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Organización
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PROGRAMME COMMITTEE

Hundred and Eighth Session

Rome, 10 - 14 October 2011

INDICATIVE ROLLING WORK PLAN OF STRATEGIC AND PROGRAMME EVALUATION 2012-2014

Executive Summary

- An Indicative Rolling Workplan of Strategic and Programme Evaluation (PC 103/6) was last presented at the 103rd session of the Programme Committee in April 2010. At the same session, the Committee requested that another rolling work plan should be submitted to it for consideration in October 2011, to take stock of the work completed since its last review and advise on priority Evaluations to be initiated in 2012 and subsequent years.
- The present Rolling Work Plan of Strategic and Programme Evaluation 2012-2014 lists the Evaluations that will be completed and discussed by the Programme Committee as of October 2011, the ongoing Evaluations planned to be presented in 2012 and proposes 19 potential strategic and thematic Evaluations, including in the area of emergency and rehabilitation that could be initiated in the period 2012-2014. The document also proposes country Evaluations ducted in the same period.

Action Requested from the Programme Committee

- The Committee is invited to provide its views on priority topics for major Evaluations and approve the Plan of Work of the Office of Evaluation for the period 2012-2014. The Committee may suggest additional subjects it considers important for this or future time periods.

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INTRODUCTION

1. At its 103rd session in April 2010, the Programme Committee considered the rolling work plan for the Office of Evaluation for the period 2010-2012¹. The Programme Committee decided on the Evaluations which should be initiated in 2010 or early 2011, assigned priorities for those Evaluations to start in 2011, and requested that another rolling work plan be submitted for its consideration in Autumn 2011, at which time the Committee would take stock of the work completed and advise on priority Evaluations for 2012 and subsequent years². The present document responds to the request of the Programme Committee made at that time.

2. Since the presentation of the last rolling work plan the following Evaluations which were either under way or identified as high-priority for initiation in 2010, have been completed and will have been presented for discussion to the Committee by the time of its October session:

- a) Evaluation of FAO country programming (with special attention to implementation of the National Medium Term Priority Framework planning tool) (PC 104/4);
- b) Evaluation of FAO's activities on capacity development in Africa (PC 104/5);
- c) Second Real-Time Evaluation of FAO's work on Highly Pathogenic Avian Influenza (HPAI) (PC 104/6);
- d) Evaluation of FAO's work through the Central Emergency Response Fund (CERF) (PC 106/4);
- e) Evaluation of FAO's Regional Office for the Near East and Subregional Office for North Africa (PC 106/5);
- f) Evaluation of FAO's role and work in nutrition (PC 108/6);
- g) Evaluation of FAO's role and work related to gender and development (PC 108/5).

3. In addition, two synthesis reports of country evaluations have also been presented and discussed by the Committee:

- a) FAO's effectiveness at country level: A synthesis of evaluations in post-conflict and transition countries (Democratic Republic of the Congo, Sudan, Tajikistan) (PC 104/7); and
- b) FAO's effectiveness at country level: a synthesis of evaluations in large, rapidly-developing countries (India and Brazil) (PC 106/6).

4. Besides those mentioned above, the following Evaluations are currently being implemented and will be reported to the Programme Committee at its May and October 2012 sessions.

- a) Evaluation of FAO's role and work in policy (May 2012);
- b) Evaluation of FAO's work in tenure, rights and access to land and other natural resources (May 2012);
- c) Evaluation of FAO's role and work in sustainable management of forests and trees (October 2012);
- d) Evaluation of FAO's support to the implementation of the Code of Conduct for Responsible Fisheries (October 2012).

5. All the Evaluations recommended by the Programme Committee at its 103rd session for initiation in 2010-11 thus have been completed or are under implementation. In addition, one major emergency response Evaluation will also be presented: "Evaluation of FAO's response to the Pakistan floods" (May 2012).

¹ PC 103/6

² CL 139/4

PROPOSED PROGRAMME OF EVALUATIONS

Criteria for selecting Evaluations

6. As was the case with previous work programmes submitted to the Committee, the proposed programme of Evaluation has been prepared after a systematic review of the Evaluations implemented in the past several biennia to identify gaps in coverage. Some of the topics are key areas of FAO's work that have not been reviewed for some time. The list has been prepared after consultations with senior managers in FAO on the utility and timing of the proposed Evaluations, and has been reviewed and endorsed by the FAO Evaluation Committee (Internal).

7. The programme includes a number of proposals that are carried over from the work programme presented to the 103rd session. It also reflects suggestions made by the Committee, including for Evaluations of FAO regional and subregional offices, subsequent to a similar Evaluation carried out in 2010 in the Near East.

Evaluations funded by the Emergency and Rehabilitation trust fund

8. Most of FAO's work in emergency and rehabilitation is implemented through a programme and major emergency response rather than a project approach. This, and the fact that emergency and rehabilitation activities had increased considerably over the years, called for a programme and/or response approach to evaluation whereby the totality of a programme or a response is assessed. Thus, Evaluations covering topics primarily related to emergencies and rehabilitation are funded through a trust fund, established in line with the decision of the Council in June 2007, with resources provided to it from individual emergency and rehabilitation projects according to a scale (approximately 1 percent of each project budget). In recent years, most of these Evaluations have been reported to the Programme Committee because of the volume of operations and interest in the subjects being covered. In order to ensure a more rational and systematic coverage of emergency and rehabilitation programmes in line with the Office of Evaluation (OED) policy, the approach for selecting Evaluations has been revised. Evaluations are proposed according to the following criteria and considerations:

i) Volume of funding:

- all emergency and rehabilitation (E&R) programmes in response to a specific food and agricultural threat with a volume of annual funding over USD 10 million are systematically evaluated;
- countries for which the portfolio of E&R intervention exceeds 50 percent (volume of funding per year over a five-year period) of the total portfolio and with an annual E&R funding over USD 10 million.

ii) Coverage of activities contributing to SO-I³: OED programme of E&R Evaluations should ensure a significant coverage of activities under SO-I and its organizational results regardless of the source of funding. In addition, and as for other parts of FAO's Strategic Framework, the totality of the work under SO-I may be evaluated during the timeframe of the Strategic Framework.

iii) Other considerations:

- the selection of Evaluations should also take into consideration the need for drawing lessons from innovative approach or new areas of work for the Organization;
- country coverage: the programme of E&R Evaluations ensures some degree of geographical and country coverage. Over a biennium, 10 countries should be covered by Evaluations, be it a programme, country, thematic or project Evaluation;
- donors' interest: considerations will also be given to donors' interest for specific topics and issues, providing that these are compatible with OED's accountability requirements.

³ Strategic Objective I - *Improved preparedness for, and effective response to, food and agricultural threats and emergencies*

9. Evaluations proposed to be funded by the Emergencies and Rehabilitation trust fund are included in the list below.

Proposed Evaluations that could be initiated from 2012

10. **FAO's work in agribusiness and agro-industry:** within the Strategic Objective G⁴, the proposed Evaluation will cover the work relating to policies, regulations, institutions and services in support of agribusiness and agro-industry development, as well as public-private cooperation. The institutional set-up to deal with these aspects underwent changes in 2006 with a view to greater integration of activities. The Independent External Evaluation (IEE) recommended that an Evaluation be carried out, with special attention being given to partnerships with other UN organizations which have this area of work as part of their core mandate. The Evaluation will examine the value added by FAO's work and its comparative advantages in this area.

11. **Investment in agriculture:** within the Strategic Objective L⁵, the Evaluation will cover the wide range of activities including FAO's provision of technical, policy and investment cycle management expertise to countries in support of the development of investment programmes and capacity development. FAO's Investment Centre has the primary responsibility, though not exclusively, for this area of work. The Evaluation will give attention to the special arrangements for conducting this work, including partnerships with International Financing Institutions (IFIs). It will also examine the interactions between work conducted under Strategic Objective L and that under other Strategic Objectives.

12. **Decentralized structures for Europe and Central Asia:** in 2010, FAO carried out a first Evaluation of a regional and subregional office establishment, in the Near East⁶. This Evaluation was discussed at the 106th session of the Programme Committee (March 2011) and the Committee recommended that such Evaluations should be conducted in other regions. Europe and Central Asia include a large number of FAO member countries, but very few FAO country offices, with main support coming from the regional and subregional establishment in Budapest and a Subregional Office for Central Asia that was opened in Ankara in November 2006. It is therefore timely to carry out an Evaluation which will review progress made in furthering decentralization, as well as comprehensively assess the efficiency and effectiveness of the decentralized arrangements in Europe and Central Asia.

13. **FAO's work on the Right to Food:** since the adoption of the Right to Food Guidelines in November 2004, FAO has been involved in their implementation and the Progressive Realization of the Right to Food. The Evaluation will assess the totality of the work of the Organization in this area, including issues of governance and FAO's support to member countries and subregional/regional organizations in applying normative standards and approaches. The Evaluation will also assess the stewardship role that the Organization aims to play with relevant actors at global level.

Emergency and Rehabilitation evaluations

14. **FAO's work in disaster risk management (DRM) in Asia and the Pacific and Latin America and the Caribbean:** the Evaluation will assess the relevance and effectiveness of FAO's DRM activities in the Asia and Latin America regions. It will identify possibilities for improving and/or expanding ongoing actions, as well as ways to further strengthen the linkages with development projects and collaboration with FAO regional/subregional technicians to improve DRM approaches in the two regions. It will also draw lessons based on comparisons of approaches taken in the two regions.

15. **Sustainable options/tools for recovery:** FAO's Strategic Objective I includes three organizational results, the third of which refers specifically to improving the transition and linkages between emergency, rehabilitation and development programming. Tools are being developed to

⁴ Strategic Objective G - *Enabling environment for markets to improve livelihoods and rural development*

⁵ Strategic Objective L - *Increased and more effective public and private investment in agriculture and rural development*

⁶ PC 106/5

facilitate this in areas such as sectoral needs analysis for transitional, multi-partner strategic frameworks (e.g. One UN approach), capacity building approaches to empower national stakeholders, and development of good practices, including those interventions aiming and strengthening market linkages (e.g. vouchers, cash for work, credit, contract farming). The Evaluation will assess FAO's approaches to transitioning with a specific focus on the relevance and effectiveness of the tools and methods currently being used.

Proposed Evaluations that could be initiated from 2013

16. **FAO's work on climate change adaptation:** this topic was suggested by the Programme Committee at its 100th session. While FAO has been involved in issues relating to climate change in the past, it is only in the context of the Strategic Framework 2010-2019 and Medium Term Plan 2010-13 that the Organization has structured its work on climate change, with approximately half of the related unit results being carried out under the organizational result F5 "*Countries have strengthened capacities to address emerging environmental challenges, such as climate change and bioenergy*", the other half spread over various Strategic Objectives and Organizational Results. In June 2011, FAO launched FAO-Adapt, an Organization-wide framework programme that provides general guidance and introduces principles, as well as priority themes, actions and implementation support to FAO's activities for adaptation to climate change. Furthermore, the results of the Climate Conference in Copenhagen in December 2009 and its follow-up have changed significantly the context in which FAO undertakes its work in that area. It is therefore suggested to initiate this Evaluation in 2013, after the Organization will have built a larger evidence base from work in that area and the international context will provide a firmer ground against which to evaluate the relevance of FAO's work.

17. **Effectiveness of delivery mechanisms for Africa:** in Africa, FAO has its largest decentralized structure with the regional office, four subregional offices and 36 additional country offices, seven of which served through multiple accreditation and/or a technical officer. In addition, in Africa there are three decentralized Regional Emergency Coordination Units which provide technical and operational support to emergency and rehabilitation activities. The Evaluation will review progress made in furthering decentralization, as well as assess the efficiency and effectiveness of the decentralized arrangements in Africa in playing their role.

18. **Technical Cooperation Programme (TCP):** the TCP was last subject to an in-depth review in 2004-05. The Programme Committee, at its 93rd session in May 2005, stated that the Programme should be independently evaluated every six to eight years. As part of the Immediate Plan of Action (IPA), TCP resources have been allocated to the regions under the authority of regional representatives, except for amounts retained at headquarters for emergency and inter-regional projects. It would be opportune to carry out the Evaluation of TCP after the new arrangements have been in place for at least three years. The Evaluation will assess the extent to which the decentralization of the TCP has enhanced effectiveness and efficiency of services to member countries. It is therefore proposed to start this Evaluation towards the end of 2013.

19. **FAO's work on genetic resources (Organizational Results A4, B3, C4, E6, F3):** the sustainable use of plant and animal genetic resources to meet the growing and changing food demand while ensuring biological diversity are interlinked challenges. The work of the Organization in this area contributes to several Strategic Objectives, in particular Strategic Objectives A, B and C, and reflects the multidimensional nature of genetic resources. The Evaluation will assess the work on policies and capacity development with respect to the management of forest, plant, animal and aquatic genetic resources, as well as to the conservation and sustainable use of biological diversity for food and agriculture.

20. **Capacity development on food safety (Organizational Results D2, D3, D4):** no in-depth Evaluation has taken place since 1997 on FAO's assistance to national governments to establish institutions capable of ensuring national food safety and quality policies and regulations. This is, however, an important area of work of the Organization for which there is growing demand from member countries due to potential risks and greater concerns of the public at large. The Evaluation will assess the work of FAO on capacity development with respect to food safety.

21. **FAO's work on sustainable intensification of crop production:** the shifts in the structure of crop production over the past decade largely resulting from changes in diet will be reinforced by the continuing growth of food demand, putting pressure for intensification, diversification, enhanced resource use efficiency and, overall, the production of more food on limited resources in a more sustainable way. It is timely to evaluate in a comprehensive manner FAO's traditional area of work against these challenges. The last Evaluation of FAO's work in crop production was carried out in 2003⁷. The Evaluation will focus on the work of FAO that contribute to Organizational Result A1 on "*Policies and strategies on sustainable crop production intensification and diversification at national and regional levels*".

22. **Rome-based agencies joint Evaluation of the reformed CFS:** the Committee on World Food Security (CFS) was established in 1974 as an intergovernmental body to serve as a forum in the United Nations system for reviewing and following-up on food security policies. The World Summit on Food Security in Rome in November 2009 urged for a new system of global governance on food security with a view to strengthening concerted efforts to promote policies that reduce food insecurity and that would be inclusive of a wider group of stakeholders. New structures have been put into place to that effect, including a Bureau and Advisory Group, Plenary, a High-level Panel of Experts (HLPE) and the Secretariat. The latter includes members of FAO, WFP and IFAD. Given the role of the three Rome-based agencies, a Joint Evaluation of the functioning and effectiveness of the reformed CFS could be conducted starting in 2013, subject also to approval by WFP and IFAD.

Emergency and Rehabilitation evaluations

23. **Joint WFP/FAO Evaluation of the joint food security cluster:** with a view to improving coordination of food security responses in humanitarian crises, the United Nations food agencies — FAO and WFP — have launched a food security platform in April 2011. Food security clusters are already helping to coordinate food security responses in more than 25 countries worldwide that have been affected by large-scale natural disasters, conflicts or protracted crises. The food security cluster, led by the two organizations, provides support to country-level food security initiatives on tools and guidance for better coordination; filling gaps in human resources in acute emergency situations; capacity building and training; knowledge management; as well as advocacy on food security responses in both countries affected by emergencies and at the global level. The Offices of Evaluation of the two agencies have agreed to jointly evaluate this joint initiative and assess the results achieved by greater coordination in food security. Taking into account the time needed to build experience and evidence, it is proposed to conduct this Evaluation in 2013.

24. **FAO's work in natural disaster-prone countries - the Sahel and the Horn of Africa:** the Sahel region faces recurrent disasters, including drought, locust upsurges and floods. This results in a high-level of food insecurity, but in recent years the region has received less attention than other parts of Africa. The Horn of Africa, on the other hand, has received considerably more attention, particularly this year with the emerging drought-related crisis. The Evaluation will assess the relevance, priorities, roles and impacts of FAO's work in the two regions and the extent to which FAO integrates disaster management concerns in its cooperation with countries. The Evaluation will also examine internal arrangements, as well as partnerships with other regional organizations.

Proposed Evaluations that could be initiated from 2014

25. **Resource mobilisation:** the institutional arrangements for mobilizing resources have changed, including a new division of responsibilities between the Office of Strategy, Planning and Resources Management and the Technical Cooperation Department. Some responsibilities for mobilizing resources also lie at country level. Given the importance of the emergency field programme, mobilizing resources for emergency operations is also a key element of corporate resource mobilization. A new strategy has been developed in 2011 that aims to achieve higher and more predictable voluntary contributions that fully support FAO's Strategic Objectives. The Evaluation will examine the institutional coherence, coordination and effectiveness of resource mobilization arrangements at global, regional and country levels.

⁷ PC 90/3 a)

26. **Effectiveness of delivery mechanisms for Latin America:** the decentralized structure for Latin America and the Caribbean include the Regional Office for Latin America and the Caribbean (RLC) which was established in Santiago de Chile in 1955 and currently servicing 33 member countries, the subregional office for the Caribbean in Bridgetown, Barbados and the newly established subregional office for Central America in Panama City. Similarly to the proposed Evaluations of the efficiency and effectiveness of decentralized structures for the Near East (2010), Africa (proposed for 2012) and for Europe and Central Asia (proposed for 2013), it is proposed to carry out an Evaluation of the decentralized structure for Latin America and the Caribbean.

27. **FAO's role in the dissemination of knowledge on food, agriculture and natural resources:** as stated in the IEE, "FAO's principal task is to work to ensure that the world's knowledge of food and agriculture is available to those who need it when they need it and in a form which they can access and use". Following the recommendation of the IEE, FAO adopted an integrated approach to the generation, management, sharing, communication and transfer of knowledge and information related to food, agriculture and natural resources. The Evaluation will assess these multiple roles of FAO with respect to knowledge. Given the cross-sectoral nature of the topic, the Evaluation will also look at the effectiveness of the institutional arrangements put into place to perform these roles.

28. **Monitoring and assessment of long- and medium-term trends and perspectives:** reviewing trends, issues and challenges with a medium- and long-term perspective is one of the eight core functions of FAO. This work has not been well captured in Evaluations so far, although it covers a wide range of sectors and themes. It is proposed to evaluate the work of the Organization that is embedded in this function, essentially of a normative nature, and which includes FAO's assessment and perspective studies and outlook studies and projections.

Country Evaluations

29. OED will continue to carry out evaluations of FAO's cooperation at country level, assessing the totality of FAO's work in individual countries. As recommended by the Programme Committee at its 103rd session (April 2010), Evaluations were carried out in countries with major emergency and rehabilitation programmes during 2010-11 (Ethiopia, Zimbabwe, Haiti) and a synthesis report on these will be presented in May 2012. In addition, also as recommended by the Committee, Evaluations will be carried out in middle-income countries (about four countries, both upper-middle and lower-middle income) and a synthesis report on these country Evaluations will be presented to the Programme Committee in 2013 or 2014. The first of these will be in Sri Lanka, where over the past five years, approximately 80 national projects have been implemented for a total funding of more than USD 72 million, most of which were emergency and rehabilitation-related. When this latter synthesis report is presented, proposals will be made on how to conduct country Evaluations in the future, taking into account all the country Evaluations that will have been completed by that time.

ACTION REQUESTED FROM THE PROGRAMME COMMITTEE

30. The Committee is invited to provide its views on priority topics for major Evaluations and approve the Plan of Work of the Office of Evaluation for the period 2012-2014. The Committee may suggest additional subjects it considers important for this or future time periods.