



منظمة الأغذية
والزراعة
للأمم المتحدة

联合国
粮食及
农业组织

Food
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Agriculture
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the
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Organisation
des
Nations
Unies
pour
l'alimentation
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Продовольственная и
сельскохозяйственная
организация
Объединенных
Наций

Organización
de las
Naciones
Unidas
para la
Agricultura
y la
Alimentación

JOINT MEETING

**Joint Meeting of the
Hundred and Fourth Session of the Programme Committee
and the
Hundred and Thirty-fifth Session of the Finance Committee**

Rome, 27 October 2010

**RESULTS-BASED WORK PLANNING, MONITORING
AND REPORTING SYSTEM**

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EXECUTIVE SUMMARY

➤ During 2010-11, the Organization is carrying out a set of actions for reform of programming, budgeting and results-based monitoring. The Joint Meeting of the 103rd Session of the Programme Committee and the 132nd Session of the Finance Committee in April 2010 emphasized the crucial role of performance monitoring and assessment in informing and adjusting implementation and forward-planning.

➤ Monitoring and reporting arrangements under the new FAO results-based framework will consist of three main elements: i) *Work plan monitoring*; ii) the *Mid-term review*; and iii) the *End-of-biennium assessment* (published in the Programme Implementation Report “PIR”). These elements will provide the basis for adjustments to programme implementation during the course of the biennium and the development of operational plans for the coming biennium, and adjustments to the results frameworks of the MTP/PWB.

➤ *Work plan monitoring* is an internal process undertaken by unit managers in all locations on an ongoing basis. It is designed to allow for improvements in programme delivery and provides a quantitative and qualitative information base on programme implementation to facilitate an overall assessment of progress towards the achievement of unit results at the end of the first year of the biennium (the mid-term).

➤ The *Mid-term review* is carried out at the end of the first year of the biennium. It is a qualitative self-assessment by management whereby each unit will: assess progress towards the achievement of their unit results; and identify impediments, risks and actions required during the second half of the biennium, as a risk assessment and a management tool that alerts managers to unit results which might require special attention or corrective action. The *Mid-term review* synthesis report keeps the Programme and Finance Committees and Council informed of management progress in implementing the approved programme of work, and facilitates governing body decision-making on proposed shifts in resources between Chapters in order to achieve the agreed biennial results. A draft annotated outline of the *Mid-term review* synthesis report is provided in *Annex I*.

➤ The *End-of-biennium assessment* is designed to provide a more comprehensive analysis of achievements under the PWB than is possible at the mid-term. It analyzes the main achievements during the biennium, success factors, obstacles, lessons learnt and actions required to improve performance in the next cycle. It provides management information to inform the adjustment of work plans for the coming biennium and formulation of proposals for the next PWB, and leads to preparation of the biennial Programme Implementation Report (PIR).

➤ The PIR is the main accountability document for reporting to Members on delivery of the PWB. It will comprehensively report on achievements against the approved Organizational Results under the Strategic and Functional Objectives, as measured through the indicators and related targets set forth in the MTP/PWB. The PIR also reports on financial and budgetary performance. The PIR supplies the governing bodies with information to be used in providing guidance on the content and priorities for the MTP/PWB. A draft annotated outline of the biennial PIR is provided in *Annex II*.

GUIDANCE SOUGHT FROM THE COMMITTEES

➤ The Committees are invited to provide their views on the proposed format and content of the Mid-term review synthesis report, and on the annotated table of contents for the Programme Implementation Report under the new results-based planning framework.

Background

1. The Immediate Plan of Action for FAO's Renewal (IPA) introduced a results-based framework for all of FAO's work and put in place a set of actions for the reform of programming, budgeting and results-based monitoring.¹ The results-based framework was further elaborated and approved by the Conference in November 2009 through endorsement of the new Strategic Framework 2010-2019, Medium Term Plan 2010-13 and Programme of Work and Budget 2010-11 (MTP/PWB).
2. During 2010-11, the Organization is carrying out a set of actions for reform of programming, budgeting and results-based monitoring. The Joint Meeting of the 103rd Session of the Programme Committee and the 132nd Session of the Finance Committee in April 2010 considered progress on two main aspects of this reform: the work planning system; and the implementation monitoring and reporting arrangements².
3. The Committees emphasized the crucial role of performance monitoring and assessment in informing and adjusting implementation and forward-planning. They recognized that progress against the MTP/PWB would be assessed twice in each biennium, against work plans at the end of the first year, and against two-year targets for Organizational Results indicators at the end of the biennium in the Programme Implementation Report (PIR).
4. As requested by the Committees, this document presents for comment and guidance:
 - a proposed format for summary reporting of implementation progress after the first year of the biennium to permit the Committees to advise Council on any required adjustments to the Programme of Work; and
 - a proposed format for the biennial Programme Implementation Report.

The Work Planning, Monitoring and Reporting System

5. Implementation monitoring and assessment is essential to effective results-based management. It alerts managers and MemberS to potential risks, problems and impediments to achieving results and encourages integration of lessons learnt, including from evaluations, into ongoing management decisions. The monitoring and assessment tools provide input for validating technical and managerial policies and strategies, and form the basis for corporate reporting to the governing bodies. The benefits are improved programme delivery and achievement of Organizational Results.
6. Monitoring and reporting arrangements under the new FAO results-based framework will consist of three main elements: i) *Work plan monitoring*; ii) the *Mid-term review*; and iii) the *End-of-biennium assessment* (published in the Programme Implementation Report). These elements will provide the basis for:
 - a) adjustments to programme implementation during the course of the biennium and the development of operational plans for the coming biennium;
 - b) adjustments to the results frameworks of the Medium Term Plan and Programme of Work and Budget, i.e. Organizational Result formulations (indicators, targets, primary tools, application of core functions) and Impact Focus Areas.
7. The benefits of improved programme delivery and achievement of Organizational Results arising from work planning, monitoring and reporting processes need to be balanced by the time and attention required by management and Members in these processes. Every effort is being made to design and implement processes that are light and add value, while ensuring

¹ C 2008/4 paragraphs 1-19 and 33

² JM 2010.1/3

accountability for the achievement of results at all levels of the Organization. The three main elements of FAO's results-based monitoring and reporting are described below.

A. WORK PLAN MONITORING

8. Work planning is the process through which each organizational unit transforms what was planned in the MTP/PWB under the Organizational Results frameworks into operational practice. This involves formulating "Unit Results" representing the specific contribution required of the organizational unit towards the achievement of the corporate Organizational Results for which it will be held accountable. The unit work plans are designed to be flexible to accommodate shifts in priorities, including unplanned work. They provide both the basis for preparation of individual staff performance management agreements,³ as well as for monitoring and reporting during the biennium.

9. *Work plan monitoring* is an internal process undertaken by unit managers in all locations on an ongoing basis and periodically at the mid-year. It is designed to allow for improvements in programme delivery through: i) identification of immediate corrective actions in response to problems, delays and departures from what was planned; ii) rescheduling, revision or cancellation of products/services and activities; and iii) reallocation of financial and human resources within and across work plans. This process allows managers to accumulate a quantitative and qualitative information base on programme implementation in order to facilitate an overall assessment of progress towards the achievement of unit results at the end of the first year of the biennium (the mid-term).

B. MID-TERM REVIEW

10. The *Mid-term review* is carried out at the end of the first year of the biennium. It is a qualitative self-assessment by management that supplements the ongoing *work plan monitoring*, whereby each unit will:

- assess progress towards the achievement of their unit results; and
- identify impediments, risks and actions required during the second half of the biennium, as a risk assessment and a management tool that alerts managers to unit results which might require special attention or corrective action if they are to be fully achieved during the remainder of the biennium.

11. Relying on a risk rating system to communicate progress and risk profile, each office indicates whether their unit results were:

- "on track" - progress towards achievement of the unit result is as foreseen and impediments and risks are not expected to significantly affect progress;
- "requiring attention"- progress towards achievement of the unit result requires attention to overcome delays, impediments and risks;
- "in jeopardy" - achievement of the unit result is in jeopardy due to impediments or risks that are expected to significantly alter progress.

12. Point values are assigned to each of the three rating categories, to permit the calculation of aggregate progress ratings for each Organizational Result. The progress ratings for each unit can also be tallied in a similar fashion.

13. The *Mid-term review* process provides management with a composite picture of progress towards the achievement of the Organizational Results. It also provides management information for informed decision-making on implementation adjustments, reprogramming and reallocation of resources for the remainder of the biennium and the development of operational plans for the coming biennium. The *Mid-term review* synthesis report keeps the Programme and Finance Committees and Council informed of management progress in implementing the approved

³ Under the Performance Evaluation and Management System (PEMS)

programme of work and facilitates governing body decision-making on proposed shifts in resources between Chapters in order to achieve the agreed biennial results.

14. A draft annotated outline of the *Mid-term review* synthesis report to be provided in the Programme and Finance Committees is provided in *Annex I*. It would provide summary reporting of implementation progress after the first year of the biennium. As a risk assessment and management tool of a qualitative nature, the *Mid-term review* does not report on achievements against indicators and targets; this takes place as part of the biennial reporting of the PIR. The *Mid-term review* synthesis report would consist of the following main elements:

- a) a brief description of the *Mid-term review* process;
- b) an overview of implementation progress and corresponding information on annual financial performance by PWB Chapter, including required transfers and available resources;
- c) for each Strategic and Functional Objective, an overall assessment of progress towards the achievement of the constituent Organizational Results;
- d) for each Organizational Result, a summary of major milestones achieved, risks and impediments identified and remedial actions planned for the remainder of the biennium.

C. END-OF-BIENNIUM ASSESSMENT AND PROGRAMME IMPLEMENTATION REPORT

15. The *End-of-biennium assessment* is designed to provide a more comprehensive analysis of achievements under the PWB than is possible at the mid-term. It analyzes the main achievements during the biennium, success factors, obstacles, lessons learnt and actions required to improve performance in the next cycle. It provides management information to inform the adjustment of work plans for the coming biennium and formulation of proposals for the next PWB. It will be a key step in ensuring accountability to Members for results under the new results-based framework and leads to preparation of the biennial Programme Implementation Report.

16. The PIR is the main accountability document for reporting to Members on delivery of the PWB. It will comprehensively report on achievements against the approved Organizational Results under the Strategic and Functional Objectives, as measured through the indicators and related targets set forth in the MTP/PWB. The PIR also reports on financial and budgetary performance. The PIR supplies the governing bodies with information to be used in providing guidance on the content and priorities for the MTP/PWB.

17. A draft annotated outline of the biennial PIR is provided in *Annex II*. The PIR 2010-11 would consist of the following elements:

- a) a brief description of the *End-of-biennium assessment* process;
- b) a summary of the extent of achievement of each Strategic and Functional Objective; corresponding information on biennial financial performance, including final transfers required across PWB budgetary Chapters;
- c) a summary of the extent of achievement of unit results by headquarters and regions, and corresponding information on biennial financial performance;
- d) biennial financial performance information for other PWB Chapters (i.e. FAOR, Capital Expenditure, Security Expenditure, and TCP – including a description of transfers across biennia for Capital Expenditure, Security, and TCP);
- e) summary of financial issues, including those related to resource mobilization;
- f) for each Strategic and Functional Objective, an overview of biennial progress, issues and trends;
- g) for each Organizational Result under the Strategic and Functional Objectives:
 - i) a summary of achievements, lessons learned and actions to be undertaken in 2012-13; ii) a table noting the indicator 2009 baselines, 2011 targets and 2011

actual achievements; and iii) corresponding information on biennial financial performance;

- h) summary of the regional dimensions of programme delivery.

18. In view of the comprehensive nature of the PIR, the PIR 2010-11 would also contain a series of additional elements to provide a more complete biennial view of organizational performance:

- a) summary discussion of cost of field programme support;
- b) summary discussion of efficiency savings initiatives and achievements;
- c) for the FAOR Programme, TCP, Capital Expenditure and Security Expenditure, dedicated sections summarizing main achievements, issues and actions to be taken, along with corresponding financial information;
- d) a section on the IPA summarizing achievements, principal issues and actions to be undertaken, along with corresponding financial information;
- e) a section on resource mobilization providing an overview of contributions received and main challenges encountered; a summary of extrabudgetary performance by Strategic Objective and by Impact Focus Area;
- f) annexes on performance of FAO language policy, geographic representation and gender balance.

Guidance requested of the Committees

19. The Committees are invited to provide their views on the proposed format and content of the *Mid-term review* synthesis report, and on the annotated table of contents for the Programme Implementation Report under the new results-based planning framework.

ANNEX I

Mid-term review synthesis report⁴

Draft Annotated Outline (approximately 35 pages)

- I. Mid-term review process**, noting main purpose of the mid-term review and brief overview of the process and rating system - maximum half page.
- II. Overview of Implementation at the Mid-term**
- 1. Progress towards results**
 - A brief overview supplemented by a figure indicating: Organizational Results' ratings across the Organization by Strategic and Functional Objective and the total percentage that was rated "on track", "requiring attention" and "in jeopardy".
 - 2. Financial performance**
 - A brief overview supplemented by figures indicating the:
 - i) approved PWB budget, available funding and financial implementation for strategic and functional objectives by net appropriation and estimated extrabudgetary resources;
 - ii) approved budget, available funding and financial implementation under the FAOR Programme, Capital Expenditure, Security Expenditure and TCP as of 31 December 2010.
 - Brief discussion and table indicating the proposed transfers across PWB budgetary Chapters in order to make implementation adjustments necessary to achieve agreed results.
 - Summary discussion of the financial and administrative issues, and reasons for problematic financial implementation rates and resource mobilization, as well as actions that have been identified to address those concerns.
- III. Summary Implementation Review**
- Strategic Objective [title]**
- A similar section will be provided for each of the Strategic and Functional Objectives.
- A. Overview**

A summary assessment of the status of the Organizational Results contributing to the achievement of the SO supplemented by a figure indicating progress towards the achievement of unit results for the Organizational Result, noting whether the units results are "on track", "requiring attention" and "in jeopardy".
 - B. Organizational results: Major Milestones, Risks and Impediments, and Required Actions**
 - 1. Organizational Result [title]**
 - A colour figure (oval) indicating whether the Organizational Result is "on track" (green), "requiring attention" (yellow) and "in jeopardy" (red).
 - A brief discussion of the impediments encountered and risks foreseen in implementing the Organizational Result.
 - A brief discussion of the required actions to overcome the impediments and minimize the risks to effective implementation of the Organizational Result.

⁴ The *Mid-term review* report is envisioned a summary document of maximum length not to exceed 20 to 30 pages.

ANNEX II

**Programme Implementation Report 2010-11
Draft Annotated Outline**

A. Director-General's Forward**B. Executive Summary****C. Summary of Achievement****1. End-of-biennium assessment process**

Summary explanation of the end of biennium review process for assessing programmatic performance of Strategic and Functional Objectives.

2. Overview of Programmatic Performance

- Brief summary noting the total percentage of Organizational Results that were “fully achieved”, “partially achieved,” and “not achieved” and figure indicating achievement of Organizational Results by Strategic Objective.
- Summary (by headquarters and by region) noting total number and percentage of unit results achieved.

3. Financial performance

Evolution of total resources (*viz.* PIR 2008-09 Section II.A), with short narrative.

a) Overview of total resources and financial performance

- Summary overview of total resources and financial performance and figures indicating: approved budget and expenditures (net appropriation and extra-budgetary) by Strategic and Functional Objective as of 31 December 2011; and final chapter transfers required to make implementation adjustments necessary to achieve agreed results.
- Summary noting approved budget and expenditure for Strategic and Functional Objectives (net appropriation and extra-budgetary) by region and headquarters as of 31 December 2011.
- Summary overview and figure noting budget and expenditure (net appropriation and extra-budgetary) by FAOR Programme, Technical Cooperation Programme, Contingencies, Capital Expenditure and Security Expenditure.
- Summary discussion of financial and administrative issues, observations and reasons for problematic implementation rates, and resource mobilization, as well as the actions that have been identified to address those concerns.

b) Cost of field programme support

Summary discussion of the costs and geographic distribution of technical support services (TSS) including professional staff time devoted to field programmes by region by FAOR, regional office and subregional office; and costs of administrative and operative support services (AOS).

c) Efficiency Savings

Summary discussion of the principal initiatives and main achievements in the area of efficiency savings realized during the biennium.

D. Programme Implementation**1. – 13. Strategic/Functional Objective [title]**

A similar section will be provided for each of the Strategic and Functional Objectives.

Figure indicating approved budget and expenditure by Organizational Result (net appropriation and extrabudgetary) as of 31 December 2011.

a) Overview

Summary overview of the principal issues and trends during the 2010 – 2011 biennium and the broad set of actions undertaken to address them under the Strategic Objective and key achievement realized. The basis for the summary would

be the Strategic Objective's issues and challenges section in the PWB updated to reflect other issues that arose during the biennium.

b) Organizational Results: Achievements, lessons learned and challenges
Organizational Result [title]

A similar section will be provided for each of the Organizational Results.

- Summary of the principal achievements, lessons learnt in implementing the Organizational Result, and actions to be undertaken in the 2012 – 2013 biennium to further support the achievement of the Organizational Result.
- Table for the Organizational Result noting the indicator(s), their 2009 baseline, the 2011 target, and achievement at the end of 2011.

14. FAOR Programme

a) Overview

Summary overview of the principal issues and trends during the 2010 – 2011 biennium and the broad set of actions undertaken to address them and key achievements realized, including result of pilot work on planning and roll-out plans.

b) Financial implementation

Figure noting approved budget, expenditure by region as of 31 December 2011.

15. Technical Cooperation Programme

Project Approvals/ Distribution of approved TCP resources by region; TCP delivery by project category; TCP delivery by SO.

16. Capital Expenditure

a) Overview

Summary overview of the principal issues and trends during the 2010 – 2011 biennium and the broad set of actions undertaken to address them and key capital expenditure realized.

b) Financial implementation

Figure noting approved budget, expenditure by Capital Expenditure project as of 31 December 2011.

17. Security Expenditure

a) Overview

Summary overview of the principal issues and trends during the 2010 – 2011 biennium and the broad set of actions undertaken to address them and key capital expenditures realized.

b) Financial implementation

Figure noting approved budget, expenditure by region and headquarters as of 31 December 2011.

18. Immediate Plan of Action (IPA) Projects

a) For each IPA project

i) Overview

Summary overview of the principal issues and trends during the 2010 – 2011 biennium and the broad set of actions undertaken to address them and key IPA project achievements realized.

ii) Financial implementation

Summary noting the amount of approved funding and expenditure.

19. Regional Dimension of programme delivery

For each Region, a narrative summary of key achievements in regional areas of priority action, supplemented by a table showing the total number and percentage of unit results achieved by SOs/FOs.

E. Resource Mobilization

1. Overview

Summary explanation of the main resource mobilization challenges encountered during the biennium and table on extra-budgetary contributions by source – similar to tables 4 and 5 in PIR 2008 – 2009.

2. Impact Focus Areas (IFA)

a) For each IFA

Summary and figure noting PWB extra-budgetary estimates and delivery by Organizational Result as of 31 December 2011 - a similar write-up and figure/graphic to be provided for each of the seven impact focus areas.

3. Other Organizational Results not Supported by Impact Focus Areas

Summary and figure noting PWB extra-budgetary estimates, and delivery by Organizational Result as of 31 December 2011.

Annexes

1. **FAO Language Policy** brief explanation of FAO language policy, summary of its application at FAO meetings noting percentage of approved meetings held in the various official languages; application of language policy in respect to official FAO publications; and application to FAO electronic material including WAICENT and the FAO Internet site.
2. **Geographic Representation and Gender Balance of Professional Staff**
 - a) *Geographic representation of professional staff* brief summary/explanation of FAO's geographic representation principle and tables indicating: (i) countries that exceeded the top of their range, under-represented and non-represented as of 31 December 2011; and (ii) professional and above staff subject to geographic distribution policy by nationality and grade as of 31 December 2011.
 - b) *Gender balance of professional staff* brief summary/explanation of FAO's gender balance policy, tables and text on evolution and percentage of female and male staff by grade and geographical location as of 31 December 2011.