				<b>X</b>
<b>K4</b>				<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	

#### Organizational Result K1 - Rural gender equality is incorporated into UN policies and joint programmes for food security, agriculture and rural development

Indicator	Targets (4 years)
<b>K1.1</b> Countries are implementing UN joint programmes which contain a significant rural gender equality component as a result of tools and methodologies developed by FAO or with FAO's assistance.	7
<b>K1.2</b> (New) UN system-wide policy instruments comprise rural gender issues as a result of FAO inputs.	2
<b>K1.3</b> Partners are introducing rural gender equity issues with FAO support particularly in countries under the One UN pilot programme.	4

#### Primary Tools

1. Assess current mechanisms, tools and approaches to gender mainstreaming within the One UN framework with the view of identifying needs, gaps and entry points for FAO's technical support in this field.
2. Develop tools and methodologies to inform UN System common approaches based on identified gaps and entry points.
3. Develop more effective partnerships within the UN system and with other relevant stakeholders, building on existing National Medium Term Priority Frameworks, One UN pilots, UN Joint Programmes, and other UN system wide approaches and frameworks.
4. Provide technical assistance to support the uptake of rural gender issues in UN joint programmes and policies.

#### Organizational Result K2 - Governments develop enhanced capacities to incorporate gender and social equality issues in agriculture, food security and rural development programmes, projects and policies using sex-disaggregated statistics, other relevant information and resources.

Indicator	Targets (4 years)
<b>K2.1</b> National institutions are formulating projects and programmes based on socio-economic and gender analysis (SEAGA) and use other relevant approaches and tools developed by FAO or with FAO's assistance.	30
<b>K2.2</b> National institutions are collecting, analyzing, using and disseminating sex-disaggregated data as a result of FAO supported training programme.	20

#### Primary Tools

1. Assess current and emerging capacity building needs in order to identify areas requiring FAO intervention in gender mainstreaming in agriculture, food security, and rural development.
2. Support efforts of governments and other stakeholders to design and provide training that develops skills for gender and socio-economic analysis, participatory policy making and programme development.

3. Provide technical support for the collection, analysis and dissemination of sex-disaggregated data and statistics in policy-making.
4. Develop, revise and/or adapt materials and resources including tailor-made training modules to address rural gender issues in specific technical areas (e.g. nutrition, forestry, fisheries, livestock, etc).
5. Provide training focused on the "how to" of gender mainstreaming both within FAO and among member countries based on the SEAGA approach and tools.

**Organizational Result K3 - Governments are formulating gender-sensitive, inclusive and participatory policies in agriculture and rural development**

Indicator	Targets (4 years)
<b>K3.1</b> Countries and partners are using FAO's analyses, information and data related to gender and social equity for policy and programme formulation, revision, and review.	15
<b>K3.2</b> Agricultural and rural development policies, laws, and regulations include measures and/or introduce favourable changes to address rural gender issues in access to land, natural resources and other productive assets and services based on FAO technical advice or analysis.	5 additional

**Primary Tools**

1. Strengthen national government efforts to use gender sensitive information and to formulate, implement, and revise policies and programmes that are gender sensitive, socially inclusive and legally empowering of the rural poor.
2. Assist national governments, civil society organizations and research institutions to enhance gender and socio-economic analysis of emerging issues which have the potential to undermine gender and social equity in food security and rural development.
3. Collect, analyse and disseminate information and statistics on the social and gender equality dimensions of emerging social, economic and environmental issues (e.g. climate change, environmental degradation, bioenergy, population dynamics, emerging diseases (i.e. AIDS), undernutrition, property rights' regimes, and employment opportunities) to support policy-making and implementation processes.
4. Disseminate participatory tools and approaches relevant to agriculture and rural development to member countries and partners through the FAO Participation website and other information channels.

**Organizational Result K4 - FAO management and staff have demonstrated commitment and capacity to address gender dimensions in their work**

Indicator	Targets (4 years)
<b>K4.1</b> Organizational results deliver gender-sensitive outputs as a result of gender mainstreaming effort.	20% increase
<b>K4.2</b> FAO units at headquarters and decentralized offices are able to integrate gender issues and monitor programme implementation against gender-sensitive targets and indicators.	50% increase

***Primary Tools***

1. Upgrade the gender analysis skills of FAO staff at headquarters and decentralized levels using SEAGA-based gender mainstreaming modules or through catalytic technical support.
2. Develop a new monitoring and reporting mechanism which allows divisions and Gender Focal Points to report periodically on gender mainstreaming activities.
3. Facilitate the appointment of senior staff as Gender Focal Points (GFPs) of FAO technical units as an essential mechanism in the Organization's effort to mainstream gender in its technical programme.
4. Advocate for the allocation of regular programme and extra-budgetary resources to ensure commitment and delivery on agreed gender targets.

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## ANNEX 12: STRATEGIC OBJECTIVE L - INCREASED AND MORE EFFECTIVE PUBLIC AND PRIVATE INVESTMENT IN AGRICULTURE AND RURAL DEVELOPMENT.

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### *Issues and Challenges*

Volatile food and energy prices, the current financial crisis, climate change and biodiversity loss are among the major threats to global food security, pose a broad range of humanitarian, human rights, socioeconomic, environmental, developmental, political and security-related challenges and seriously undermine the achievement of the Millennium Development Goals (MDGs). Over the past two decades, public funding of agriculture has declined sharply, in both relative and absolute terms and at both international and national levels. The share of agriculture in Official Development Assistance (ODA) declined from 18% in 1979 to 3.5% in 2004, rising to 4.4% in 2007. Improved agricultural productivity will require firm reversal of this reduction in development assistance to agriculture, along with the commitment of increasing amounts of domestic resources to the sector. In 2008, the UN High-level Task Force on Food Security estimated that the share of ODA for food and agricultural development needs to increase to ten percent within five years to boost agricultural production and productivity, especially of the world's 450 million smallholder farms.

In order to achieve the highest possible impact of public and private investments in food, agricultural and rural development, a number of conditions must be met: among others, appropriate policies, strategies and institutions creating an enabling environment supportive of private investment; strict compliance with social and environmental safeguards; state-of-the art formulation of public/private investment programmes and projects; and timely and comprehensive monitoring and evaluation of results and impact. Analysis is needed to increase the viability of investments and to identify barriers to investment options.

With rising untied donor assistance, public financial management needs to be strengthened, in the context of medium-term expenditure frameworks, public expenditure reviews and others. With increased amounts invested *via* sector-wide approaches, direct budgetary support and basket funding, aid effectiveness needs to be improved in accordance with the Paris Declaration on Aid Effectiveness (2005) and Accra Agenda for Action (2008). Improvements in the design of concrete investment operations are needed, and a shift from international to national expertise in this design process accomplished. Limited public funding must be applied in core areas to maximize leverage and impact on poverty reduction and food security and attract private sector funding. Finally, impact monitoring must be enhanced in many countries, as well as the capacity of staff in ministries and agencies.

### *Assumptions and Risks*

Within the broader external environment:

- Assumption that volatility in producer price levels for food staples in developing countries will not inhibit small producers and agribusiness investors from increasing local food production and processing capacity.
- Assumption that market distortions resulting from agricultural subsidies and non-tariff trade barriers in OECD countries will reduce over time.
- Assumption that the Paris Declaration on Aid Effectiveness and Accra Agenda for Action (2008) are put into effective practice, resulting in improved coherence between various sources of funding/support to the benefit of the recipient countries.
- Risk that the recent strong momentum for investment at national and international levels is not sustained over time so that pledges (both from national budgets and ODA) are not converted into actual investment in support of food security and poverty reduction.
- Risk that developing countries do not adopt more effective policies and institutions to help farmers and agri-businesses take advantage of export opportunities.

At the national level:

- Risk that governments do not have the competency to drive a predictable economic reform agenda that applies public funding to leverage private investment, while reducing private investment risk and transaction costs
- Risk that governments do not have sufficient capacity and incentives to effectively manage investment projects

At the institutional level:

- Risk that there is insufficient flexibility in use of resources to meet the specialized investment needs and requests of countries for support to sectoral and policy analysis, investment strategy development and capacity building efforts
- Risk that skills are not available, or cannot be brought into the Organization to support investment related priorities of countries

### Application of Core Functions to Strategic Objective L

Org Result	A - Perspectives, trend monitoring, assessment	B - Information, knowledge, statistics	C - International instruments	D - Policy advice	E - Tech support, capacity building	F - Advocacy, communication	G – Inter-disciplinary approach	H - Partnerships, alliances
<b>L1</b>		<b>X</b>	<b>X</b>	<b>X</b>		<b>X</b>	<b>X</b>	<b>X</b>
<b>L2</b>					<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>L3</b>		<b>X</b>		<b>X</b>		<b>X</b>	<b>X</b>	<b>X</b>

### Organizational Result L01 - Greater inclusion of food and sustainable agriculture and rural development investment strategies and policies into national and regional development plans and frameworks.

Indicator	Target (4 years)
<b>L1.1</b> Public investment in rural roads, irrigation, research and agricultural support services	To be defined
<b>L1.2</b> Percentage of ODA allocated to FSARD	6%
<b>L1.3</b> Agribusiness and agro-industries investment climate	To be defined

### Primary Tools

1. The provision of targeted FAO expertise and knowledge products in government investment framework formulation.
2. FAO FSARD appraisals, policy advice and technical support in advancement of FAO Strategic Objectives and Organizational Results.
3. Develop tools tracking private investment in agriculture and business environment to attract additional private investment.

### Organizational Result L02 - Improved public and private sector organisations' capacity to plan, implement and enhance the sustainability of food and agriculture and rural development investment operations.

Indicator	Target (4 years)
<b>L2.1</b> National experts' contribution to investment planning and implementation	To be defined



<b>L2.2</b> Competent practitioners in FSARD investment planning and implementation	To be defined
<b>L2.3</b> Country satisfaction with FAO-provided capacity building in support for investment	To be defined
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. The provision of FAO-led capacity building and mentoring of national counterparts in investment cycle management.</li> <li>2. Advocacy and communication, to mobilize political will and promote global recognition of required actions in areas of FAO's mandate.</li> <li>3. Development and application of related information and knowledge products including lessons learned from IFI and regional/ thematic evaluation studies in support to investment.</li> </ol>	
<b>Organizational Result L03 - Quality assured public/private sector investment programmes, in line with national priorities and requirements, developed and financed</b>	
<b>Indicator</b>	<b>Target (4 years)</b>
<b>L3.1</b> Investment funding of FSARD operations	To be defined
<b>L3.2</b> Private sector financial flows to agriculture	To be defined
<b>L3.3</b> FSARD investment quality rating	To be defined
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. The integrated provision of FAO interdisciplinary technical and investment cycle management expertise to member countries.</li> <li>2. The application of innovative approaches to the Organization's technical work and support services.</li> <li>3. Effective partnerships with IFIs and Donors to jointly achieve Member Country development goals.</li> <li>4. FAO guidelines and technical support on developing Public Private Partnerships for investment in food and agriculture.</li> </ol>	

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## ANNEX 13: FUNCTIONAL OBJECTIVE X - EFFECTIVE COLLABORATION WITH MEMBER STATES AND STAKEHOLDERS

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### Issues and Challenges

The challenge is to ensure coherence and cohesion in the results-based formulation of a diverse set of means of action applied at all levels of FAO's work to achieve results. These include the reflection of Member priorities in FAO programmes, resource mobilisation, ensuring corporate approaches to FAO Core Functions, and governance and oversight. Cooperation among a wide range of organizational units will be essential.

The Core Functions require articulated strategies to ensure coherent approaches, mutual learning and the pursuit of excellence. The advocacy role of FAO, as enshrined in its Basic Texts, is dependent on a robust internal communication culture and effective external communication policy and strategy. FAO also needs to operate in a complex environment, delivering a wide variety of activities, including policy advice, dissemination of technical knowledge, and implementation of field and emergency projects. Interdisciplinary work is carried out across a network of geographical locations (headquarters, regional, subregional, country and liaison offices) requiring due attention to coherent action, while allowing for sufficient autonomy and responsiveness at all levels.

Other key means of action need to benefit from a context of overall coherence and continuous improvement. The Organization engages in partnerships with many other entities, particularly other UN system organizations. This provides both opportunities and challenges to work together to deliver services to member countries more effectively under the umbrella of UN cooperation, and to share services with the aim of reducing administrative costs.

Governing and statutory bodies need to be serviced effectively, and their decisions implemented in a responsive and transparent way. FAO's programmes and operations require oversight to help the Organization achieve its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and internal governance processes. Fraud, corruption and unsatisfactory conduct pose a threat to the effective implementation of the Organization's policies and objectives. An environment of integrity throughout the Organization's operations is promoted through the detection, investigation and prevention of fraud and unsatisfactory conduct, development of lessons learned and procedural and policy changes needed to enhance integrity within FAO.

### Assumptions and Risks

- Assumption of continued commitment of all stakeholders and partners to the mission of the Organization, matched by a climate of transparency and trust between Members and the secretariat.
- Assumption that a wide range of organizational units will collaborate efficiently and effectively
- Risk to achievement of results due to the lack of predictability for extra-budgetary contributions.

### Organizational Result 1: Client priority needs at global, regional and national level are reflected and increasingly funded in FAO programmes

Indicator	Target (4 years)
<b>X.1.1</b> Proportion of policy assistance requests met	To be defined
<b>X.1.2</b> Proportion of countries with results-based medium term priority frameworks adopted	To be defined
<b>X.1.3</b> Number of Regions where priority action plans are formulated as requested	All five regions produce a regional priority action plan for discussion at the Regional Conferences.
<b>X.1.4</b> Proportion of extra-budgetary unearmarked funds mobilized	To be defined
<b>X.1.5</b> Overall funding trend in comparison with trend of other UN specialized agencies	Max 5 % deviation from trend of best performing Specialized Agencies in

	extra-budgetary resource mobilization
<b>X.1.6</b> Percentage of decentralized offices covered by benchmarking and performance measurement system	75% of decentralized offices covered within next four years
<b>X.1.7</b> Proportion of units complying with established corporate standards for performance monitoring and operational planning	To be defined
<b>X.1.8</b> Share of donor funded projects/programmes (and TCP) meeting FAO corporate quality standards during implementation and at exit.	To be defined
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. Demand-driven policy assistance at national, subregional, regional and global levels;</li> <li>2. Results-based national medium term priority frameworks to focus FAO's efforts on national needs, informing and aligned with Organizational Results and Strategic Objectives;</li> <li>3. Structured and consultative identification, including through Regional Conferences, of areas of priority action at sub-regional and regional levels;</li> <li>4. Resource mobilization strategy through a double track approach at global and decentralized levels in support of medium term priority frameworks</li> <li>5. Allocation of resources from all sources according to corporate strategies and priorities</li> <li>6. Framework for efficient and effective working arrangements of FAO's network of field and headquarters units</li> <li>7. Implementation of result based operational planning, monitoring and reporting and creation of corresponding capacity</li> <li>8. Corporate quality assurance framework including strengthening of monitoring and evaluation and lesson learning</li> </ol>	
<b>Organizational Result X2 Clients' capacities made sustainable and adapted to deal effectively with global challenges through FAO core functions and services</b>	
<b>Indicator</b>	<b>Target (4 years)</b>
<b>X.2.1</b> Percent of resources deployed across organizational boundaries	To be defined
<b>X.2.2</b> Share of projects/programmes for which technical oversight has been delegated to Decentralised Offices for all funding sources	To be defined
<b>X.2.3</b> Share of technical support and quality assurance outsourced to partners certified to adhere to FAO corporate technical standards	To be defined
<b>X.2.4</b> Percent of results within the Strategic Objectives having an information/knowledge exchange, statistics, technical publications or information systems component in which the related products and services provide greater benefit to FAO clients as a result of the implementation of the related core function or other strategies.	To be defined
<b>X.2.5</b> Percent of Departments and Regional Offices providing input to the Corporate Communication Plan	To be defined
<b>X.2.6</b> Percent of capacity building results in Strategic Objectives implemented in accordance with FAO's capacity building strategy	To be defined

<b>X.2.7</b> Percent of results within the Strategic Objectives designed and implemented in accordance with the corporate strategy to improve coherence in delivery of policy assistance.	To be defined
<b>X.2.8</b> Percent of results within the Strategic Objectives implemented in accordance with the corporate programme to improve coherence in delivery of legal and legislative assistance	To be defined
<b>X.2.9</b> Percent of results within the Strategic Objectives which intend the use of tools to collect, maintain and disseminate information on the creation, governance and use of international instruments	To be defined
<b>X.2.10</b> Percent of results implemented according to the information technology strategy and standards.	To be defined
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. Instruments for ensuring interdisciplinary approaches</li> <li>2. Strategy to ensure optimal deployment of technical expertise, including internal delegation, outsourcing, etc.</li> <li>3. Formulation and implementation of strategies to ensure coherent approaches in the areas of information and knowledge management and statistics, technical publishing and information systems</li> <li>4. Strategies and tools to ensure coherent approaches in the areas of communication and advocacy</li> <li>5. Corporate strategy to enhance FAO support to Capacity Building at global, regional and national levels, addressing policy, institutional and individual dimensions</li> <li>6. Strategy to improve coherence and coordination in delivery of policy assistance</li> <li>7. Programmes to enhance coordination and consistency in delivery of legal and legislative advice</li> <li>8. Tools to collect, maintain and disseminate information on the creation, governance and use of international instruments</li> </ol>	
<b>Organizational Result X3 - Clients benefit from partnerships, which leverage and complement FAO and partners' services</b>	
<b>Indicator</b>	<b>Target (4 years)</b>
<b>X.3.1</b> Number of primary tools in Strategic Objectives that use partnerships.	To be defined
<b>X.3.2</b> Proportion of FAO programmes and projects (unit outputs) implemented in partnerships at global, regional, sub-regional and country level.	To be defined
<b>X.3.3</b> Strengthened partnership with the UN system including increased collaboration with the Rome-based agencies, WFP and IFAD.	To be defined
<b>X.3.4</b> Number of non-state stakeholders participating in FAO events and activities at all levels	To be defined
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. Organization-wide partnership strategy, and specific partnership strategies, developed and implemented at corporate and regional, sub-regional and country level.</li> <li>2. Engagement in increased UN system coherence at all levels, including FAO's role in UNDAF formulation within the UN country teams and in Joint Programming and Joint Programmes.</li> <li>3. Partners, including civil society and the private sector, engaged through new consultative mechanisms.</li> <li>4. Guidelines for formal and informal partnerships, incorporating lessons learned.</li> </ol>	

<b>Organizational Result X4 - - Effective direction of the organization through enhanced governance and oversight</b>	
<b>Indicator</b>	<b>Target (4 years)</b>
<b>X.4.1</b> Percent of the Organization's budget (Regular Programme and extrabudgetary) accruing to the Evaluation Function	To be defined
<b>X.4.2</b> Percent of management responses to evaluation reports and follow up reports to the Governing Bodies that are assessed as satisfactory by the Programme Committee	To be defined
<b>X.4.3</b> Percent of audit recommendations that are accepted and implemented by management	To be defined
<b>X.4.4</b> Percent of all complaints/allegations of fraud and misconduct that are processed and/or investigated within set timeframes	To be defined
<b>X.4.5</b> Percent of actions taken on Conference and Council decisions by deadlines.	To be defined
<b>X.4.6</b> Percent of documents produced according to statutory requirements	To be defined
<b>Primary Tools</b> <ol style="list-style-type: none"> <li>1. A Charter for the Evaluation Function in FAO</li> <li>2. A Charter for the Office of the Inspector General</li> <li>3. Develop and implement a comprehensive risk based audit plan</li> <li>4. Identify, process and/or investigate in a timely manner all complaints of fraud and misconduct in the programmes and operations of the Organization</li> <li>5. A comprehensive plan for the satisfactory servicing and transparent conduct of meetings of Governing and Statutory Bodies</li> <li>6. The timely implementation of amendments to the Basic Texts relating to the role of the Governing Bodies</li> </ol>	

## ANNEX 14: FUNCTIONAL OBJECTIVE Y - EFFICIENT AND EFFECTIVE ADMINISTRATION

### *Issues and Challenges*

The IEE described FAO as a heavy and costly bureaucracy characterized by excessive transaction-control processes, high levels of overlap and duplication, and low levels of delegated authority. It noted that FAO's administrative structure excessively focuses on ex-ante controls and does not emphasize delegation, which leads to a negative impact on efficiency and staff motivation. FAO will meet its challenges by becoming more flexible and overcoming risk aversion, which will require changing the way it works. Therefore, major changes are needed in the way FAO works. Management and administrative services need to meet high standards of efficiency and quality, while discharging fiduciary responsibilities. Clear lines of authority, responsibility and accountability are required, especially in a context where resources -- and decisions on their use -- are increasingly decentralized to locations where projects and programmes are implemented. As a knowledge organization, FAO must attract and retain high-quality and well-motivated staff, providing a learning environment in which people can grow and improve their professional and managerial skills.

### *Assumptions and Risks*

- Projects related to the reform of administrative and management systems in the Immediate Plan of Action are resourced and executed.
- Lack of required resources would impede implementation.
- FAO's ability to implement the changes required to respond to the IEE and achieve Functional Objective Y would require culture change in the organization and in the way FAO works. Expectations for immediate change may overwhelm the Organization's capacity to adjust.
- In a resource-constrained environment, the various reform processes will require prioritisation and inter-dependencies and potential conflicts will need to be managed carefully.
- "Silo" mentality, entrenched attitudes, inertia, and fragmented processes may inhibit ability to change.
- The corporate restructuring will involve the integration of services that were formerly separate. This will imply transitional costs that need to be minimised.
- Lack of transition funding to meet costs for improvements to administrative services would constitute a major risk.

### **Organizational Result Y1 - FAO's support services are recognized as client-oriented, effective, efficient and well-managed**

<b>Indicator</b>	<b>Target (4 years)</b>
<b>Y.1.1</b> Percentage of corporate services covered by a Service-Level Agreement (SLA).	40%
<b>Y.1.2</b> Share of services benchmarked.	40%
<b>Y.1.3</b> Percentage of processes and procedures streamlined.	40%
<b>Y.1.4</b> Introduction of formal internal control reporting.	Introduction of formal internal control reporting.
<b>Y.1.5</b> Improvement in client satisfaction.	75% satisfied

### *Primary Tools*

1. Efficient and effective monitoring of all service-related contracts with external suppliers.
2. Efficient and effective monitoring of all internal services.
3. Training of staff to implement Service-Level Agreements (SLAs), client surveys, and to gather data for benchmarking.
4. Effective communication with clients.
5. Availability of expertise to assist in gathering data for benchmarking database.

6. Mechanisms to manage user feedback and implement lessons learned.
7. Introduction of best practices and recognised standards for continuous process improvement.
8. Yearly client surveys

**Organizational Result Y2 - FAO is recognized as provider of comprehensive, accurate, and relevant management information**

Indicator	Target (4 year)
<b>Y.2.1</b> FAO receives unqualified annual external audit opinion.	Annual unqualified external audit opinion
<b>Y.2.2</b> Increasing percentage of stakeholder organizational units utilize information retrieved from the administrative corporate management information system on a regular basis.	80 percent of administrative management information that is requested by stakeholders is made available through the corporate management information system.
<b>Y.2.3</b> Improved ability to produce final reports on corporate information through use of standard reporting tools.	Reduction in the number of reports that require ad-hoc modification (dependent on establishment of baseline).

**Primary Tools**

1. Ongoing preparation and communication of relevant and timely financial-performance information to managers, members, and donors.
2. Corporate management information system.
3. Procedures to manage the administrative information that reflect user feedback.
4. Establishment of relevant institutional financial policies and procedures in accordance with IPSAS requirements.
5. Accurate, complete and timely recording of accounting and financial information in FAO accounts.

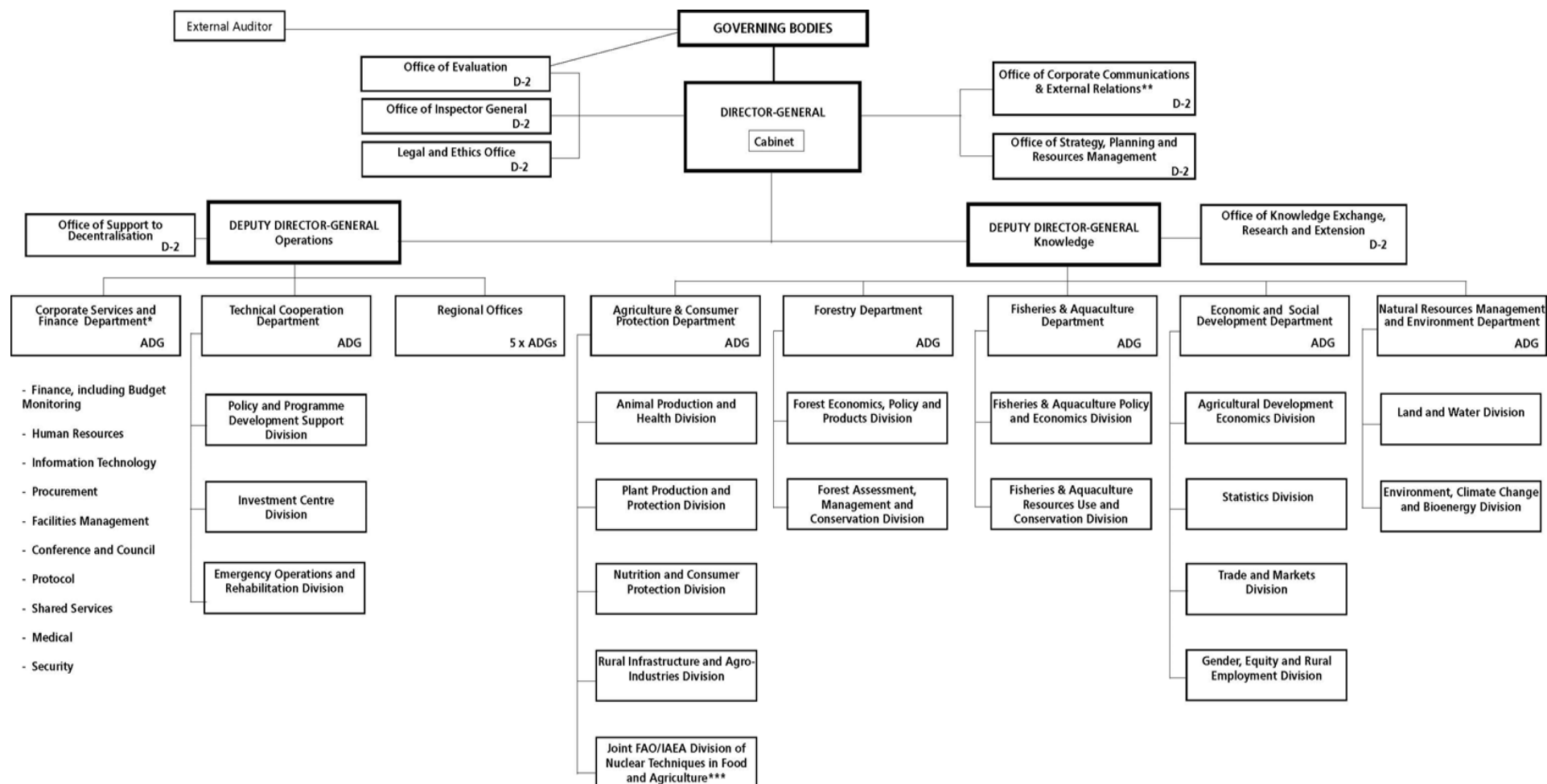
**Organizational Result Y3 - FAO is recognized as an employer that implements best practices in performance- and people-management, is committed to the development of its staff, and capitalizes on the diversity of its workforce**

Indicator	Target (4 years)
<b>Y.3.1</b> Increased percentage of managers who completed FAO core managerial training (% of all P5-above).	50%
<b>Y.3.2</b> Competency improvement ratios (based on PEMS rating).	90% of staff participate in PEMS; 50% increase in competency ratings
<b>Y.3.3</b> Percentage increase in mobility in workforce.	Percentage of staff members on the same grade or post for the last 8 years: Reduction to 11%
<b>Y.3.4</b> Improved gender representation at all levels.	GS: 50%; P: 35%; D: 20%
<b>Y.3.5</b> Percentage increase in the number of countries that are equitably represented.	70%

**Primary Tools**

1. Core Management Training Programme for all FAO managers to undertake within a 24 months period from appointment, which includes development, management, leadership, and coaching programmes.
2. Staff performance evaluation system linked to work plans, competencies, and a rewards and recognition system.
3. Communication strategy for staff and managers.
4. A function and system to monitor, administer, and report on staff mobility to all Departments/Offices.
5. HR policies that contribute to implementing best practices in people-management.

## ANNEX 15: PROPOSED HEADQUARTERS STRUCTURE (as presented to CoC-IEE Working Group III, 23 March 2009)



\* Structure and functions of Corporate Services and Finance Department subject to Root and Branch Review outcome

\*\* Title adjusted further to functional analysis

\*\*\* FAO share of Regular Programme budget for the Joint FAO/IAEA Division is 14.3%



