

February 2011



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

Продовольствен
ная и
сельскохозяйств
енная
организация
Объединенных

Organización
de las
Naciones Unidas
para la
Agricultura y la
Alimentación

PROGRAMME COMMITTEE

Hundred and Sixth Session

Rome, 21 - 25 March 2011

**FAO'S EFFECTIVENESS AT COUNTRY LEVEL: A SYNTHESIS OF
EVALUATIONS IN LARGE, RAPIDLY-DEVELOPING COUNTRIES
(INDIA AND BRAZIL)**

Queries on the substantive content of this document may be addressed to:

**Mr Robert Moore, Director, Office of Evaluation (Evaluation Report)
Tel. (06) 5705-3903**

**Mr Richard China, Director, Policy and Programme Development Support Division
(Management Response)
Tel. (06) 5705-5242**

1. This cover page illustrates the background and key issues for the attention and guidance of the Committee on the attached report *FAO's effectiveness at country level: A synthesis of evaluations in large, rapidly-developing countries (India and Brazil)* and its Management Response.

Background

2. The Office of Evaluation (OED) submits for consideration by the Programme Committee synthesis reports on the evaluations of FAO's performance in countries with identified similarities. The synthesis is intended to illustrate key findings and conclusions and formulate additional recommendations to FAO, resulting from identified commonalities in the country evaluations. This is the third such report submitted to the Programme Committee since 2008.

3. Following the Programme Committee's request in 2007 to include middle-income countries among those selected for evaluation of FAO's effectiveness at country level, OED conducted the evaluations of FAO's cooperation with India in 2008 and with Brazil in 2010. The two countries present similarities in terms of geographical size, national variability of socio-economic indicators, importance of agriculture for the food security of large numbers of their populations, and contributions to and expectations from FAO.

This document is printed in limited numbers to minimize the environmental impact of FAO's processes and contribute to climate neutrality. Delegates and observers are kindly requested to bring their copies to meetings and to avoid asking for additional copies. Most FAO meeting documents are available on the Internet at www.fao.org

Key issues in the Evaluation reports

4. Overall, the relevance of FAO's interventions was good to high in both countries, whereas efficiency, effectiveness, sustainability and impact varied greatly depending on sectors and modalities of intervention. Both countries are active participants and leaders in FAO's governance system, statutory bodies and major secretariats and Brazil is emerging as a new resource partner of the Organization. The role of the two countries vis-à-vis FAO is changing rapidly.

5. Some common issues were identified in the two reports, but the recommendations to address them were made in the country evaluations due to different situations in the countries. These included: i) weaknesses of Programme Units in both FAO Representations; and ii) the role of the TCP in the country. Both evaluations also noted inadequate mainstreaming of gender and social inclusion concerns in FAO's programmes.

6. Some issues were common to both countries and the synthesis presents general recommendations arising from them. These relate to: i) weaknesses in FAO information systems, especially with respect to diffusion of Global Public Goods; ii) challenges and room for cross-fertilization in the formulation of the Country Programming Frameworks in large countries with decentralized governance structures; iii) gaps in the agreements with International Finance Institutions that limit opportunities for efficient leveraging of resources; iv) models and implementation of National Execution and UTF; and v) involvement of the FAO Representations in the identification, formulation and implementation of regional and global projects.

Management Response

7. FAO Management welcomes this synthesis of the Evaluations of the Organization's cooperation with Brazil and India. Management agrees with the integrated character of the country evaluation process and the assessment of FAO's comparative advantage in each country. Although the two Evaluations covered different time spans, the in-depth analysis provided is fundamental to understanding more recent features of FAO's performance in these two countries.

8. Management recognises that the requirements of Brazil and India with regard to their interaction with FAO are neither unique nor representative of the majority of FAO member countries, and FAO needs to be able to meet the requirements of different exigencies which stem from its multifaceted membership.

9. Management fully accepts the five recommendations and can report progress in several areas, as detailed in the matrix. For example, a number of units within FAO are working together on the standardization of agreements with selected International Financing Institutions (IFIs), although full standardization might not always be realistic and feasible since each IFI has its own set of rules and conditions. The new Field Programme Manual on the Project Cycle and the new operational modalities for national execution (NEX) agreements being developed in 2011 will clarify the roles and responsibilities, as well as lines of accountability in implementation and decision making.

Guidance sought

10. The Programme Committee may wish to:
- assess the utility of the synthesis report for drawing common lessons for FAO in addressing countries at similar levels of development.
 - review the actions proposed by Management to address the recommendations related to information systems, FAO country programming framework, cooperation with international financial institutions, and involvement of FAO Representatives in regional projects.

FAO Office of Evaluation

**FAO'S EFFECTIVENESS AT COUNTRY LEVEL: A SYNTHESIS OF
EVALUATIONS IN LARGE, RAPIDLY-DEVELOPING COUNTRIES
(INDIA AND BRAZIL)**

January 2011

Table of contents

Acronyms	6
1 Introduction	7
2 Purpose and scope of the country evaluations	7
3 Methodology of the country evaluations	8
3.1 Methodology	8
3.2 Constraints	9
4 The FAO Programme in Brazil and in India	9
4.1 The FAO Programme	9
4.2 The FAO Country Programming Framework	11
5 The FAO Representations in Brazil and in India	12
6 FAO modalities of delivery	12
6.1 National TCP and TCP Facility	13
6.2 Unilateral Trust Funds	13
6.3 National Execution	15
6.4 Regional, inter-regional and global projects	16
6.5 Normative products or Global Public Goods	17
7 Gender equality and social inclusion	18
8 FAO functions	19
9 FAO as a facilitator of the Brazilian and Indian contributions to international development	22
9.1 Brazil and FAO collaboration with FAO statutory bodies and secretariats	22
9.2 Brazil and India triangular cooperation with FAO	22
10 Conclusions and recommendations	23

Acronyms

AOS	Administrative and Operational Support costs
APFAMGS	Andhra Pradesh Farmers Ground Water Management System
CPF	Country Programming Framework
EC	European Commission
FAO	Food and Agriculture Organization of the United Nations
FAOR	FAO Representation
FPMIS	Field Programme Management Information System
GCP	Government Cooperative Programme
HQ	Headquarters
ICARRD	International Conference on Agrarian Reform and Rural Development
IFAD	International Fund for Agricultural Development
IFI	International Financial Institutions
LoA	Letter of Agreement
LTU	Lead Technical Unit
NGO	Non Governmental Organization
NTE	Not to be Exceeded
OSD	Office of Support to Decentralization
PC	Programme Committee
ProDoc	Project Document
PSC	Project Support Costs
RLC	FAO Regional Office for Latin America and the Caribbean
RP	FAO Regular Programme
SF	Strategic Framework
SSC	South South Cooperation
TCDC	Technical Cooperation among Developing Countries
TCP	FAO Technical Cooperation Programme
ToR	Terms of Reference
UNCT	UN Country Team
UNDAF	UN Development Assistance Framework
UNDP	United Nations Development Programme
UTF	Unilateral Trust Fund
VC	Voluntary Contributions
WB	World Bank
WHO	World Health Organization

I. Introduction

1. Since 2005 country evaluations have formed a part of the evaluation Programme of FAO. Such evaluations cover all FAO activities in the country, including national projects from all funding sources, national participation in regional projects, use made of normative products and the work carried out by the FAO Representation. Country evaluations also have included impact evaluations on one or more areas where FAO had done a significant amount of work in the review period.

2. Synthesis reports, covering evaluations in similar types of countries, have been submitted to the Programme Committee (PC) with a view to drawing lessons from FAO's work in similar types of countries: one covering the first four country evaluations in low-income countries (Mozambique, Sierra Leone, Cambodia and Honduras) was reviewed at the May 2008 session of the PC, a second one covering countries emerging from complex emergency situations (DR Congo, Tajikistan and Sudan) was submitted in the October 2010 session.

3. In discussing country evaluations in May 2007, the Programme Committee "*emphasised the importance of the evaluation of FAO's effectiveness in individual countries and considered that future country evaluations should include in the sample some middle-income countries in addition to Less Developed Countries*".

4. Following the PC's request, India was selected as the country met established criteria including the contribution of agriculture to GDP, rural population, numbers of food insecure, Human Development Index and, the number of projects due for evaluation. The "Evaluation of FAO's cooperation with India 2003-2008" – called India evaluation henceforth - was carried out during 2008 and the report finalized in March 2009.

5. In April 2010, the Office of Evaluation proposed to the Programme Committee that the evaluation of another large country presenting some similarities in the area of agriculture and food security would help in identifying better the role that FAO should play in comparable circumstances, and the strategy was endorsed. The country that best fulfilled these criteria was Brazil. The "Evaluation of FAO's Cooperation with Brazil 2002-2010" – called Brazil evaluation henceforth - was conducted in the period May-December 2010 and the report finalized in February 2011.

6. The two evaluations illustrated the different role that FAO plays in large, rapidly developing and diverse countries like Brazil and India, which have requests and expectations vis-à-vis FAO different from many other Member States and important potential contributions to make to the Organization. Annex 1 synthesises a few key social and economic indicators for the two countries.

II. Purpose and scope of the country evaluations

7. In both countries, the main purposes of the evaluations were:

- accountability on the Organization's performance at country level to the national government, other FAO member countries and FAO management;
- lessons learning to enhance the relevance and effectiveness of the respective countries' cooperation with FAO in the future, in particular on factors affecting the relevance and impact of FAO cooperation at country level.

8. Both evaluations were forward-looking and the assessment of FAO comparative advantage in each country was a key focus of analysis. The two evaluations differed in terms of time-span: the India evaluation covered six years, as per usual practice for OED country evaluations; in Brazil it was decided to extend the period to include two additional years, as 2002 was a milestone in the UN project delivery model in the country and the in-depth analysis of those events was fundamental to understanding more recent features of FAO's performance.

9. All work was analysed in terms of its relevance, efficiency, effectiveness, impact and sustainability, as well as in terms of consideration to gender equity, social inclusion and environmental sustainability. The evaluations also assessed the two countries' contributions to FAO's statutory

bodies and secretariats, and the use they made of FAO as a forum for international visibility and cooperation.

III. Methodology of the country evaluations

A. Methodology

10. The two evaluations followed very similar processes. The preparatory phase, aimed at scoping the evaluation, included information gathering through corporate information systems and extensive interviews with FAO officers involved in working in each country. This was followed by an OED mission to the respective regional offices (RAP and RLC) to meet staff concerned with country work there, and to the countries themselves, where meetings were held with key stakeholders in the FAO Representations, in the Government and partners including the UN, bilateral donors and NGOs.

11. The approach was consultative and participatory. Triangulation was a key method for validation of information and evidence. Tools included review of reports and documents and extensive meetings with a wide range of stakeholders in the countries. A detailed list of evaluation questions and issues identified during the preparatory phase guided semi-structured individual and group interviews. The ToR and final draft reports were circulated to FAO and national stakeholders for comments and suggestions.

12. The preparatory mission made initial arrangements in India for the evaluation of three Nationally Executed projects, funded directly through project funds and carried out a few months later, before the fully-fledged evaluation mission. In Brazil, five Unilateral Trust Fund (UTF) projects should also have been evaluated through separate, independent evaluations as they were due to close between 2010 and 2011 and their budgets were above USD 4 million. Due to lack of financial provisions in budgets, this was not done except as part of the main country evaluation mission in October 2010.

13. The preparatory phase also included discussions with stakeholders on potential topics for impact evaluations (IE). The IE in India focused on the impact on farmers' livelihoods and food security of Farmer Field Schools implemented by the project Promoting Livelihood Improvements in Dryland Farming on the Deccan Plateau¹. In Brazil, forestry was the second largest area of FAO's support to the country during the period under evaluation in terms of financial resources². In consideration of the type of work done over time, this IE assessed impact at the institutional level, in terms of FAO's contribution to Brazilian institution and capacity development in the forestry sector over thirty years.

14. Both evaluations had external team leaders, in the case of India a senior economist who is an Indian national. Teams were largely comprised of external independent consultants: the India team included one national and four international consultants, plus the OED Evaluation Manager and one OED staff member; the Brazil team included four national and three international consultants, plus the OED Evaluation Manager. The India evaluation team included 5 men and three women; in Brazil, there were 6 men and three women on the team.

15. The two evaluations were appropriately timed: earlier experience had showed that the usefulness of a country evaluation is greatly enhanced when such exercises are conducted in countries where a change in FAO Representative is due or on-going and where the NMTPF is still at the formulation phase. In both countries, the preparatory phase was carried out in the transition period between FAO Representatives, and the fully-fledged missions were conducted after the new

¹ GCP/IND/174/NET

² Budget-wise, the largest sector was Community-based micro enterprise development; however in 2010 the responsible national organization for this set of projects, the Ministry of National Integration, had launched its own assessment of the work done: an impact evaluation by FAO risked being a duplication and waste of resources.

incumbent had arrived. Consultation with the former FAO Representatives took place in both evaluations.

B. Constraints

16. The two evaluations also faced some obstacles that limited to some extent the gathering of information. These were:

- the size of the country and time available did not allow travel to all field projects; in Brazil, to compensate for the lack of direct interaction with beneficiaries at field level, team members carried out telephone interviews with project managers;
- the number of initiatives implemented by FAO in Brazil and India during the period under evaluation was high and the team had to identify priorities to allow adequate analysis of a significant sample of initiatives; priority was given to national over regional projects, and to more recent over older initiatives.

17. Also, the absence in FAO of a single repository of country information complicates the evaluator's task, particularly in large countries like Brazil and India where initiatives are many and the FAO Representation does not always receive full information about them. This is part of a wider issue of making information available and is taken into account in one recommendation in Section 10 of this report.

IV. The FAO Programme in Brazil and in India

A. The FAO Programme

18. The size and pattern of FAO Programme in Brazil and India differed widely³. In Brazil, the FAO portfolio was largely funded through national resources and FAO's, whereas in India the major source of funds was an external donor, the Netherlands, and FAO's own resources.

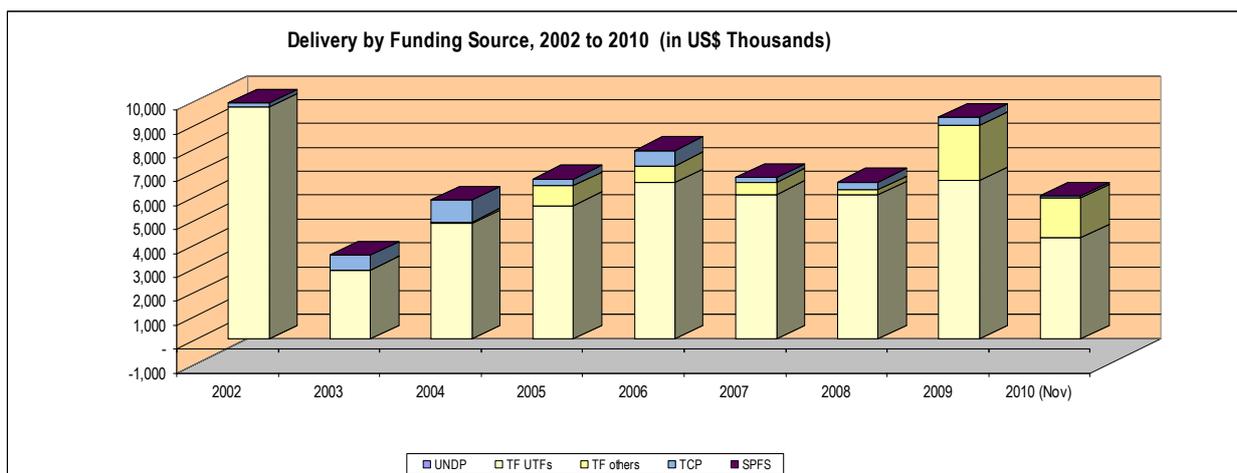
19. In Brazil, the total budget of national projects and programmes was close to USD 100 million, 2.6 times the total budget of national projects in India that reached USD 37 million; percentage-wise, the share of UTF in Brazil was 84%, much larger than in India where it was 17%⁴. The ratio was almost inverted in the case of Trust Funds, excluding UTF, which represented 12% of the total budget in Brazil and 70% in India. In neither country, FAO emergency work played a significant role, with the exception in India of one national emergency project that started in late 2008, to provide technical assistance on Highly Pathogenic Avian Influenza (HPAI).

20. The total budget of national TCPs was similar in the two countries, USD 3.5 million in India and USD 4 million in Brazil: percent-wise, this represented 9% of the total budget of FAO national project in India and 4% in Brazil. Boxes 1 and 2 below show respective delivery graphs.

³ For ease of comparison, this section looks at FAO Programme in the two countries during the same time span 2002-2010, despite the fact that the two evaluations covered different periods.

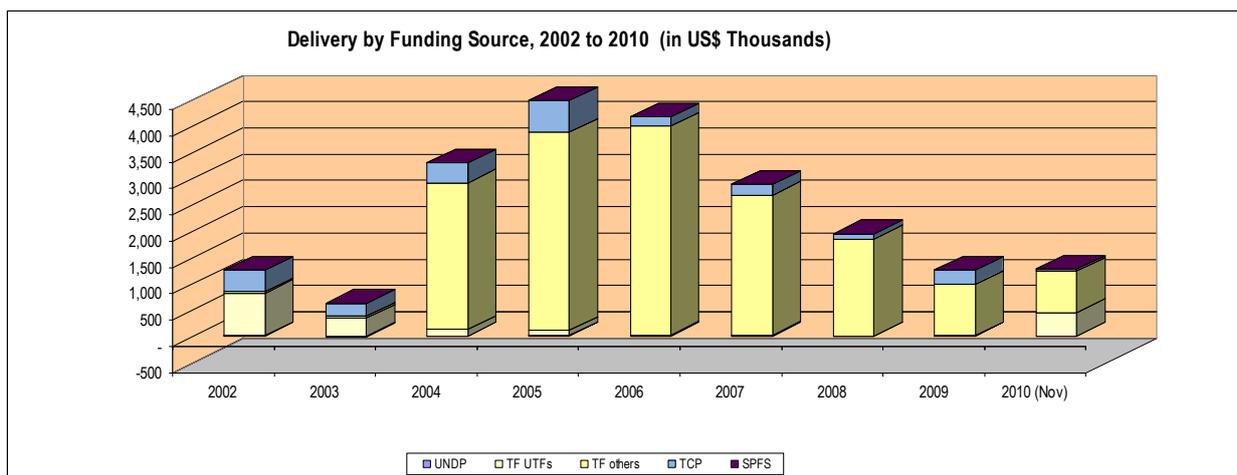
⁴ In India, during the period under evaluation (2003-2008), the total budget of national projects amounted to USD 29 millions: Trust Funds excluding UTF were the major source by large (78%); UTFs represented 14% of total resources, TCPs 8% and emergency projects 0.5%.

Box 1. FAO delivery in Brazil 2002 to November 2010



Source: FAO Field Programme Management Information System (FPMIS) December 2010

Box 2. FAO delivery in India 2002 to November 2010



Source: FAO Field Programme Management Information System (FPMIS), December 2010

21. Sector-wise, in Brazil 47% of the total resources went to support community-based enterprise development, all funded through UTF; 22% of the resources went to support initiatives in the forestry sector and 12% to food security initiatives. In India, 53% of total resources were allocated to the Water management initiatives. The Crop sector received 27% of national project resources and Livestock 7%; Forestry received 6% of resources, all UTF and completed by 2003, and Fisheries and Aquaculture 3%.

22. FAO technical areas of intervention in each country clearly followed national priorities and focused on the sectors where the national government and its resource partners considered that the Organization had comparative advantage and could bring added value. The choice of actual sectors depended largely on national competence and capacity: for example, stakeholders in the India forestry sector saw only limited added value in FAO’s focus at that time in forest management, whereas the same work appeared to be still relevant in Brazil; FAO work in emergencies, intended as immediate

rehabilitation action and Disaster Risk Management, disappeared also from India⁵, as the country had its own capacity and resources.

23. Three additional common elements are worth noting:
- i. FAO implemented a World Bank-funded project in Brazil and an IFAD-funded project in India, whose approvals suffered huge delays due to discussions over administrative matters. However, several stakeholders in both countries stated that they would like to see FAO as a stronger partner who can bring into the WB's projects more attention to sustainable rural and agricultural development: FAO is thus missing the opportunity of leveraging the resources of these institutions, who are among the few donors in countries like Brazil and India, and to bring its technical knowledge to bear into their initiatives. A recommendation is formulated on this in Section 10.
 - ii. the gradual phasing out of 'food security' projects from the recent portfolio and pipeline in both countries: the focus in India now is on policy and strategy development assistance at sectoral level and in Brazil, on the interactions between agriculture, forest and natural resources management.
 - iii. the FAO Representations in both countries, at the time of the evaluations, were facing a challenge to the prevailing modes of cooperation: in India, the closure of the three large Netherlands-funded, Nationally Executed Projects was forcing FAO to find alternative sources of funding; in Brazil, the political environment was pushing towards a major change of the cooperation framework between Brazil and the UN. In both cases, national governments wanted to evolve their cooperation framework with FAO and in the case of Brazil, the Government was acting already as a FAO resource partner.

B. The FAO Country Programming Framework

24. The two evaluations started when the countries were planning to formulate their Country Programming Framework (CPF)⁶. In India, the CPF process started with the newly appointed FAO Representatives and the evaluation and formulation ran in parallel. The evaluation's assessment of the formulation process was positive as "*participation and discussion were both of high quality and largely participatory*" and appreciated that the CPF "*foresees a mechanism for steering its overall progress and for joint substantive monitoring of individual projects and initiatives*".

25. In Brazil, the CPF formulation process was postponed to early 2011, to ensure that the new government elected in late October 2010 could be fully involved in the process.

26. The two countries present similar challenges for a FAO CPF:

- FAO is requested to work with many different ministries and all should be adequately involved in the CPF preparation process as was done in India; this entails more coordination efforts to ensure a good quality of the process output;
- the size of the countries, their federal structure and the diversity in level of development across States meant that FAO should work beyond the federal level and support individual States in greatest need with their institutional and capacity development efforts; in India, a number of states had been identified through the UNDAF for priority UN action;
- in both countries, FAO should further strengthen its links with non governmental and para-governmental institutions, including academic, private sector and civil society, to capture the added value that these sectors can bring to the development process; this calls for innovative and diverse mechanisms of consultation and decision-making that need to be developed and institutionalized.

27. Thus, there are common challenges and room for cross-fertilization on the CPF formulation and implementation process between Brazil and India and possibly other countries with

⁵ FPMIS does not indicate any TCE-managed activity ever in Brazil.

⁶ Until October 2010, FAO called these plans National Medium Term Priority Framework (NMTPF); this report adopts the new term Country Programming Framework.

similar features, i.e. decentralized state structures and emerging non-governmental national development stakeholders. A recommendation on this issue is formulated in Section 10.

V. The FAO Representations in Brazil and in India

28. The FAO Representations in Brazil and India are fully-fledged country offices, with one international staff as FAO Representative, supported by 26 and 14 national staff respectively. Two major differences existed at the time of respective evaluations: i) the great majority of national staff in the India FAOR were paid through the Regular Programme (RP), while most FAOR Brazil staff were either seconded from the Government or paid through AOS⁷ funds; ii) the FAOR Brazil was structured by functions, i.e. Programme, Operations and Administration, whereas in the India FAOR, the Programme unit was further divided by source of funds, with one team responsible for management of the three large Nationally Executed (NEX) projects and another team dealing with all other initiatives, funded through both RP and Voluntary Contributions.

29. The two structures respected the typical structure of FAO Representations and had adjusted their internal work mechanisms and flows to meet different circumstances of funding and work requirements. Staff in both offices had appropriate qualifications and profiles to carry out their job descriptions. One major weakness was noted in the FAOR Brazil Programme Group: due to the restrictions imposed through national UTF funding rules on FAO technical backstopping (see section 6.2), this Group was not adequately equipped in terms of numbers of staff with appropriate competences to handle the technical tasks assigned to them, despite their best efforts.

30. In Brazil, dependence on AOS as a funding source affected staff continuity and its morale; nevertheless the FAOR had been capable of maintaining a good level of team spirit also by finding ‘staff centred’ solutions for unavoidable hiccups in funding. In India, the work-load division in the Programme Unit had led, particularly in the transition period between FAO Representatives, to lack of communication and coordination between the two teams. In both Representations, the newly arrived FAO Representatives had launched processes aimed at improving team collaboration and overall office performance⁸.

31. The evaluations noted similar weakness in the performance of the Programme Units, namely lack of:

- a. technical monitoring of projects, with the exception of the NEX projects in India that benefited of one professional and one assistant assigned full-time for this task;
- b. exchange of experience and lessons learned and coordination across FAO projects in the country;
- c. follow-up on results and capitalization of lessons learned once projects came to completion;

32. The main immediate cause of these gaps was lack of resources to carry out these activities. Contributing factors were in Brazil, a tendency to privilege a larger portfolio and focus on operations rather than on technical support and inputs, and in India, a less than optimal distribution of tasks and responsibilities within the Representation.

VI. FAO modalities of delivery

⁷ AOS: Administrative and Operational Support costs, a percentage of Project Support Costs (PSC)

⁸ In India, one or more staff retreats were organized during the first six months while in Brazil, a ZOPP (Goal oriented project planning) exercise was launched; it was too early for each evaluation to assess long-lasting effects of these initiatives, though overall they seemed to have gained to the Representatives, respect and attention by the staff.

A. National TCP and TCP Facility

33. As mentioned above, the TCP played a minimal role in terms of FAO's overall delivery in both countries. In India, delays in approval also affected negatively the TCP delivery rate. Nevertheless, in both countries most TCPs met needs clearly expressed by respective governments: in India, focus was mostly on technology inputs and in Brazil, mostly on policy formulation and implementation, testing methodologies that were later on scaled-up through a UTF or GCP, and institutional support.

34. A few TCPs in Brazil provided funds for FAO's staff and national consultant's time and travel costs in support of UTFs. Although technical support is one of the key criteria for TCP funding, the Brazilian model was a direct transfer of Regular Programme resources for the implementation of initiatives funded through Voluntary Contributions (see section 6.2 below).

35. The two evaluations found examples of national organizations - or state level in India - that were able to pick up and build on the outputs of a TCP for other development initiatives. Overall, in Brazil up-scaling was more systematic and frequent through the UTF modality than in India but effectiveness was satisfactory to good in both countries, with only few exceptions that were below average. In general, TCPs in both countries have been useful and have served their primary purpose of providing technical assistance that was not available in the country and catalytic support.

36. Both countries used extensively the TCP Facility, highly appreciated by FAO Representatives for its ease of access, flexibility and usefulness in helping to meet immediate and specific needs of assistance that would go otherwise unmet. These included formulation of project proposals, studies, and preparation of documents for consolidating experience and best practices. Both evaluations concluded that the thrust and modality of use of the TCP-Facility had been appropriate and in line with FAO's functions as a provider of knowledge, especially in countries like Brazil and India where a pool of highly competent national consultants is available, who can contribute effectively to background work on behalf of FAO.

37. Particularly in Brazil, there is a desire in the FAOR and Regional Office to increase the TCP Facility allocation within overall TCP resources to be made available at country level. The evaluations recognized the validity of this approach, nevertheless it raised a concern that a total exclusion of stand-alone TCPs might prevent the possibility of accessing this modality of delivery. Considering the overall good capacity in Brazil and India to make good use of TCP, these projects may still play a role in capacity development and institutional building that a TCP-facility, because of the small size of individual interventions so funded, cannot really fulfil. At the same time, FAO should start identifying mechanisms for TCP cost-recovery from respective Governments, partial or full, depending on the nature of the project.

B. Unilateral Trust Funds

38. As mentioned in the section on FAO Programme, the weight of UTF projects within FAO portfolio differed widely in the two countries. In India there had been few UTF in the early 2000s while in Brazil, 84% of FAO delivery was through UTF.

39. UTF in India were launched to facilitate training abroad for Indian nationals and to recruit consultants for cooperative and marketing development, on behalf of a national organization. Partly due to the source of funds, partly due to the nature of transactions involved, FAO technical services considered that although they had provided some advice about training opportunities, FAO had acted mostly as a service provider for travel and recruitment. No information was available on relevance and sustainability of these initiatives.

40. In Brazil, UTF were funded in almost all sectors of FAO's action in the country, excluding agricultural development. The Brazilian UTF projects are governed by a set of rules and regulations of the Federal Government, issued in 2001-2002, that lowered the project servicing costs (PSC) for all government-funded and UN-implemented projects, to 5% of the project budget – against the previously accepted 13%. Furthermore, a budget line for technical support by the UN Organization, in the case of FAO the Lead Technical Unit, was no longer accepted. This meant that

whenever a FAO staff provided technical backstopping to a UTF in Brazil, this was at a cost for the RP budget. At the same time, the FAO Representation, like all other UN agencies, was delegated the full execution of operational and administrative functions for the UTF⁹.

41. Relevance, ownership and sustainability of UTF initiatives have been very high. The evaluation noted that the advantages for the Government of this funding model included multi-year project budgets, assurance of good practices and performance in operations and administration, easy recruitment of project-funded human resources, image improvement and opportunities derived from close association with the UN. In FAO's perspective, however, the modality had immediate and possibly long-lasting repercussions:

- a. by undermining its capacity to fulfil its technical support role in the country, the Organization could not exploit its comparative advantage in bringing international best practice to bear and lost image and credibility; re-establishing these may not be an easy task;
- b. call on the Organization's resources, through the TCPs funded to 'pay' for FAO staff secondment time in support of UTF, through RP resources transferred to the FAO Representation to pay for UTF administrative and operation costs and by staff's foregone secondment fees when support was provided; and
- c. legal risks by reducing the Organization's authority to make decisions upon and manage the operational risks attached to implementation.

42. In India, the evaluation recommended a wider use of UTFs¹⁰ and in Brazil, it recommended to change the UTF model, to re-establish FAO's technical role. In fact, the two evaluations concluded that India and Brazil can still benefit from FAO's support on some technical issues and both evaluations identified technical areas where further cooperation with FAO was desirable and desired by national stakeholders. This cooperation may take different formats – short and intensive support or longer and less input-intensive projects – but will usually have a high technical content and will be strongly focused on specific sectoral niches. Like in any other project, the technical inputs by FAO will need to be clearly defined and the Organization must be accountable for them.

43. For this type of initiative, the 'natural' source of financial resources is the national government, at the federal or state level: although FAO could leverage financial resources from other donors, like the EC, the GEF, the World Bank and IFIs in general, these will be quantitatively limited compared to national resources; furthermore, evidence in Brazil is that World Bank and the EC will no longer be FAO donors for different reasons, and in India the experience with IFAD¹¹ was cumbersome.

44. Thus, UTF is a funding modality that will gain increasing importance in rapidly developing countries and more governments will be able and interested in collaborating with FAO through it. FAO needs to take advantage of the experience and lessons learnt so far to define more accurately this cooperation modality, so as to enhance its comparative advantage and prevent funding and implementation procedures that are not aligned with its mandate and role. A recommendation on this follows in Section 10.

9 Until 2001, a unit within the Brazilian Agency for Cooperation had been responsible for UTF operations and administration.

10 Two UTFs were launched in 2010, in the fisheries sector

11 See Section 4.1 of this report.

C. National Execution

45. National Execution (NEX) is the “overall management of a UN agency programme activities in a specific programme country carried out by an eligible national entity of that country”¹². NEX agreements include a national or international donor, the involvement of a UN agency and a national implementing organization, either governmental or non-governmental. In 2005, the UN developed the Harmonized Approach to Cash Transfer (HACT) model, to transfer funds to national executing agencies in the context of NEX agreements, aimed at reducing transaction costs, strengthening the capacity of implementing partners to manage resources and managing associated risk in a more efficient manner.

46. A FAO model for NEX implementation did not exist formally yet by the time of the Brazil evaluation, and the organization had not implemented many such agreements by then. Nevertheless, in line with the UN definition of NEX agreements, the Organization’s work on a NEX agreement model confirmed that the following features should be embedded in it:

- a. FAO technical contribution in project formulation, monitoring and supervision as a key element of the agreement;
- b. The agreement is informed and underpinned by a vision of partnership and shared responsibility in management and implementation.

47. The origin of the FAO/India NEX projects resides in the decision taken in 2003 by the Netherlands to withdraw completely its Official Development Aid to India after the Government of India had decided to limit its bilateral development cooperation to very few countries. Within the Dutch portfolio there were three projects, two executed by national NGOs and one by a University: their thrust was in the water and dryland farming sectors and therefore they were handed over to FAO, together with management funds that were captured through a fourth basket-fund project fully managed by the Organization, for monitoring and backstopping the three nationally executed initiatives. FAO formulated GCP project documents and continued execution with the same national organizations: this continuity made unnecessary the otherwise mandatory HACT micro-assessment process. The Government of India agreed in principle to the transaction between the Netherlands and FAO, and remained external to the institutional set-up of the three projects, as during the previous bilateral phase.

48. Thanks to the basket fund project that allowed recruitment of a groundwater expert for project monitoring and supervision and a number of other supporting initiatives, the FAO Representation in India developed a working mechanism that enabled the three national agencies to execute the projects. Responsible FAO Lead Technical Units fulfilled their role through initial project appraisal and subsequent monitoring, mostly relayed through the water expert and through annual monitoring visits. The two water projects were very successful; the dry-land farming project achieved fewer results due to a number of reasons, including the fact that the monitoring officer in the country was specialized in a different area.

49. The evaluation recommended that FAO should use the India case as a model as it was a very good example of how FAO could best play its technical role in a NEX environment. Some elements in the India NEX were ‘normal’ features of FAO projects: the LTUs provided a reasonable amount of support, not dissimilar from other projects and the national executing agencies were very good in two cases and average in the third, which is something to be expected. The key different elements were the good quality monitoring at national level, including strong commitment by the FAO Representative, and the yearly planning and reporting mechanism that allowed timely adjustments when and where necessary.

50. Other projects that were often defined as ‘Nationally Executed’ were the Brazilian UTFs. However, in these projects FAO had, in most cases, a lesser role than a ‘national executing agency’, unless there was a supporting TCP that funded FAO technical backstopping. In particular from 2006 onward, when most TCPs came to an end and RLC decided that regional officers should focus on

¹² National Execution and Implementation Arrangements, Administrative Committee on Coordination (ACC), New York, September 1998; UNDP Financial Rules and Regulations, May 2005.

more needy countries, FAO was absent from monitoring and strategic decision making in most UTF. On the other hand, if the Organization had provided it, this would have been at a higher cost for the Regular Programme budget.

51. Another FAO donor in Brazil - the European Commission - adopted the National Execution model. Also in this case, the real locus of decision making about any project matter, including strategic technical decisions, remained fully within the competent Ministry, with limited room for FAO to play a more pro-active and technically meaningful role. A similar model is foreseen in GEF funded projects, and the evaluation raised similar concerns.

52. In practice, the Brazilian UTF model is a fully Government owned and nationally executed initiative, but it is inconsistent with both UN and FAO NEX model, as it does not embody a partnership approach to project management, does not pursue joint decision making nor does it include the possibility for FAO to bring added value to national competence through its own or international technical support.

53. The two evaluations urged FAO to take forward the experience and lessons learnt on NEX and define formally a FAO model. In late 2010¹³, FAO re-launched efforts towards the formalization of a corporate NEX and HACT models and it deserves congratulation for taking this action. In its support, this synthesis can stress a few key lessons that emerged from the two evaluations:

- a. FAO in India managed a NEX/HACT effectively and efficiently; one key element of this success was the good quality and intensive technical and management monitoring provided by FAO itself, with a monitoring officer full time, full dedication by the FAO Representation, normal support by the LTU and availability of additional financial resources for travel and complementary activities;
- b. the selection of the 'good' NEX/HACT partner is pivotal to the success of the initiative; should the partner be a government organization, the political implications of this choice must be brought to bear in the risk-management mechanism;
- c. FAO technical expertise and knowledge must be brought to bear fully at national level through the FAO Representations for NEX projects monitoring and supervision, either through local staff who can provide added value to a national organization, or through a network of international consultants and/or FAO staff available as required.

54. Last, similarly as what stated above for the UTF modality and in view of an increasing demand upon the Organization for NEX agreements, FAO must define clearly roles, responsibilities and lines of accountability in this context. The same recommendation as per the UTF is formulated in Section 10.

D. Regional, inter-regional and global projects

55. In the periods under evaluation, Brazil and India participated in 22 and 27 regional projects respectively, in addition to 11 and 17 inter-regional and global projects. Areas of main focus of these initiatives were surveillance and preparedness for transboundary pests and diseases in both India and Brazil, and forest management in Brazil. In Brazil, the main source of funding was the TCP, whereas in India the majority were GCPs.

56. In this context, FAO was appreciated for its role of steering agent and "honest broker", facilitating knowledge transfer from Brazil and India to other countries and contributing to ensure a balanced approach to cover topics of interest and of concern for all. In general, national participants saw regional and global projects as an effective approach to develop links between national institutions across neighbouring countries and elsewhere for the purpose of stimulating debate and the exchange of experiences. FAO is perceived to have had a major key role in this process.

57. Limited financial resources are often a weakness of regional projects, in that they are spread very thinly across participating countries. An interesting compensatory measure was taken by

¹³ The "Guidance Note on Piloting Harmonized Approach to Cash Transfers to Implementing Partners (HACT)" by FAO was circulated to all units in FAO on 22 December 2010.

India, which contributed with national parallel funding for country-level activities to one regional initiative in the area of plant genetic resources, considered of high importance for the country. Also in the area of sustainable livestock development, the National Dairy Development Board contributed to a sub-regional initiative, through a joint plan of work and related budget, with an international consultant recruited by FAO fully involved in daily Programme decision making and technical support.

58. In general, in both countries strong national technical competence facilitated the uptake of outputs or processes developed through regional and global initiatives. Still, in some cases, FAO's regional initiatives were virtually unknown to key sectoral stakeholders in the two countries. This was partly due to a tendency among FAO officers in the Regional Offices or in HQ, magnified by the country size and institutional complexity and the over-busy FAO Representations, to develop and manage regional initiatives without informing the FAOR¹⁴, let alone involving them in project design, implementation and follow-up. This often had negative consequences on effectiveness, by undermining possible sharing and building of knowledge, coordination and synergy development by the FAO Representation between these initiatives and the rest of the country Programme; it also discredited the Organization as a whole when the Representation did not know of what other units were doing in the country. Furthermore, it is very important to identify a national institutional champion for any project, including regional ones: this may be difficult for someone in the Regional Office or in HQ, thus the involvement of the FAOR in the identification of the most suitable participants assumes great importance. The two evaluations had evidence that in a number of cases, the lack of follow-up and more thorough efforts to involve national institutions and partners undermined the sustainability of the regional initiatives.

59. The two evaluations recommended to FAO greater involvement of FAOR, including payment of AOS for services provided, in the identification, design and implementation of regional, inter-regional and global initiatives. A recommendation on this is to be found in Section 10 below.

E. Normative products or Global Public Goods

60. The two evaluations devoted attention and efforts to the assessment of FAO's normative products, or Global Public Goods. The level of analysis of these products in the context of a country evaluation can only be very general and the sample of stakeholders interviewed on this cannot be considered representative, all the more so in large countries like Brazil and India.

61. Keeping in mind this caveat, both assessments gave mixed results: some major FAO's initiatives and products, such as Codex Alimentarius and Code of Conduct for Responsible Fisheries, were widely known in both countries among sector specialists and used as references for national policy and standard-setting. In general, Indian users were better acquainted with FAO products than in Brazil, in particular knowledge was better among technical officers than among senior managers.

62. Also, there were good examples of FAO diffusing Brazilian and Indian experience through its Global Public Goods (GPG), for example publications were developed based on the national experience and lessons learned on Right to Food and on Food Security within the Zero Hunger Programme in Brazil, and on the Pro-Poor Livestock Programme (SAPPLPP), Andhra Pradesh Farmers Ground Water Management System (APFAMGS) and the biosecurity framework in India, just to mention only a few.

63. Nevertheless, although some interlocutors acknowledged downloading some of FAO's publications and documents, and the fact that in general FAO is acknowledged as an organization providing information on agriculture and related aspects, the use made by Brazil and India of FAO's website and its contents, appeared to be limited.

64. The two evaluations reached similar conclusions: in a world where FAO is no longer the only player on a number of themes, posting a document on a website is not enough for it to be used,

¹⁴ The newly appointed FAO Representative in India used to cross check what missions were planned to India through the FAO Country Office Information Network (COIN); however, sometime initiatives are run also without a person physically travelling to the country. Previous country evaluations and other Programme evaluations already raised the issue.

and workshops and web pages are not a very effective way, on their own, of disseminating FAO's message, even in countries like Brazil and India. Even if a product is innovative, of good technical quality and well-written, few of its potential readers and users will ever know of its existence if it does not reach their screens in a way or another. More proactive strategies for diffusion of information are necessary to attract the attention of potential users already over-laden with information, and to ensure that the information and knowledge that FAO produces is correctly targeted and presented in ways which are useful to and accessible by the end users.

VII. Gender equality and social inclusion

65. Similarly to all other FAO country evaluations, the Brazil and India evaluations paid specific attention to how gender equality and social inclusion had been taken into account in FAO initiatives. In Brazil moreover, both issues – and social inclusion in particular - featured strongly in the national government policy since 2003, as well as in the two UN Development Assistance Frameworks (UNDAF) active in the country during the period under evaluation.

66. In relation to gender equality, in both countries FAO's performance overall was satisfactory at best. In the majority of projects and initiatives, topics and overall thrust required that gender equality and/or attention to women's specific roles and activities be fully mainstreamed, but this was not the case in design¹⁵ or implementation. Positive exceptions were as follows:

- In India, the APFAMGS project was highly effective in mainstreaming gender in all its activities, by involving women systematically in its capacity and institution building work;
- In Brazil, in a few project documents gender was adequately taken into account, although there was lack of information of what the inputs by FAO staff and consultants had been.

67. Overall, social inclusion fared better, in project design and implementation: more project documents included marginal groups among intended beneficiaries and project activities, a first necessary step to ensure that some attention will be paid to vulnerable people during implementation. In Brazil, work at community level was carried out with poor coastal communities, quilombos¹⁶, urban deprived groups; in India, in a few cases attention was given to include among project beneficiaries scheduled and other castes.

68. Overall, in particular in Brazil, the main driver for mainstreaming both issues was the Government itself through its policies and commitments, and FAO followed, although its contribution to achievements of several initiatives was not really visible. Both evaluations formulated specific recommendations to FAO to “*undertake more consistent efforts to mainstream gender and social analysis in all its work*”. The on-going Evaluation of FAO's role and work related to Gender and Development will elaborate further on these issues.

¹⁵ The Brazil evaluation assessed in detail to what extent gender and social inclusion had been integrated in FAO Project documents; this showed that 85% of the total number of projects should have included a gender perspective but only 41% did so; for social inclusion, results were 88% should have included but only 49% did so.

¹⁶ Quilombos are Brazilian hinterland settlement founded by people of African origin, called Quilombolas. Most of the inhabitants of quilombos were escaped slaves and, in some cases, a minority of marginalised social groups. Inclusion of Quilombos into social and economic development programmes is recent.

VIII. FAO functions

69. Although FAO's core functions were embedded in the corporate mandate and in the Strategic Framework 2000-2015¹⁷, they were not explicitly defined as such until the formulation of the SF 2010-2019. Box 3 below compares the two sets of FAO core functions used as reference for the India and Brazil country evaluations, which are then integrated for comparison purposes between the two countries.

Box 3. FAO Core Functions and related evaluation questions

70. Core functions in India evaluation, as per FAO mandate	71. Core functions in Brazil evaluation , as per Strategic Framework 2010-19
<i>Knowledge organization</i>	a. Monitoring and assessment of long-term and medium-term trends and perspectives b. Assembly and provision of information, knowledge and statistics c. Development of international instruments, norms and standards
<i>Neutral advisor and forum on policy and technical issues</i>	d. Policy and strategy options and advice e. Technical support to promote technology transfer and build capacity g. Inter-disciplinarity and innovation
<i>Provider of expertise and technical assistance</i>	
<i>Capacity development</i>	
<i>Advocacy role</i>	f. Advocacy and communication
<i>Development partner and fund raiser</i>	h. Partnerships and alliances

Source: FAO website and Strategic Framework 2010-19, elaborated by OED

Knowledge organization and development of international instruments, norms and standards

72. FAO as a knowledge organization had a different profile in Brazil and India: in the latter, FAO was highly regarded in this role by all stakeholders, thanks to its capacity to make available information about agriculture and related subjects in other parts of the world, produced by FAO itself and by a wide range of different institutions. This took place mostly through FAO's websites, publications, databases and statistics, in the areas of food safety regulatory aspects, water, fisheries, forestry and agricultural statistics.

73. In Brazil, on the contrary, the Organization was not widely used as a reference or source of information in the various areas of its mandate and there was limited evidence of significant use in Brazil of FAO's medium- and long-term assessments as well as of its global databases as sources of information feeding into Brazilian knowledge base. Reasons may include language, as the use of English is not widely spread; the national capacity to adequately generate its own information; or the absence of adequate diffusion by FAO of its Global Public Goods.

74. Both countries however made a good use at national level of some FAO's international instruments, such as the Codex Alimentarius and the Code of Conduct for Responsible Fisheries. Brazil, moreover, showed a high level of appropriation by the government and civil society of instruments, events and processes such as the 1996 World Food Summit, the International Conference on Agrarian Reform and Rural Development (ICARRD), the Voluntary Guidelines for Right to Food, and the International Treaty on Plant Genetic Resources for Food and Agriculture.

¹⁷ SF 2000-2015, paragraph 26: In the coming 15 years FAO will be: a centre of excellence and an authoritative purveyor of knowledge and advice in the sphere of its mandate; a pre-eminent repository and provider of multidisciplinary capacities and services in the areas of its competence; an active partner of organizations, within and also outside the UN system, that share its goals and values; a well-managed, efficient and cost-effective institution; a mobilizer of international will and resources to assist its Members, as well as a responsible manager of the resources entrusted to it; and an effective communicator and advocate for its own goals and those of its Members.

Neutral advisor and forum on policy and technical issues

75. FAO's performance on this function has been varied in the two countries as well. In India, the Organization has played the role of neutral advisor and facilitator on some important issues during the period under evaluation, in particular in the area of food safety regulations, transboundary pests and diseases and livestock. In the wake of those examples, requests were very strong for the Organization to expand this role to other areas or hot issues, such as Genetically Modified Organisms (GMOs), Climate Change and marine management. At the same time, opinions about FAO's potential advisory role in areas such as food insecurity and poverty assessment were much more divided.

76. In Brazil, available evidence showed that this function was not well performed and that little effort was devoted to promote national debate and dialogue among national stakeholders. The vision and understanding of the need was there, but consequent action was limited. Despite the existence in the country of several arenas for debate, the evaluation noted a consistent request for a neutral facilitator who could bring to the same table experts and decision makers with diverse views on the big and small challenges in Brazil's development path, such as forest economic production versus forest conservation, family farming versus agri-business, and food safety in the context of Right to Food.

77. There is little doubt that FAO's role in Brazil and India, and possibly in other similar countries, should build on its neutral and independent position to facilitate dialogue and exchange, within the country itself and between the national and international levels, also drawing on its wide knowledge and experience on a vast array of themes. The CPF should facilitate the identification of areas in which this need is stronger, nevertheless the Representations should also be attentive and respond to emerging needs of discussion and dialogue through the corporate capacity to call upon international expertise and organize events with limited effort.

78. Similarly, as already mentioned above, both evaluations noted that the systematization of the FAOR institutional memory about experience and lessons learned out of even recently closed projects required improvement. Although this depends partly on available resources, both human and financial, FAO comparative advantage as a technical agency resides also in its capacity at the local level to bring added value to project design and management stemming from exchange, debate and the sharing of lessons learned.

Provider of expertise and technical and policy assistance

79. Brazil and India are well endowed with high quality national expertise in several areas of FAO's work. Nevertheless, both countries, in particular outside the federal sphere of government and in certain states more than in others, expect FAO to provide high-quality technical assistance on a number of themes, to meet the niche gaps that national organizations may still have, in particular on emerging issues such as climate change.

80. The India evaluation found that good quality technical assistance had been provided on locust control, plant genetic resources, bio-security, water management, horticulture, livestock and fisheries. This was appreciated and recognized and in many cases, it was stated that it had made a real difference to the work of the concerned organization. In some cases, nevertheless, the quality of assistance was below reasonably expected standards.

81. In Brazil, FAO was a close partner of the Government: it provided well appreciated policy advice in the areas of food security and family farming, forestry and fisheries, and contributed to the development and implementation of public policies and programmes. FAO's technical advice and support to technology transfer through regional and global initiatives had also been highly relevant and effective through well-targeted initiatives. However, the technical support component was not generally present in national projects, excluding TCPs, due to the restrictions on reimbursement of international and FAO direct technical assistance. This had caused a loss of credibility and image for the Organization among national stakeholders, who did not see much comparative advantage in further collaboration with FAO as 'it had not brought in much expertise from outside'.

82. Thus, although reasons differed, FAO did not always provide in Brazil and India the expected high-quality expertise. The two evaluations considered that this required remedial actions, although on different fronts: on the one hand, a guarantee of high quality standards of technical and policy assistance through its own staff and international consultants; on the other, dialogue with the Government in Brazil to change the rules preventing it from providing adequate technical assistance to the country as required.

Capacity development

83. Before the evaluation periods, FAO had played an important role in national capacity development in particular in the areas of forestry, fisheries and food quality and safety in both countries, and in Integrated Pest Management and Farmer Field Schools in India. The Brazil Impact Evaluation for the forestry sector illustrates FAO's contribution to the forest engineers' schools and institutions in detail.

84. In more recent times, in India capacity building efforts came under the NEX projects, both on technical and managerial aspects, and the TCPs, whereas in Brazil this function was conveyed mostly in an informal manner through direct relations between FAO staff and consultants and national project managers, whenever possible.

85. Indian organizations had strong requests for capacity development: one of the reasons was the high Indian attrition rate and the inability of national institutions of mainstreaming the acquired knowledge and pass it on to new staff. Although this appeared more as a national than FAO's problem, it raised challenges for FAO in relation to the sustainability of its capacity building initiatives.

Advocacy role and communication

86. In both countries, the most visible actions were World Food Days and participation in meetings and fora. A small sample of lectures and presentations in India given during the period under evaluation showed a focus on food security and small-scale agriculture, ranging from food safety to bio-technology and land tenure, etc. This appeared to be a reasonable choice, partly dictated also by the need of the Organization to maintain an independent stance on a number of sensitive issues.

87. The evaluations found out that in neither country was FAO communicating adequately about the Organization's mandate and work at national and regional level and on its Global Public Goods.

88. Although account would have to be taken of the scarcity of available resources at FAOR level, development of a country-level communication strategy in these large countries would seem to be an appropriate investment.

Partnerships and alliances

89. The two evaluations concluded that in both countries, FAO had played its role of partner of the government, on a number of areas and themes. In Brazil, the very high level of coincidence between the goals of the Brazilian government since 2003 and FAO's overarching goal - fighting hunger and improving food and nutritional security - contributed to a successful partnership there. In India, FAO's limitations were mostly of a financial nature and did not allow for its contribution to be more visible.

90. In relation to the UN, FAO had been an active contributor to the second UNDAF formulation in India, and an excellent partner of the UN in the Solution Exchange¹⁸ work, but not in Brazil, where collaboration with the UN was very limited. A recommendation was formulated on this.

¹⁸ Solution Exchange was an initiative of the India UN Country Team that began in 2005 with the purpose of establishing Communities of Practice (CoPs) to share knowledge and experience among practitioners from

91. Partnerships were developed with the civil society and private sectors in India and Brazil, albeit not on a large scale: issues of integrity and independence called for caution in relation to the private sector in India and availability of resources limited collaboration with the civil society in both countries. The already mentioned joint sub-regional initiative with the National Dairy Development Board in India, a parastatal organization, was a very successful partnership. In Brazil, through regional project initiatives, networks and alliances have been built on specific technical themes with neighbouring countries.

92. Both evaluations recommended that FAO should widen its range of partners, including reaching out to the State level in the most deprived regions of each country. In India, the UN had already identified seven priority states; in Brazil, collaboration should also be sought with other UN agencies to ensure the development of synergies and joint actions.

IX. FAO as a facilitator of the Brazilian and Indian contributions to international development

A. Brazil and FAO collaboration with FAO statutory bodies and secretariats

93. Brazil and India have been for many years active members of FAO statutory bodies and secretariats hosted within the Organization. Apart from the usual rotation-based participation in FAO Governing Bodies, both countries played in recent years a strong role in the Codex Alimentarius and in the FAO reform process. Furthermore, Brazil has been very active in the reform of the World Committee on Food Security of FAO (CFS), in the process leading to the adoption of the Voluntary Guidelines on Right to Food and is currently strongly involved in the negotiation on the Voluntary Guidelines on Land Tenure. At the same time, India has been well represented at the senior level in the International Plant Protection Convention and in the International Treaty on Plant and Animal Genetic Resources for Agriculture.

94. Thus, both countries have made important contributions to the overall action of the Organization in a number of areas and through it, have exerted their clout at the international level and assumed a visible and important role in the global governance of food and agriculture.

B. Brazil and India triangular cooperation with FAO

95. FAO collaboration with Brazilian and Indian experts on a wide array of technical sectors dates back of many years, both through the Technical Cooperation between Developing Countries (TCDC) Programme and outside it.

96. In Brazil, prevailing collaboration was with government and EMBRAPA¹⁹ staff, who would be seconded or take leave²⁰ to carry out consultancies in FAO projects in lusophone and other countries, in the areas of conservation agriculture, Codex Alimentarius and food quality and safety, forestry, land tenure and family farming. There was also an effort to include Brazilian experts in the South-South Cooperation for the Special Programme for Food Security in Mozambique, but the level of remuneration was not competitive for the expertise required.

97. Also in India FAO has been an important employer of Indian expertise for its projects and work in other countries: the number of Indian consultants recruited by FAO is likely to be the highest

government, donors, civil society and academics; it was organized around broad themes, each led by a resource group of UN agencies and other organizations, government or non-governmental.

¹⁹ Brazilian agency for agriculture and livestock research (Empresa Brasileira para a Pesquisa Agro-Pecuária)

²⁰ No framework agreement existed by October 2010 with EMBRAPA or other Brazilian institutions for formalizing collaboration, for example through staff secondment, although the National agency for health surveillance (ANVISA) had recently manifested its interest to the Ministry of Foreign Relations to collaborate with staff and funds to FAO's initiatives.

from any single non OECD-country, due to the high level of competence and English language skills of national professionals. Some of these were also recruited through the South-South Cooperation scheme for the Special Programme for Food Security, although work as field technicians proved not to be the most suitable modality for effective use of Indian expertise.

98. Part of this broader issue is also the role that FAO has played in both countries in strengthening the international credibility of work carried out at national level that has a relevance and usefulness also beyond the country borders. For example, FAO involvement in the Indian project APFAMGS ensured visibility and access to international fora, as well as potential sources of funds, to the executing Indian NGOs and university. Equally, FAO and India joint organization in the country of some global initiatives such as the First Global Forum on Agro-Industries (GAIF) and the conference for the wheat rust UG99, contributed to the country's visibility on the international scene. In Brazil, FAO played a similar role on the occasion of the ICARRD and by diffusing Brazilian knowledge through regional projects on nutrition and family farming models in Latin America. In general, the pursuit of the "FAO stamp" is a strong driver of cooperation between FAO and the countries.

99. Since 2009, Brazil has expressed its strong interest to act as a resource partner through FAO to diffuse its national experience, in particular in the area of family farming, food security and nutrition education, to other countries in Latin America and the Caribbean and in Africa. By the end of October 2010, five projects had been funded by Brazil and one was in the pipeline: three were in the emergency arena, one of which in Africa, while all others focused on Latin America. In two of these, the evaluation noted a potential tension, if not a conflict of interest, in the double focus of these projects at national and regional level, and formulated a recommendation on this specific aspect. The evaluation also recognized the strong potential for enhanced triangular cooperation between Brazil and other countries through FAO and recommended a set of principles that should inform future collaboration.

100. Related to this issue is the role and structure of the FAO Representations in Brazil and India, in a new context that includes enhanced triangular cooperation with the Organization and a cooperation framework at national level of a different nature from field projects. FAO Representations in these and any other similar country would be moving towards becoming a FAO Liaison office, while modifying their role of FAO Representation: this should not be a major challenge, as long as roles and responsibilities are clearly assigned and staff profiles and skills are adequate.

X. Conclusions and recommendations

101. FAO evaluations in Brazil and India have shown a number of similarities between the two countries in their relationship with FAO. These stem from the fact that Brazil and India are countries well endowed with national capacities and strong institutions at federal level, important national financial resources in support of public policies aimed at poverty alleviation, improvement of food and nutritional security and rural development and a desire to play a role in the international arena. Their requirements for interaction with FAO, while not unique, are neither representative of those of the majority of FAO member countries in the developing world. FAO needs to be able to meet the different requests that come from its multi-faceted membership and requires adequate approaches and tools for this purpose.

102. Some similar recommendations were formulated in each of the country evaluations and they will not be repeated here. Some issues however emerged from the comparison of the two assessments and call for specific action by FAO and some may require some further attention. These are formulated here below, with a brief reference to the topic discussed above in the report.

FAO information systems

103. FAO is a knowledge organization, with the mandate and capability to produce and disseminate knowledge to large groups of stakeholders. However, it relies on potential users' own initiative to access the information rather than being pro-active in making this knowledge 'known'. This affects its visibility and effectiveness even in countries with good access to information networks, like Brazil and India, affects the potential for better coordination and synergies at country level, and becomes an issue for organizational accountability as well, as a part of what it produces remains almost invisible. It is acknowledged that efforts have been made in recent years and there are visible improvements in some corporate information systems, e.g. FPMIS and COIN. However, more action is required at different levels, as recommended here.

Recommendation 1) To FAO OEK

FAO should develop information systems and mechanisms that:

- 1) facilitate access to its normative products or Global Public Goods in a users' friendly manner;**
- 2) widen the outreach of its products by including professional networks in the different sectors;**
- 3) create in the FAO Representations repositories of information about all that FAO does – and its products - in the country, independently from the source of funding;**
- 4) develop country-based communication strategies for making FAO better known for its global and local initiatives.**

FAO Country Programming Framework

104. The experience of FAO in India in establishing country-based priorities could be usefully shared with Brazil and other similar countries, as their size and institutional complexity call for specific measures.

Recommendation 2) To FAO Technical Cooperation Department

- 1) FAO should ensure that experience and lessons learned are shared by the FAOR in India with FAO in Brazil and other similar countries on the CPF preparation process. This could be carried out through teleconferences, exchange of documentation, and possibly even through a study tour should resources be available.**
- 2) TC should give specific attention to issues related to CPF preparation in large and emerging countries, drawing on lessons learned from India, in the elaboration of FAO guidelines for CPF, planned to be issued in mid-2011**

FAO cooperation with International Finance Institutions

105. FAO was appreciated in Brazil and India also when it was a strong partner of International Finance Institutions, in particular with the World Bank through the Investment Centre-World Bank Cooperative Programme. Besides this type of collaboration, wherein FAO provides technical competence to IFI-funded government programmes, there is no doubt that IFIs could be very important resource partners for FAO in countries such as Brazil and India, where they are among the few donors still active. However, important delays have occurred in project approvals due to differences in administrative and legal procedures and this is jeopardizing the future possibility for FAO to leverage resources in the form of GCPs, in particular from the World Bank.

106. The India evaluation formulated a recommendation about these aspects, and in the light of the evidence of Brazil, the issue appears to be still of high relevance for the future support that FAO can provide to its Member States.

Recommendation 3) To FAO

FAO should develop with each International Finance Institution protocols for project administration, finance, audit and reporting, that would apply to any initiative funded by that Institution and executed or implemented by FAO.

UTF and NEX models

107. The two evaluations have shown that work through the UTF modality and NEX agreements will be increasingly important in future and that it may raise important issues on the roles and responsibilities of partners, as well as on the comparative advantage and added value of FAO – and for FAO - in the country. Thus, FAO needs to establish a clear model for UTF projects and NEX agreements, based on the principles contained in Recommendation 4, that enhance its comparative advantage and would prevent acceptance of funding and implementation procedures that are not aligned with its mandate and role.

Recommendation 4) To FAO Technical Cooperation Department

FAO should develop a model for UTF projects and NEX agreements that should include:

- i) a clear description of FAO's actual role and responsibilities, as well as lines of accountability, in implementation and decision making;**
- ii) transparent calculation of administrative, operations and technical support costs that need to be fully recovered;**
- iii) mechanisms for monitoring and reporting; and**
- iv) basic principles and criteria for project formulation and approval ensuring that projects will be relevant to the FAO Strategic Framework, will contribute to its organizational results and that the Organization will have the capacity to provide real added value on the specific issue(s) at stake.**

Involvement of FAO Representations in regional projects

108. FAO regional projects are an important vehicle for capacity building and for expressing the organizational core functions of neutral forum, knowledge organization, facilitator of partnerships and alliances. However, for these projects to be effective, measures must be taken to ensure proper identification and involvement of the most suitable national institutions.

Recommendation 5) To FAO

FAO must ensure that FAO Representations in the concerned countries are fully involved in the design, formulation and implementation of regional, inter-regional and global projects, and that get reimbursed the related AOS for these services, to improve relevance, efficiency, effectiveness and sustainability of these initiatives.

FAO Office of Evaluation

FAO's effectiveness at country level: a synthesis of the evaluations of FAO's cooperation with Brazil (2002-2010) and with India (2003-2008)

Annex 1 – Socio-economic data on Brazil and India

Box 4. Brazil and India social indicators

	Brazil	India	Year
<i>Human Development Index Value (0,1)</i>	0.813	0.612	2007
<i>World Ranking</i>	75 th	134 ^t	
<i>Life expectancy at birth female</i>			2005-2010
<i>male</i>	76.0 68.7	65.0 62.1	
<i>Education: Government expenditure (% of GDP)</i>	5.0	3.2	2005-2008
<i>Infant mortality rate (per 1000 live births)</i>	23.5	54.6	2005-2010
<i>Adult HIV/AIDS prevalence rate (%)</i>	0.6	0.3	2007
<i>Seats held by women in national parliament (%)</i>	9.0	10.7	2009
<i>Surface Area</i>	8,514,877 Km ²	3,287,263 Km ²	2008
<i>Population (estimated, 000)</i>	191,972	1,181,412	2008
<i>Population density (per Km²)</i>	22.6	359.4	2008

Source: *United Nations Statistics Division May 2010

Box 5. Brazil and India economic indicators

	2000	2000	2005	2005	2008	2008
	Brazil	India	Brazil	India	Brazil	India
<i>GDP: Gross Domestic Product (million current US\$)</i>	644,729	467,788	882,044	813,321	1,595,498	1,253,860
<i>GDP: Growth rate at constant 1990 prices (annual %)</i>	4.3	4.0	3.2	9.3	5.2	7.3
<i>GDP per capita (current US\$)</i>	3,701.9	447.1	4,721.1	717.0	8,311.1	1061.3
<i>Income Inequality ** (Gini coefficient: 100 perfect inequality, 0 perfect equality)</i>	58,69		56,4	36,8	55	
<i>GNI: Gross National Income per capita (current US\$)</i>	3,599.6	442.3	4,585.7	711.7	8,135.8	1054.1
<i>Inflation: GDP deflator (annual %)</i>	6.2	3.5	7.2	4.1	5.9	7.3

<i>Unemployment (% of labour force)</i>	9.4	4.3	9.3	N/A	8.2	N/A
<i>Labour force participation: female (%)</i>	53.2	34.3	57.3	34.2	59.1	34.2
<i>Labour force participation: male (%)</i>	81.4	82.5	81.2	81.8	80.7	81.4

Source: *United Nations Statistics Division May 2010; **World Bank 2010

Box 6. Brazil and India Agriculture and Food security indicators

	2000		2005		2009	
	Brazil	India	Brazil	India	Brazil	India
<i>Agricultural Population (million)</i>	27.620	553.461	24.386	573.624	21.763	585.077
<i>Freshwater availability</i>	5,418.0	1,260.0	5,418.0	1,260.0	5,418.0	1,260.0
<i>Agricultural GDP per agricultural worker (US\$)</i>	1,133	178	1,772	252	4,059	361
<i>Labour force in agriculture (% of total labour force)</i>	16.07	59.08	13.29	56.78	11.39	54.91
<i>Value of Food Exports (excl. fish) (US\$ million)</i>	8,031	2,826	22,159	5,113	41,518 (2008)	10,518 (2008)
<i>Value of Food Imports(excl. fish) (US\$ million)</i>	3,373	2,062	2,511	3,939	6,141 (2008)	6,976 (2008)
<i>Number of undernourished (Million)</i>	16.3 (2000-2002)	200.6 (2000-2002)	12.1 (2005-2009)	237.7 (2005-2009)		
<i>Proportion of undernourished in total population (%)</i>	9%	19%	6%	21%		

Source: *FAOSTAT December 2010

Box 7. Relevance of the agricultural sector in Brazil and India (current USD billions)

	109. 1995		110. 2000		111. 2005		112. 2009	
	13. Brazil	14. India	15. Brazil	16. India	17. Brazil	18. India	19. Brazil	20. India
<i>Gross Domestic Product (GDP)</i>	769.0	356.3	644.7	460.2	882.2	837.2	1,572.0	1,310.2
<i>Agriculture, value added</i>	38.7	85.8	31.3	98.4	43.2	144.6	88.3	211.2
<i>Share of Agriculture value added in gross value added (%)</i>	5.04	24.08	4.85	21.38	4.90	17.27	5.62	16.12

*FAOSTAT December 2010

***Agriculture** corresponds to the divisions 1-5 of the International Standard Industrial Classification (ISIC, revision 3) and includes forestry, hunting, and fishing, as well as cultivation of crops and livestock production. **Value added** is the net output of a sector after adding up all outputs and subtracting intermediate inputs. It is calculated without making deductions for depreciation of fabricated assets or depletion and degradation of natural resources. The origin of value added is determined by the International Standard Industrial Classification (ISIC), revision 3. Data are in current or constant US dollars*

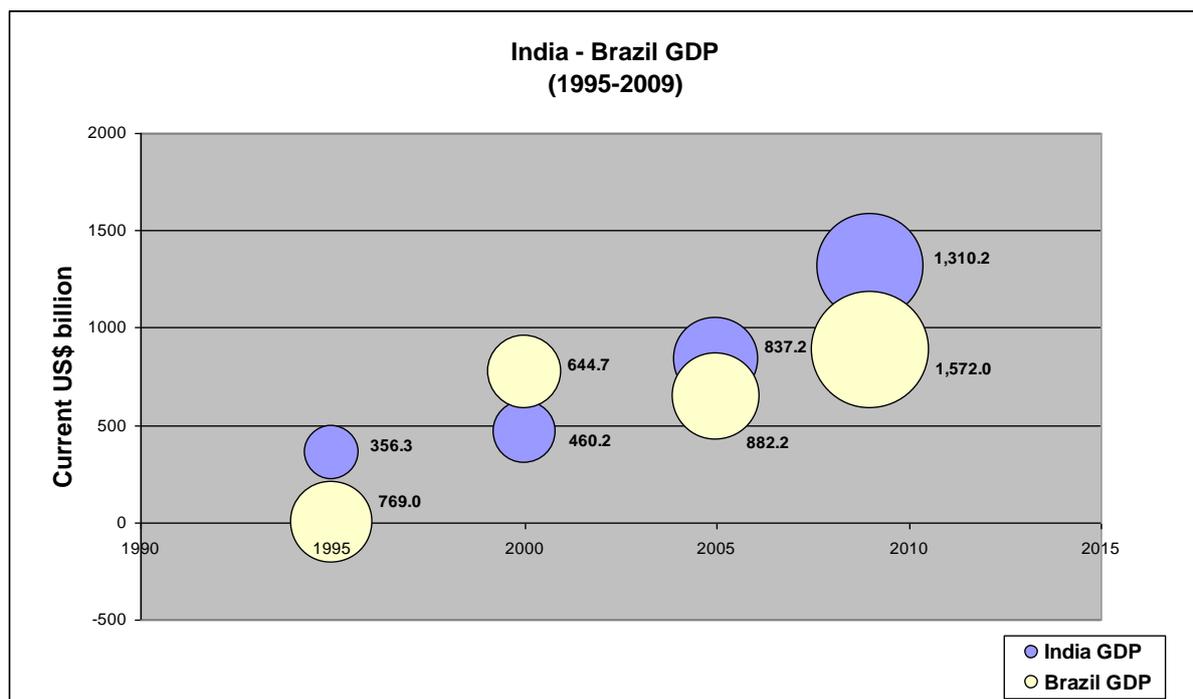
Box 8. Human Development Index at state level

India			Brazil		
State	1991	2001	State	1991	2000
India	0.381	0.472	Brasil	0.696	0.766
<i>Andhra Pradesh</i>	0.377	0.416	<i>Distrito Federal</i>	0.799	0.844
<i>Assam</i>	0.348	0.386	<i>Santa Catarina</i>	0.748	0.822
<i>Bihar</i>	0.308	0.367	<i>São Paulo</i>	0.778	0.82
<i>Gujarat</i>	0.431	0.479	<i>Rio Grande do Sul</i>	0.753	0.814
<i>Haryana</i>	0.443	0.509	<i>Rio de Janeiro</i>	0.753	0.807
<i>Karnataka</i>	0.412	0.478	<i>Paraná</i>	0.711	0.787
<i>Kerala</i>	0.591	0.638	<i>Mato Grosso do Sul</i>	0.716	0.778
<i>Madhya Pradesh</i>	0.328	0.394	<i>Goiás</i>	0.7	0.776
<i>Maharashtra</i>	0.452	0.523	<i>Mato Grosso</i>	0.685	0.773
<i>Orissa</i>	0.345	0.404	<i>Minas Gerais</i>	0.697	0.773
<i>Punjab</i>	0.475	0.537	<i>Espírito Santo</i>	0.69	0.765
<i>Rajasthan</i>	0.347	0.424	<i>Amapá</i>	0.691	0.753
<i>Tamil Nadu</i>	0.466	0.531	<i>Roraima</i>	0.692	0.746
			<i>Rondônia</i>	0.66	0.735
			<i>Pará</i>	0.65	0.723
			<i>Amazonas</i>	0.664	0.713
			<i>Tocantins</i>	0.611	0.71
			<i>Pernambuco</i>	0.62	0.705
			<i>Rio Grande do Norte</i>	0.604	0.705
			<i>Ceará</i>	0.593	0.7
			<i>Acre</i>	0.624	0.697
			<i>Bahia</i>	0.59	0.688
			<i>Sergipe</i>	0.597	0.682
			<i>Paraíba</i>	0.561	0.661
			<i>Piauí</i>	0.566	0.656
			<i>Alagoas</i>	0.548	0.649
			<i>Maranhão</i>	0.543	0.636

Source India: Planning Commission, Government of India 2001 The HDI for 2001 has been estimated only for a few selected States for which some data, including the Census 2001, was available

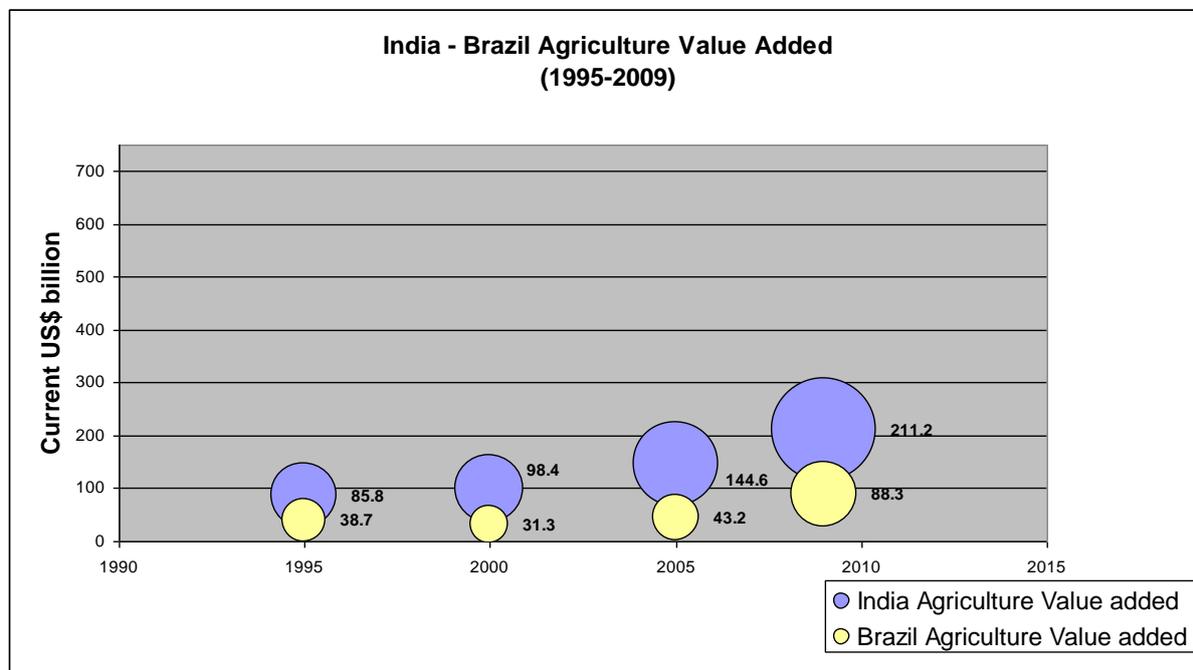
Source Brazil: UNDP Brazil, Atlas do Desenvolvimento Humano no Brasil

Box 9. India and Brazil GDP



Source: FAOSTAT December 2010

Box 10. India and Brazil Agriculture Value Added

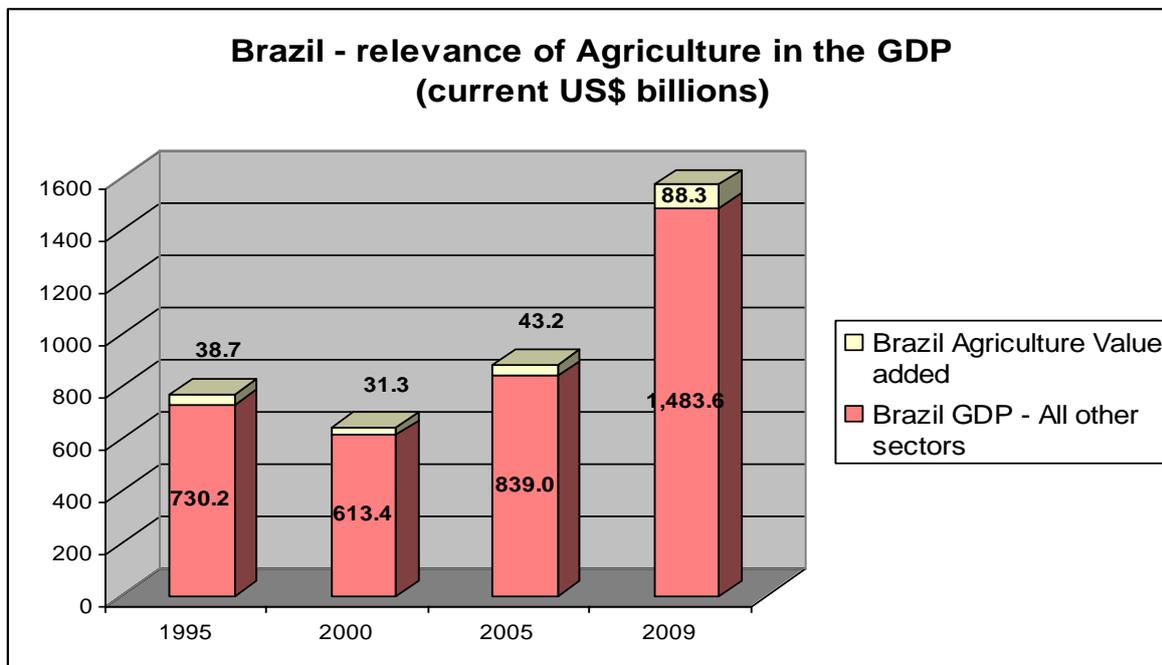


Source: FAOSTAT December 2010

Agriculture corresponds to the divisions 1-5 of the International Standard Industrial Classification (ISIC, revision 3) and includes forestry, hunting, and fishing, as well as cultivation of crops and livestock production. *Value added* is the net output of a sector after adding up all outputs and subtracting intermediate inputs. It is calculated without making deductions for depreciation of fabricated assets or depletion and degradation of

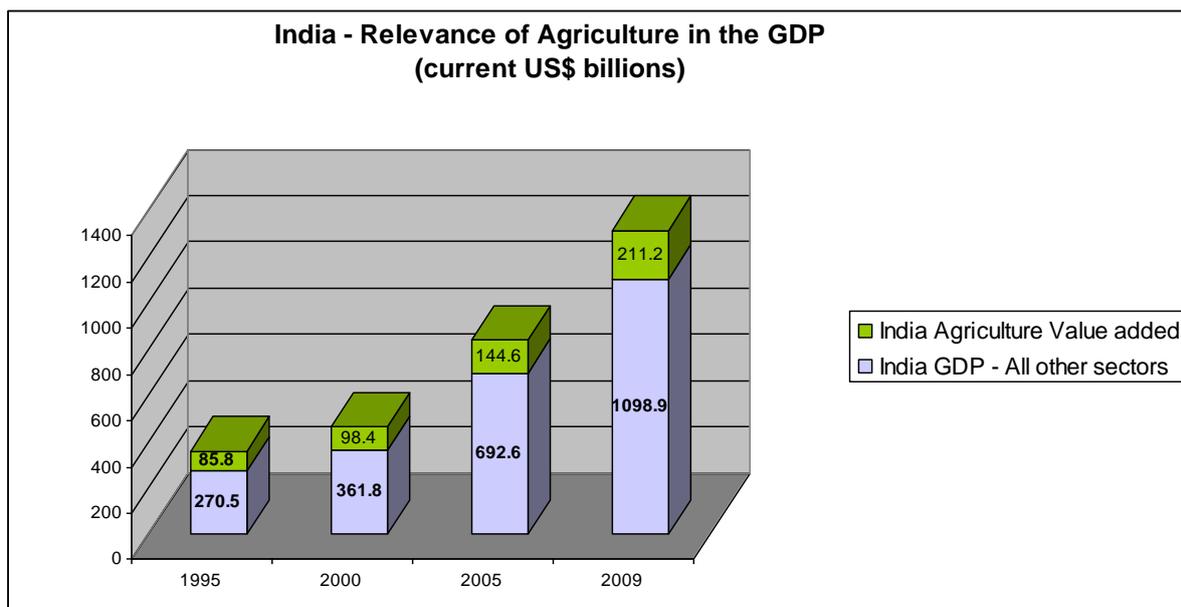
natural resources. The origin of value added is determined by the International Standard Industrial Classification (ISIC), revision 3. Data are in current or constant US dollars.

Box 11. Relevance of agriculture in the GDP of Brazil in the years between 1995 and 2009



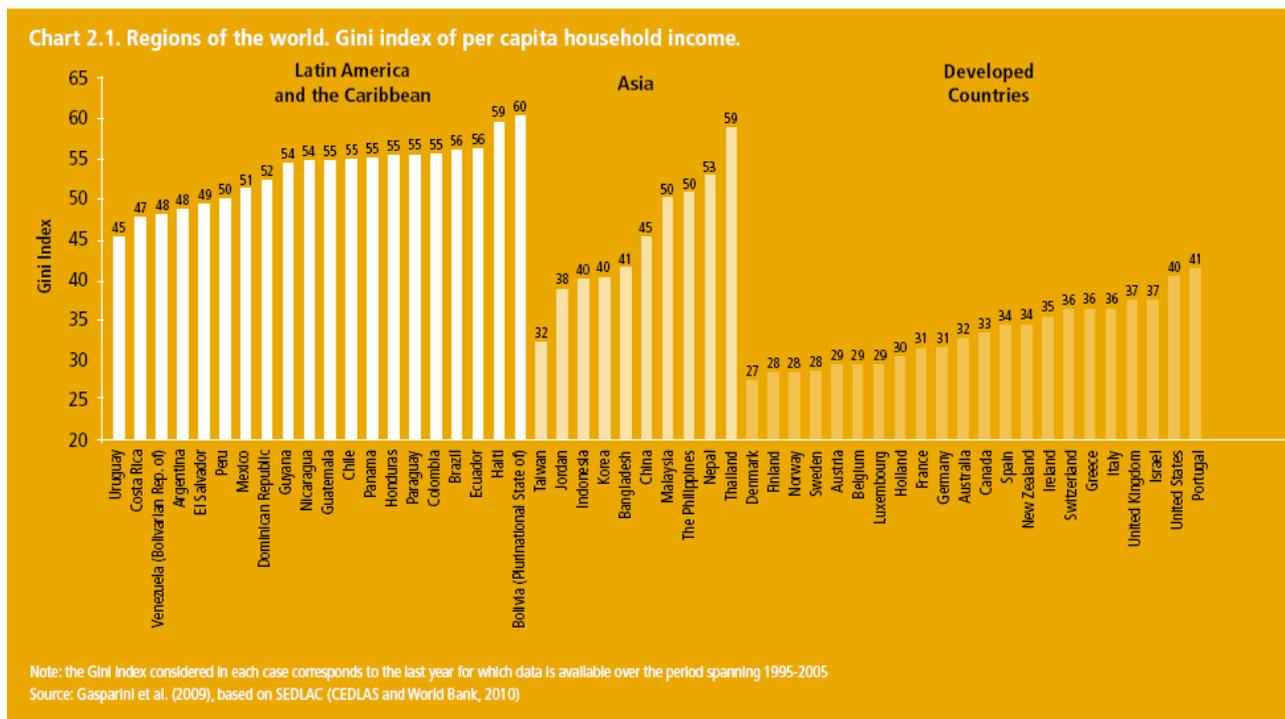
Source: FAOSTAT December 2010

Box 12. Relevance of agriculture in the GDP of India in the years between 1995 and 2009



Source: FAOSTAT December 2010

Box 13. GINI index in Latin America and in Asia



Regional Human Development Report for Latin America and the Caribbean 2010

