Food and Agriculture Organization of the United Nations

# Office of Evaluation

## Validation process of the Follow-up to the evaluation of FAO'S activities on capacity development in Africa

*Final report*

# A. Introduction and Methodology

1.      The purpose of the independent validation process of the Follow-up Report to the Management Response to the Evaluation of FAO's activities on Capacity Development (CD) in Africa is to enhance the contribution from the evaluation to corporate learning and performance.  This is in line with the request by the Programme Committee that selected Follow-up reports (presented two years after the completion of the evaluation) should be validated by independent consultants who were involved neither in the evaluation nor the subsequent implementation of its recommendations.

2.      The validation process[1] has included (i) interviews in the Africa regional office (RAF), (ii) interviews with decentralized Sub-regional offices and country offices in Africa through video conferences and phone interviews, (iii) focus group discussions with staff at RAF and Sub-regional offices, (iv) interviews with FAO HQ staff, and (v) focus group discussions with the Interdepartmental Working Group on Capacity Development (IDWG). Two focus group discussions were held and a total of 27 people were interviewed at RAF, Sub-regional and country offices. A total of 31 people were interviewed in Rome, 16 of which were part of a focus group discussion in the IDWG (See annex 1).

3.      The processes leading to impacts from CD processes are complex and require time to unfold. Measurement of progress is challenging.  The validation process, in looking for evidence of progress in the period since the evaluation was conducted, relied extensively on staff feedback focusing on learning and understanding from on-going FAO CD activities in Africa. The findings are articulated in two main parts: (i) a section which focuses on the validation of progress made as stated in the follow-up report (Sections B and C) and (ii) a short strategic discussion of the overall challenges and way forward, as emerged in the course of the numerous interviews and focus groups held during the validation mission. This will also allow informing management about those areas that need improvement to deliver future impacts.

# B. Assessment of achievements against the Recommendations

4.      The validation report agrees with the overall analysis of the implementation of the Management Response (FR Section B). Since the Evaluation, there has been considerable effort on the supply side of CD, with the production of strategies, guidelines and training material (mainly from HQ units). This has happened also for other complementary core functions (partnerships, policy, knowledge management, gender).  While application is taking root slowly, the majority of staff interviewed underlined the need to support these efforts with the required financial and human resources as well as by maintaining high levels of engagement from Senior Management. They also highlighted the need to strengthen the monitoring efforts to track progress made and to improve the capture and sharing of good practices and lessons. The majority of stakeholders interviewed (both in HQ and DOs) agree that CD should be understood as one of FAO's longer-term objectives and needs to be reflected in the new Strategic Framework and priorities of the Organization.

5.      **Strengthening of Decentralized Offices in Africa.** *This section addresses Recommendation 9.* The Validation mission ascertained that there is a convergence of views on CD from the decentralized country level offices and FAO HQ teams. Both stated that that CD is one of the main foci of their work and those efforts should focus on delivery and support to CD processes and objectives under the responsibility of decentralized offices and teams. Both decentralized and HQ staff expressed the view that CD is about assisting stakeholders to perform their duties efficiently and effectively. Staff appreciate the needs of member countries and stakeholders and expressed awareness

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[1] The Validation Review was conducted by an external independent consultant, Mr. Paul Thangata

of the need to improve their own performance and that of stakeholders. FAO staff expressed their recognition of the lessons acquired from facilitating CD processes in Africa. Several examples were provided in the course of interviews and through documentation review and have been used as evidence to formulate the analysis on progress and challenges. As an organization, FAO still enjoys the trust and support from government stakeholders. This trust is deemed essential for ensuring that CD interventions are effective and result in positive change. This area was scored as negligible because, despite FAO making significant reforms to enhance decentralization, staff interviewed felt that the benefits of reform at country level, in terms of enhance CD programming and implementation, were not evident yet.

6. **Changes in CD Programming and uptake of a series of new CD tools and practices.** *This section addresses recommendations 1.1-1.3, 3, 4, 6 and 7.3-7.4.* FAO CD approaches have started to be integrated with country level programming and decentralization guidelines (CPF, Project Cycle, Country work plans). This is evidenced by FAO's internal collaboration in country programming. Launched in February 2012, the Effective Country Programme (ECP) training has been used for internal capacity development to support design and formulation of the Country Programming Framework (CPFs).

7. The majority of staff and managers interviewed identified the CPFs as the primary platform through which the Organization could increase the effectiveness and impact of CD but the CPFs as yet do not demonstrate a systematic and coherent inclusion of CD focus and activities. Specific training modules on CD have been developed to enhance CD delivery and monitoring capacity at the country level but these still need to be better blended with the ECP as well as rolled out more systematically to decentralized offices, possibly on the basis of more systematic assessments of needs in CD training and support. The validation concludes that, while there has been a significant development of CD guidelines and tools and a CD focus has been more systematically integrated in FAO's major programming guidelines and frameworks, there is so far little evidence of systematic uptake and absorption in the Africa region.

8. **Changes in CD partnerships.** *This section addresses recommendations 5 and 7.1-7.2.* FAO has a good reputation in terms of CD expertise. This reputational capital must be safeguarded. Several innovative ways of carrying out CD activities within, and across borders and regional boundaries were brought to the attention of the validation exercise. The championing of CD similar to that done for gender is evident in CD-related initiatives taking place in the country offices. However, it emerged clearly that for greater impact FAO needs to ensure that CD efforts are imbedded as an integral part of Partnership Strategies and implementation plans, because FAO does not have the resources for large-scale capacity development activities.

9. **Staff Development in CD.** *This section addresses recommendations 1.4, 1.5 and 9.2.* The validation exercise recognizes that internal staff development is a primary requirement to enable staff to better deliver and support CD activities for/with external stakeholders and partners. A range of specific CD training materials and training plan have been developed but has yet to be rolled-out in Africa. A number of Share Fairs on CD have taken place in all the sub-regions and these have been useful in strengthening exchange and recognition of the strategic role of CD. In CD, leadership development is an important factor in championing and guiding change and very critical in any CD initiatives. FAO management has supported several *Effective leadership and Foundations of Management training*. These managerial skills training cut across ranks from G to P level staff. More learning and leadership development training is on-going. Positive feed-back was provided in all the interviews conducted in Africa regarding the usefulness of the Leadership and Management courses to promote a better understanding and uptake of CD across the areas of the FAO mandate. The Africa region has trained more people than any other. Stepping up CD efforts needs to be accompanied by the enhancement of soft skills, especially leadership and managerial. Courses such as management and leadership have been shown to be helpful in achieving this.

10.     Staff development and capacity development has aspects of a "chicken and egg question." It is understood that one needs internal capacity to undertake external CD. Internal staff development is a central component for delivering good quality CD support at the country level. The current training plan needs to be implemented in a strategic and coordinated way so that it increases the effectiveness of building the internal capacity of FAO staff to support CD in different areas of demand. Soft skills (more than technical training) are particularly crucial to this aspect. A clear linkage on the internal staff development opportunities and external capacity development issues would benefit the organization in its CD efforts.

11.     **Changes of post descriptions and performance evaluation of FAO staff and consultants**. *This section addresses recommendation 2.* Little information was obtained in the course of the interviews on this area (Recommendation 2) and so it is not possible to provide any pertinent remarks other than acknowledging the work is underway in terms of the competencies framework and inclusion of CD activities in individual PEMS. Senior Management interviewed have declared their support to this area of work.

12.     **Improved distribution and update of products in Africa.** *This section addresses recommendation 8.* Interviewees felt that distribution of FAO books, publications and other CD materials needs to be targeted better. A demand driven approach whereby decentralized offices give their requests to the publication unit or to responsible technical divisions can also be used as a CD tracking tool, and to monitor who is using FAO CD materials. In addition, a CD needs assessment would be useful in targeting FAO's CD initiatives to the priorities of partners and Member Countries.

## C. Main Challenges

13.     The main challenge relative to the implementation of the recommendations is posed by the long term nature of capacity development work. Demonstrable impact and benefits of a stronger CD focus and activities requires a much longer timeframe. The Follow-up Report and the Validation Report can only reflect progress made in the last two years.

14.     Monitoring, evaluation and accountability processes focusing on CD work are recognized by many persons interviewed as of key importance to the Organization. In their view, currently these processes are not as developed and systematic as they should be. The IDWG CD has set up a system to monitor CD progress made against the corporate CD strategy. This initiative has received support from management and across FAO departments and has been carried out twice (August 2011 and 2012). But other initiatives, especially in Decentralized Offices are not tracked and shared in a systematic way and staff would welcome more frequent follow-ups on previous CD initiatives. Due to limited resources, FAO is often unable to carry out follow-up thereby losing track of the potential impact of FAO's own CD initiatives in countries of implementation. This results in FAO losing CD lessons from different localities.

15.     Improved communication networks, knowledge sharing and learning were perceived as essential to increase the benefits that could arise from CD activities. Efforts to document CD related activities and share these throughout FAO have the potential for positive impact in the future. Such efforts may also improve access to information, resources and the right support at the right time for CD and related issues.

**Validation process adoption scoring against the recommendations**

| | RECOMMENDATION | ADOPTION RATING* | EXPLANATION |
|---|---|---|---|
| **1.** | It is recommended that the Inter-departmental Working Group (IDWG) on Capacity Building take steps to ensure that FAO staff and partners have a common conceptual understanding of CD and FAO's role in it. | **Implementation in process** | While significant progress has been made and many FAO staff have a better understanding of CD, most work and initiatives on CD are still coordinated and led primarily by OEKC rather than by other units in HQ and RAF |
| **2.** | It is recommended that senior management, under the guidance of the IDWG, incorporate CD into the mandates, work programmes and post descriptions of all relevant programming staff. | **Limited follow-up** | While work to incorporate CD in the competencies framework has taken place, it is not yet in the official domain. In terms of PEMS, CD appears to have had a limited uptake. |
| **3** | It is recommended that senior management, with the guidance of the IDWG, review and, where necessary, revise FAO systems to improve the effectiveness and sustainability of CD initiatives. | **Fully implemented** | While there has been a systematic inclusion of a CD focus in programming guidelines, tools and frameworks, it is too early to assess whether and to what extent these have been taken up in terms of implementation, thorough participatory approaches and partnerships. |
| **4.** | It is recommended that the IDWG develop, and senior management implement, guidelines for projects and programmes that emphasise effective CD practices, such as participatory approaches that build ownership, sustainability and partnerships. | **Limited follow-up** | This recommendation is closely linked to 3 above, but reflects more the implementation aspects. Since these are still at the initial stage, a lower score was given to this recommendation. |
| **5** | It is recommended that FAO senior management ensure that staff, in particular those in decentralized offices and FAO Representatives, place increased emphasis on partnerships in their CD activities in Africa. | **Implementation in process** | Good progress has been made in producing strategies and tools for partnership guidance and implementation. Similarly to what has been noted for Recs 3 and 4, the systems are in place but uptake and implementation are still in the planning stage. |
| **6.** | It is recommended that FAO staff place increased emphasis on facilitating the development of national capacity for policy analysis and implementation. | **Implementation in process** | The validation report assumes that the focus placed by the recent evaluation of FAO's role and work in food and agriculture policy, with its emphasis on country level policy work combined with the decentralization drive is having positive effects in this priority area. |
| **7.** | It is recommended that FAO staff give priority to, and improve, the | **Limited follow-up** | While there are some good examples both in HQ and the |

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| | documentation and dissemination of successful CD initiatives, methods and normative products. | | DOs, capture, sharing, use and monitoring/tracking of CD practices, examples and tools is not systematic and effective. |
| 8. | It is recommended that FAO senior management take immediate steps to improve the distribution and uptake of FAO's products for CD in Africa. | **Limited follow-up** | The distribution system needs to switch from a supply driven one to being more targeted and demand-driven. Tracking also needs to be improved. |
| 9. | It is recommended that FAO invest more heavily in the capacity of its decentralized offices in Africa to engage significantly in developing capacities for the agriculture, forestry and fisheries sectors and to respond to emerging demands of African member countries. | **Limited follow-up** | Despite the decentralization drive and emphasis, DO staff still underline the issues of declining human and financial resources as one of the main difficulties for FAO to strengthen many areas of work, including CD in technical areas. |

*ADOPTION RATINGS SCALE*:

Fully implemented; Implementation in process; Limited follow-up; no follow-up.

## Annex 1: List of stakeholders met/interviewed during the validation process

**FAO Regional Office for Africa (RAF), Accra-Ghana**

| N. | Name | Unit/function |
|---|---|---|
| 1. | Ms. Helena Semedo | ADG/RR |
| 2. | Mr. Justin Chisenga | OED & Focal Point for the Follow-up report |
| 3. | Ms. Abisola Alaka | Senior Administrative Officer |
| 4. | Ms. Stepanka Gallatova | Agro-Industry and Infrastructure  Officer |
| 5. | Mr. Joachim Laubhouet | Senior Field Programme Officer |
| 6. | Mr. Kwami Dzifanu Nyarko Badohu | TCP Programme Officer |
| 7. | Me Maria Zimmermann | Consultant, RAF |
| 8. | Mr. James Tefft | Senior Policy Officer |
| 9. | Mr. Musa Saihou Mbega | SRC-SFW/FAOR in Ghana |
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| **SFW Multi-disciplinary Team: Focus group** | | |
| NA | Mr. Musa Saihou Mbega | SRC-SFW/FAOR in Ghana |
| 10. | Mr. Fernando Salinas | Forestry Officer |
| 11. | Mr. Brahim Kebe | Crop Prod. & Protection Officer |
| 12. | Mr. Dramane Coulibaly | Consultant |
| 13. | Mr. Mohamed Dhinbil | Consultant |
| 14. | Ms. Nadia Nsabimbona | Communication Consultant |
| | | |
| **RAF Staff: Focus group** | | |
| 15. | Mr. Koffi Amegbeto | Food Systems Economist |
| 16. | Mr. Solomon Mkumbwa | Policy Consultant |
| 17. | Mr. Cheikh Ly | Animal Prod. and Health Officer |
| 18. | Mr. Ruhiza Boroto | Senior Water Resources Officer |
| 19. | Ms. Athifa Ali | Rural Employment JPO |
| 20. | Ms. Ada Ndeso-Atanga, | Consultant, Forestry |

**FAO Headquarters (HQ), Rome, Italy**

| N. | Name | Unit/Function |
|---|---|---|
| 21. | Stephen Rudgard | OEKC Chief |
| 22. | Sally Berman | OEKC CD Officer |
| 23. | Richard China | TCS Director |
| 24. | David Phiri | TCSP Chief |
| 25. | Vito Cistulli | TCSP Senior Policy Officer |
| 26. | Aleksandra Zamberlin | TCSP Programme Officer |
| 27. | Manuela Allara | AGPM Programme Specialist |
| 28. | Mike Robson | AGPM  Information Systems  Manager |
| 29. | Steve Dembner | OEKP Chief |
| 30. | Emma McInerney | OCP Liaison Officer |
| 31. | Neal Pronesti | OCP Liaison Officer |
| 32. | Mina Dowlatchahi | TCDM Chief |
| 33. | Diego Recalde | TCDM Senior Field Programme Monitor |
| 34. | Hélène Sow | TCDM Field Programme Officer |
| 35. | Daniel Gustafson | OSD Director |
| 36. | Yves Klompenhouwer | OSD Senior Coordination Officer |
| 37. | Christiane Monsieur | ESW Education specialist |
| 38. | Libor Stloukal | ESW Population Policy Officer |
| 39. | Sibyl Nelson | ESW Gender Officer |
| 40. | Hélène Jasinski | CSPL Chief |
| 41. | Alison Holmes | OHRD Human Resources officer |
| 42. | Manoj Juneja | ODO Deputy Director General Operations |

| N. | Name | Unit/Function |
|---|---|---|
| 43. | Steve Katz | OEKM Chief |
| 44. | Xiangjun Yao | OEKD Director |
| 45. | Jon Fernandez de Larrinoa | OCP Project Coordinator |
| 46. | Anna Maria Pastore | OCP Liaison Officer |
| 47. | Jennifer Nyberg | DDK Senior Adviser |
| 48. | Eriko Hibi | OSP Senior Strategy and Planning Officer |
| 49. | Annabella Kaminker | OSP Strategy and Planning Officer |
| 50. | Rachel Sauvinet Bedouin | OED Senior Evaluation Officer |
| 51. | Lori Bell | OED Evaluation Officer |

**FAO Sub-regional and country Offices (Africa) - via video and teleconference**

| N. | Name | Unit/Function |
|---|---|---|
| 52. | Dan Rugabira | FAO Representative to Kenya |
| 53. | Gaoju Han | SRC-SFS |
| 54. | Perpetua Katepa Kalala | Senior Policy Officer-SFS |
| 55. | Aubrey Harris | Senior Fisheries Officer-SFS |
| 56. | Jean Karamanzi | Food Safety Officer-SFS |
| 57. | Edward Kilawe | Forestry Officer, SFE |
| 58. | Lamourdia Thiombiano | SRC-SFC |

**IDWG: Focus group**

| N. | Name | Unit/Function |
|---|---|---|
| 59 | Margareta Blum | OEKR Agricultural training officer |
| NA | Yves Klompenhouwer | OSD Senior Coordination Officer |
| NA | Eriko Hibi | OSP Senior Strategy and Planning Officer |
| 60 | Elisabetta Carfagna | ESS Senior Statistician |
| 61 | Enrica Carosella | CSPL Economist |
| 62 | Richard Moon | CSPL Human Resources Officer |
| 63 | Ilaria Sisto | ESW Gender and Development Officer |
| 64 | Tina Farmer | FIPS Technical Editor |
| 65 | Calvin Miller | AGS Senior Officer |
| NA . | Diego Recalde | TCDM Senior Field Programme Monitor |
| 66. | Genevieve Braun | TCID Programme Officer |
| 67. | Guenther Feiler | TCSP Agriculture Policy Support Officer |
| 68. | Adam Gerrand | NRC Natural Resources Officer |
| 69. | Fred Kafeero | FOE Forestry Officer |
| 70. | Astrid Agostini | TCID Senior Adviser |
| NA. | Manuela Allara | AGPM Programme Specialist |
| 71. | Dominique DiBiase | TCSR Senior Programme officer |
| NA | Sally Berman | OEKC Capacity Development Officer |
| 72. | Patrick Kalas | OEKC Capacity Development Officer |
| 73. | Rosana Frattini | OEKC Information Management Specialist |
| NA | Stephen Rudgard | OEKC Chief |
| 74. | Cecilia De Rosa | TCID Education Specialist |
| 75. | Maria Grazia Rocchigiani | OEKC Capacity Development Officer |

**Annex 2 – Table of Recommendations and Comments**

| | Management Response | | Follow-up Report (as at August 2012) | |
|---|---|---|---|---|
| Evaluation Recommendation | Action Agreed | | Actions Taken by Management | Results of Actions taken on programmes, policies and procedures |
| **Recommendation 1** It is recommended that the Inter-departmental Working Group (IDWG) on Capacity Building take steps to ensure that FAO staff and partners have a common conceptual understanding of CD and FAO's role in it. | 1.1 Via the Awareness Raising activities, clarify for staff throughout the Organization what is meant by CD and what approach FAO will take.<br><br>1.2 Disseminate the corporate strategy widely within the Organization.<br><br>1.3 Provide short, jargon-free briefs outlining the key principles and examples of how these can be applied. | | Regional share fairs held in 2011 (East/South Africa, West/Central Africa, Asia and Europe) on the topics of Capacity Development and Knowledge Management.<br><br>Many other awareness raising events held e.g. FAO Representatives seminars, Forestry Management meeting, and FAO-EU programme seminar.<br><br>Informal Seminar for Permanent Representatives (see 3.1).<br><br>CD Portal and Intranet sites developed which provide extensive information on FAO's CD programme, tools and guidelines.<br><br>Awareness raising brochure, poster, introductory learning module and key messages on the corporate strategy widely shared. | FAO staff have an increasingly common understanding of CD and FAO's role in it. At the end of the 2010-11 biennium in which the Corporate CD Strategy was approved, a survey of FAO staff found that approximately 15% of CD Products and Services were implemented in accordance with the Strategy. |
| | 1.4 Based on a needs assessment, design a training program tailored to fortify FAO's competencies in CD.<br><br>1.5 Provide training in CD for staff and non-staff, especially those in decentralized offices. | | An Organization-wide learning needs assessment in 2009 determined the competencies and skills fundamental for FAO to be a better CD partner, and found that four learning modules were needed for which detailed assessments were made.<br><br>Three of the four modules published, and the fourth under development.<br><br>A corporate CD Learning Plan devised with learning strategies for different profiles of FAO staff and the skills and competencies needed, followed by a specific Plan for RAF.<br><br>Pilot training courses undertaken for staff involved in FAO-EU Food Security Programme. | Learning plan in place.<br><br>Better CD practices adopted by FAO-EU Security Programme (through pilot training course). |
| **RECOMMENDATION VALIDITY** | **ACHIEVEMENTS AGAINST MANAGEMENT RESPONSE** | | **EVIDENCE** | **REMARKS/OBSERVATIONS** |
| The recommendation remains very relevant: The IDWG still plays | 1.1&1.5: Several awareness raising and training activities have been carried out: Effective Country Programme (ECP) workshops to | | Leadership and Foundations of Management Training reports Share Fair reports Upcoming Share Fair planned for October 24 in SFE, Addis Ababa. | There was a convergence of views on CD from DOs and FAO HQ teams. Both understand that CD is one of |

| an important monitoring role of CD activities in FAO. IDWG members also act as CD ambassadors in their respective departments. | capacitate staff in Country Programming Frameworks (CPFs); Management and Leadership foundation courses; CD Share Fairs. Guidelines, handbooks and support training material have incorporated CD approaches in variable degrees.<br>1.2: FAO CD Corporate Strategy has been disseminated and DO staff in Africa are aware of it to varying degrees.<br>1.3: CD *E-learning* materials available online, CD and as hard copies.<br>1.4: A needs assessment has been conducted at RAF. The SFE has also conducted a skills review of all FAO staff in the region. | CD awareness raising brochures<br>CD portal (under preparation)<br>Corporate Strategy on Capacity Development (PC 106/2)<br>CD *E-learning* materials shared with all staff<br>Countries, especially in emergency areas, involved FAO-EU Food Security Programme participated in training. | the main foci of their work and that CD is about assisting stakeholders to perform their duties efficiently and effectively.<br><br>There is need to improve the coordination of training mechanisms across core functions and technical areas |
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| **Recommendation** | **MR Action Agreed** | **FR Actions taken by Management** | **Results of Actions taken on programmes, policies and procedures** |
| **Recommendation 2**<br>It is recommended that senior management, under the guidance of the IDWG, incorporate CD into the mandates, work programmes and post descriptions of all relevant programming staff. | 2.1 Issue guidelines so that CD is systematically included in the duties and PEMS of all relevant technical officers. | 2.1 Guidelines on including CD in the PEMS evaluation under development as part of the ongoing generic job profile project. | N/A |
|  | 2.2 Ensure that the minimum levels of CD field experience as a requirement for posts in Regional and Sub-regional Offices by ensuring it is adequately described in job descriptions and vacancy announcements. | 2.2 The inclusion of minimum levels of CD field experience in FAO job descriptions and vacancy announcements under development in the context of the generic job profiles project. | N/A |
|  | 2.3 Ensure that competencies required for good CD are fully reflected in FAO's competency framework. | 2.3 FAO Competency Framework finalized at the end of 2011, which includes overall behavioural competencies required for effective CD.<br><br>Plans for implementation under way. | N/A |
|  | 2.4 Review the Circular on Responsibilities and Relationships to include new emphasis on CD. | 2.4 The Circular approved in April 2011, clearly outlining the roles and responsibilities in CD in all Decentralized Offices. | A key corporate circular provides a sound corporate framework for CD. |

| RECOMMENDATION CURRENT VALIDITY | ACHIEVEMENTS AGAINST MANAGEMENT RESPONSE | EVIDENCE | REMARKS/ OBSERVATIONS |
|---|---|---|---|
| The recommendation is valid. The 2012/13 PWB include specific CD activities | 2.1 & 2.2: Initiative is in the final stages of planning in readiness for implementation. Delay is due to FAO recently initiating restructuring. <br> 2.3: Development of competency framework started in 2010 | • *Implementation of Corporate Human Resources Strategy (FC 140/11):* 140th Session of the Finance Committee <br> • Corporate Strategy on Capacity Development (PC 106/2) <br> • FAO Circular on Responsibilities and Relationships dated 15 April 2011 | Staff interviewed agreed that this should be a priority area for implementation in the next biennium with a focus on both the job descriptions and the PEMS. |
| Recommendation | MR Action Agreed | FR Actions taken by Management | Results of Actions taken on programmes, policies and procedures |
| **Recommendation 3** <br> It is recommended that senior management, with the guidance of the IDWG, review and, where necessary, revise FAO systems to improve the effectiveness and sustainability of CD initiatives. | Actions for this Recommendation are largely taken up under Recommendation 4. <br><br> 3.1 Ensure that FAO's policies and procedures allow for medium/long-term CD programming, addressing issues such as design, duration, scale, and modalities of all projects and programmes. | CD, as one of the "enabling" UN programming principles, properly reflected in the Country Programming Guidelines. Specifically, the CPF guidelines enable better CD at country level 1) as the CPF allows for a country to plan effective CD in the priority areas, 2) the CPF cycle is normally 3-5 years in alignment with national planning cycles, and 3) countries assess their capacity needs and include these in the CPF. <br><br> CD included in all phases of the New Project Cycle Guidelines from formulation to reporting as one of the two enabling principles of the UN Country Programming Principles. <br><br> Both CPF and the New Project Cycle introduced to FAO staff throughout Africa via the "Effective Country Programming" (ECP) learning initiative. Additional training and support being planned. <br><br> TCP project guidelines adopted the new corporate reporting formats that fully integrate CD principles (Ex-Post-Assessment tool). | All corporate country programming processes and guidelines incorporate CD, and staff competencies in Africa partially strengthened. |
| | 3.2 Ensure that FAO's decentralized planning and programming processes, especially NMTPFs and (sub) regional priority areas, give due consideration to CD <br><br> Note: NMTPF now superseded by CPF (Country Programming Framework) | Guidance on streamlining CD in the formulation of CPFs incorporated in the CPF guidelines. <br><br> A CD guidance note regularly presented and integrated in Effective Country Programming learning initiatives, at the subregional offices in Africa in 2012. <br><br> Partners and other stakeholders regularly attending prioritization meetings in the region. | All corporate country programming processes and guidelines incorporate CD, and staff competencies in Africa partially strengthened. |

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| | 3.3 Review the inclusion of CD initiatives in the results-based framework, taking into account the long-term nature of CD. | Many Strategic Objective teams brought new CD emphasis in the 2012-13 PWB as well as for the MTP 2014-19. | Strategic objective teams and work plans have new CD emphasis. |
| **RECOMMENDATION CURRENT VALIDITY** | **ACHIEVEMENTS AGAINST MANAGEMENT RESPONSE** | **EVIDENCE** | **REMARKS/ OBSERVATIONS** |
| The recommendation is relevant as the effectiveness and sustainability of CD activities should always be enhanced. It is however, too early to review CD sustainability. The first step should be documenting FAO CD initiatives as highlighted in recommendation 7 | 3.1 & 3.2: The DOs are supposed to have the primary role in processes to enhance capacity in technical and policy areas, in implementation of programmes and projects, in knowledge management, and in partnering (through CPF development). <br> 3.3: CD clearly highlighted in the 2012/13 PWB | A guide to the formulation of the Country Programming Framework (CPF) <br><br> Structure and Functioning of the Decentralized Offices Network (CL 144/15) <br><br> New TCP project guidelines and training of staff | Some parts of the recommendation have also been covered elsewhere (e.g. Rec. 4), also see validation comments under Rec. 1. |
| **Recommendation** | **MR Action Agreed** | **FR Actions taken by Management** | **Results of Actions taken on programmes, policies and procedures** |
| **Recommendation 4** <br> It is recommended that the IDWG develop, and senior management implement, guidelines for projects and programmes that emphasise effective CD practices, such as participatory approaches that build ownership, sustainability and partnerships. | 4.1 Ensure that the enhanced CD approach is given adequate priority and attention and accordingly is implemented in FAO programmes and projects and reflected in FAO's strategic framework. Specifically, ensure that staff is aware of the importance of and adhere to the revised programme and project guidelines. | CD adequately reflected in the reviewed Strategic Framework as a core function. <br><br> An Informal Seminar for the Permanent Representatives in January 2011 with participation of Deputy Directors-General and many other FAO managers, introduced the Corporate Strategy and addressed discuss concerns and interests. <br><br> The launch of the Corporate Strategy on Capacity Development in May 2011 led by the Deputy Directors-General with webstreaming to the Decentralized Offices. <br><br> The IDWG supported the development of the new Strategic Framework (SF) ensuring that CD considerations are incorporated into the new Strategic Objectives. | Staff awareness of the CD Strategy is increasing and the FAO's CD approach is being incorporated further into the Strategic Framework. |

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| | 4.2 As one of the five strategic and cross-cutting principles of UN country programming under the UNDAF, CD needs to be considered by FAO as an essential component in order to guarantee an inclusive approach to UN Common Country Programming. This will be achieved by:<br>• Mainstreaming CD in the project cycle by amending the Field Programme Manual, monitoring guidelines and other project standards. | New project cycle guidelines finalized and the roll-out of the Effective Country Programming Learning Programme (ECP) under way.<br><br>CD, as one of the "enabling" UN programming principles is reflected in the 'Country Programming Guidelines – Policies and Principles' and regularly being reflected in the ECP learning events.<br><br>New TCP reporting mechanism so that TCP projects must adhere to CD Criteria. | All corporate country programming processes and guidelines incorporate CD, and staff competencies in Africa partially strengthened. |
| | 4.3 As part of ongoing TCDM activities and as envisaged in the Implementation Plan of the Corporate Strategy on CD, develop guidelines and tools for projects and specific CD guidance to supplement the Organization's results-based programming guidelines so that FAO staff and collaborators are<br>• conducting capacity needs assessments in programme and project design;<br>• understanding the organisational and institutional context;<br>• encouraging beneficiary and other stakeholders to participate in the design and implementation of projects;<br>• encouraging interdisciplinary and internally coordinated approaches;<br>• using implementation strategies that systematically make maximum use of local experts and institutions; and<br>• providing mentoring, monitoring, evaluation and exit strategies that take into account the iterative nature of CD. | Learning Modules 1, 2 and 3 produced to provide guidelines and tools for all of the CD aspects indicated in the Action item.<br><br>Learning Module 4 on Organization Development in preparation.<br><br>Many FAO units as well as the members of the IDWG reviewed these modules and contributed to the development and refinement of these approaches. TC department included selected tools and approaches in the new Field Programme Manual and the CPF guidelines.<br><br>A corporate CD Learning Plan devised with learning strategies for different profiles of FAO staff and the skills and competencies needed, followed by a specific Plan for RAF.<br>CD Portal and Intranet sites developed (see 1.4). | CD tools and approaches are beginning to be used to ensure accurate programme and project design and to ensure a complete understanding of the country context and situation. |
| | 4.4 As envisaged in the NMTPF working group, ensure that Corporate Country Programming guidelines include the planning of long-term mutually established CD goals and priorities, addressing capacity strengths and gaps, so that national actors can plan and lead their CD activities.<br><br>Note: NMTPF now superseded by CPF (Country Programming Framework) | Guidance on streamlining CD in the formulation of CPFs incorporated in the CPF guidelines.<br><br>A CD guidance note regularly presented and integrated in Effective Country Programming learning initiatives, at the subregional offices in Africa in 2012. Additional training and support being planned.<br><br>Review of all new CPFs for effective CD approaches. | All corporate country programming processes and guidelines incorporate CD, and staff competencies in Africa partially strengthened. |

| | 4.5 Ensure that FAO projects adhere to the CD guidelines for projects. | The PPRC assesses that CD is adequately incorporated in project design. | The PPRC Annual Report for 2011 shows an increase in the trend of the number of comments provided to improve projects formulation on CD since 2008, demonstrating increased attention to and awareness of CD of PPRC members leading to better project delivery. |
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| | 4.6 Develop and provide guidelines to mainstream gender aspects in all stages of project and programme design, implementation and M&E. | Gender mainstreamed into the Project Cycle guidelines and the CPF guidelines as coordinated by TC department.<br><br>Activities under way to bring all FAO programmes and projects under the common UN gender marker system to classify projects and to monitor the extent to which gender equality is addressed.<br><br>In line with the UN System-wide Action Plan on gender equality and women's empowerment (SWAP), FAO in the process of providing gender training for all staff.<br><br>Guidance notes and checklists under development on how to address gender related issues in all stages of the project cycle to supplement the project cycle and CPF guidelines prepared by TC.<br><br>A strategy and guidelines to enhance capacities for gender-responsive policies and programmes under development.<br><br>FAO exploring the establishment of a network of gender CD providers in Sub-Saharan Africa. | All corporate country programming processes and guidelines incorporate gender aspects. |
| **RECOMMENDATION CURRENT VALIDITY** | **ACHIEVEMENTS AGAINST MANAGEMENT RESPONSE** | **EVIDENCE** | **REMARKS/ OBSERVATIONS** |
| As noted in the main report, the guidelines and tools have been developed but actual implementation and an assessment of the results of implementation still have to happen for the greater part. | 4.1: CD in FAO has been elevated to a core function and understood as a crosscutting issue. Guidelines available and disseminated to all staff.<br>4.2: E-learning in support of CD available to FAO staff and Member States<br>4.3: Results based programming (RBP) adopted in the DOs and capacity development on RBP continuing<br>4.4: These are highlighted in CFPs<br>4.5: CD E-learning materials act as guidelines. | A guide to the formulation of the Country Programming Framework (CPF)<br>CD Learning Modules 1, 2 and 3 produced. E-learning modules<br><br>ECP training for CPFFAO Policy on Gender Equality Strategy for gender capacity development for Member Countries<br>Gender sensitive capacity assessment guidance in CPF<br>IASC Gender Marker | |

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| Therefore the recommendation is still relevant concerning implementation aspects. | These are available and disseminated widely within and outside FAO. 4.6: Gender mainstreaming guidelines and material have been produced and are being disseminated | | |
| **Recommendation** | **MR Action Agreed** | **FR Actions taken by Management** | **Results of Actions taken on programmes, policies and procedures** |
| **Recommendation 5** It is recommended that FAO senior management ensure that staff, in particular those in decentralized offices and FAO Representatives, place increased emphasis on partnerships in their CD activities in Africa. | 5.1 Disseminate the corporate strategy on Partnerships to staff as well as guidance on assessing partnerships. | Corporate strategy disseminated in 2011. Analysis of Current FAO Partnering Practices undertaken based upon a review of FAO documentation that relates to partnerships, interviews with staff at HQ and ROs, and on an Organization-wide survey conducted assessing staff development needs. Partnership Awareness-raising workshop conducted at HQ and planned for RAF Revamped partnerships internet launched. Stock-taking of private sector partnerships carried out. Stock-taking of collaboration with other agencies in the UN system carried out. Staff Development in effective partnering skills being planned. Framework and handbook under development. | Groundwork has been laid so that FAO offices assess, create and maintain effective partnering. |
| **RECOMMENDATION CURRENT VALIDITY** | **ACHIEVEMENTS AGAINST MANAGEMENT RESPONSE** | **EVIDENCE** | **REMARKS/ OBSERVATIONS** |
| Still valid and relevant | 5.1: Corporate Strategy on Partnerships developed with companion strategies for civil society and private sector partnerships awaiting endorsement by the Council. Partnership workshop completed and others planned for September and October 2012 | • Draft FAO Organization-wide Strategy on Partnerships • Draft Strategy on Partnerships with Civil Society • FAO Strategy on Partnerships with the Private Sector (provisional Outline) - JM 2011.1/4 • Partnership Awareness-raising Workshop was organised by IPA Project 12: "Partnerships" and supported by The Partnering Initiative (TPI) of the International Business | Partnership should be seen as part of FAO's CD initiative. The partnership strategies refer to CD as an important area of collaboration but not enough data is available on the actual implementation aspects. This |

| | | Leaders Forum. <br> • Directions for Collaboration among the Rome-Based Agencies (CL 137/INF/10) <br> • Report on a review of partnerships <br> • Staff development in effective partnering skills planned | area should be monitored in the future. |
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| **Recommendation** | **MR Action Agreed** | **FR Actions taken by Management** | **Results of Actions taken on programmes, policies and procedures** |
| **Recommendation 6** It is recommended that FAO staff place increased emphasis on facilitating the development of national capacity for policy analysis and implementation. | 6.1 Further develop guidelines, communication pieces and learning solutions to ensure that country counterparts are closely involved in the activities carried out under FAO policy projects and are provided with opportunities to improve analytical skills, thereby expanding on the Policy Learning Program and incorporate such recommendations in the Country Programming Guidelines. The guidelines will reflect: <br> • that all policy assistance projects include provision for sufficient follow-up and includes CD for developing investment and operational plans to implement policies; <br> • that CD experience and competencies are in the terms of reference of any consultant hired to provide policy support in countries; <br> • that ways should be identified, including through partnerships with local actors, whenever possible, to support CD at sub-national level in countries that are decentralizing. | Easypol continued to be a useful platform for national policymakers providing tools, methods and case studies. <br><br> FAPDA, a new tool, developed for the analysis phase when revising and analyzing policy to map out existing policy in a country. <br><br> Several sub regional policy consultations on volatile food prices held which contributed to policy dialogue and capacity development of national stakeholders in policy processes. <br><br> Peer learning between member countries on policy implementation (e.g., fertilizer subsidy programmes) undertaken in the Africa region. <br><br> The Policy Learning program (PLP) continued to be a strong program to strengthen national capacities in policy analysis, formulation and implementation. <br><br> Advice and support provided to member countries, including on the use of tools such as "Ex ante Environmental and Socio-Economic Policy impact Analysis (ESEPIA)". <br><br> Plans under discussion for Technical officers and FAO Reps to strengthen their skills to facilitate policy processes at country level. | Some national teams of policy analysts have been created and contributed to successful implementation of policies, even in different sectors. <br><br> In some countries, diverse actors within countries were involved in policy processes. <br><br> Cross-country learning on policy implementation was found to be effective as practitioners from different countries learned from each other. |
| | 6.2 Further develop systems and mechanisms for country, regional and HQ staff to identify and anticipate emerging policy needs. | FAPDA tool regularly used to update policy decisions databases in over 80 countries. <br><br> ADAM system available online and used by member countries during the CPF formulation to track development expenditure. | National partners in five countries now have capacities to use FAPDA. <br><br> Groundwork has been set for better anticipation of emerging policy needs. |

| RECOMMENDATION CURRENT VALIDITY | ACHIEVEMENTS AGAINST MANAGEMENT RESPONSE | EVIDENCE | REMARKS/ OBSERVATIONS |
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| Still relevant recommendation. However, there is need to document lessons from those countries using the policy tools | FAO has incorporated CD concerns in policy work in terms of guidance and normative products. Extensive training has been provided at national level to improve the capabilities of individuals in FAO and in national partner organizations but to further strengthen institutional capacities FAO needs to address the broader aspects of organizational capacity and the enabling environment | FAORs have undergone training in strengthening of planning and operational functions in the Regional Offices<br><br>Easypol and FAPDA tools<br><br>TCP guidelines | The on-going follow up to this recommendation should be closely linked to the implementation of the recommendations from the 2012 Evaluation of FAO's role and work in Food and Agriculture Policy |
| **Recommendation** | **MR Action Agreed** | **FR Actions taken by Management** | **Results of Actions taken on programmes, policies and procedures** |
| **Recommendation 7**<br>It is recommended that FAO staff give priority to, and improve, the documentation and dissemination of successful CD initiatives, methods and normative products. | 7.1 Document, showcase and disseminate successful case studies widely to development partners (government agencies, universities and research organisations, NGOs and CBOs);<br><br>7.2 Document and disseminate the core principles of FAO CD approaches; in particular those which are, or could be, taken up widely by other agencies. | 7.1 A Share Fair in the Horn of Africa is organized for October 2012 to showcase successful case studies of CD.<br><br><br>7.2 N/A | N/A |
| | 7.3 Consult stakeholders and carry out field analyses to ascertain factors either raising and lowering the quality of Farmer Field Schools (FFS) when scaling up/scaling out.<br><br>7.4 In collaboration with other divisions and field projects implementing FFS, produce guidelines on planning, design, implementation, monitoring, and evaluation of FFS, with documentation from field examples, with a view to strengthening existing | 7.3 Global FFS review process initiated involving 15 countries (6 in Africa). National consultations held, country reports produced and E-forums held with 120 participants.<br><br>7.4 A Guidance Document under development for the end of 2012, describing drivers of quality and how to institutionalize and scale up FFS programmes at country level.<br><br>Staff development planned for Staff in Decentralized Offices to | N/A |

| | | local, national, regional, and global FFS networks and ensure high standards and sustainability in large scale programmes. | understand and apply FFS concepts. | |

| RECOMMENDATION CURRENT VALIDITY | ACHIEVEMENTS AGAINST MANAGEMENT RESPONSE | EVIDENCE | REMARKS/ OBSERVATIONS |
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| This is relevant and still a valid recommendation. During the validation both HQ and field staff indicated the need to undertake more systematic documentation of FAO's CD initiatives. Nevertheless some good practice examples were identified (see evidence column) | 7.1: Several successful case studies have been documented and shared with partners during ShareFairs and other events. More ShareFairs have been planned for October 2012.<br>7.2: Core principles of FAO CD approaches yet to be documented.<br>7.3: Several variants of Farmer Field Schools (FFS) are being rolled out and FAO is trying to promote minimum standards and a quality control coordination role, even though this is not always effective due to the widespread uptake of FFS.<br>7.4: At present there are no FFS guidelines on planning, design, implementation, monitoring, and evaluation of FFS. | A selection of Successful case studies have been documented even though this has yet to be done systematically by all FAO teams:<br>• SFE has documented best practices/technologies with potential for scaling-up<br>• SFC has documented CD related initiatives in the region<br>• New initiatives from Kenya have been reviewed, and include initiatives on training, communication for development, partnerships<br>• Share fair reports | Documentation and tracking FAO's CD initiatives taking place at country level need speeding up. Efforts to document all CD related activities and share these throughout FAO have the potential for positive impact in the future. Examples in the Evidence column can be used as good practices models.<br><br>The FFS is FAOs approach. It is therefore FAOs responsibility to develop guidelines amenable to changes at different localities and situations |
| Recommendation | MR Action Agreed | FR Actions taken by Management | Results of Actions taken on programmes, policies and procedures |
| **Recommendation 8**<br>It is recommended that FAO senior management take immediate steps to improve the distribution and uptake of FAO's products for CD in Africa. | 8.1 Develop guidelines to ensure that the distribution of key products is effective by requiring that HQ divisions:<br>• Develop communication and distribution plans for key products focusing where relevant on African audiences including especially stakeholders in CD;<br>• Connect to partner networks that will assist in the distribution and dissemination of FAO products;<br>• Track the distribution and use of materials where possible;<br>• Overcome or compensate for restrictions on Internet access in many parts of Africa by | FAO publishing guidelines completely revised and published on the Intranet, specifically including recommendations for development of dedicated marketing and distribution plans for all publications. Specific consideration of hard copy requirements (in addition to electronic dissemination) foreseen. Marketing plans developed which specifically foresee use of partner networks to increase awareness. Trainings taken place in HQ to improve staff knowledge on dissemination and marketing methods and planned for RAF.<br><br>Printing requests no longer accepted without specific distribution instructions.<br><br>Publication planning tool under development. | Groundwork set so that FAO technical divisions will produce an increased number of distribution plans of higher quality for their publications, clearly identifying target audiences and means of reaching them. |

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| | targeted dissemination of printed formats or digital formats such as CD-ROMs. | | |
| **RECOMMENDATION CURRENT VALIDITY** | **ACHIEVEMENTS AGAINST MANAGEMENT RESPONSE** | **EVIDENCE** | **REMARKS/ OBSERVATIONS** |
| Still valid and very relevant. The Publications Unit may be considered a major player in the distribution of CD material. | 8.1: Guidelines for distribution of publications and material have been developed by HQ staff in collaboration with DOs. A series of training workshops on marketing of FAO publications are being offered in HQ and recorded sessions available to DOs. | These include e-learning materials, CDs and hard copies. | The distribution of FAO CD materials needs to be targeted better. A demand driven approach with support from FAO's Publications units can be used as a CD tracking tool, monitoring partners using FAO CD materials. Therefore, the unit's early involvement in planning the printing and distribution of CD materials is important. |
| **Recommendation** | **MR Action Agreed** | **FR Actions taken by Management** | **Results of Actions taken on programmes, policies and procedures** |
| **Recommendation 9** It is recommended that FAO invest more heavily in the capacity of its decentralized offices in Africa to engage significantly in developing capacities for the agriculture, forestry and fisheries sectors and to respond to emerging demands of African member countries. | Ensure: 9.1 As part of the preparation of the PWB, due attention could be given to allocating human and financial resources necessary to enable the Decentralized Offices in Africa to incorporate CD concerns. For decentralized technical officers, this should include orientation, training, retooling, and greater exposure to HQ activities and to current trends in officers' fields, and motivation and incentives to ensure that CD is given a higher profile in their work. | The ongoing transformational change of FAO addresses many of the issues that affect the Organization's CD performance. The 144th session of the Council supported the enhancement of the structure and functioning of FAO's decentralized office network with a view to improving the country-level impacts of all of FAO's work. | Transformational change of structure and functioning of decentralized offices. |
| | 9.2 more systematic partnering with regional and local CD institutions, to fill gaps and complement expertise available in decentralized offices. | RAF putting in place systematic activities to strengthen partnerships. OCP providing a website, a framework and handbook to assist staff in monitoring, assessing, and evaluating partnerships. | N/A |

| | | A Partnership Awareness-raising workshop planned for RAF and 2 other Regional Offices.<br><br>Four high level fora on agribusiness involving private sector planned in RAF. | |
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| | 9.3 careful selection if engaging in south-south exchanges to ensure that their profiles and skills reflect a thorough knowledge of the African context as well as some CD knowledge and experience. | The principles and implementation modalities of SSC being reviewed to better reflect the expectations of cooperating and recipient countries; more emphasis to be given to training and other CD aspects which will be implemented in a more flexible way both in recipient and cooperating countries.<br><br>Initial planning to broaden the SSC scope to include inter-African exchanges under way. | N/A |
| | 9.4 careful selection if using volunteers to ensure that their profiles and skills reflect a thorough knowledge of the African context as well as some CD knowledge and experience. | N/A | N/A |
| **RECOMMENDATION CURRENT VALIDITY** | **ACHIEVEMENTS AGAINST MANAGEMENT RESPONSE** | **EVIDENCE** | **REMARKS/ OBSERVATIONS** |
| The recommendation is still relevant and valid. The impact of FAO's CD initiatives is dependent on FAO DO staff with the knowledge and capacity to support member countries. | 9.1: DO staff have attended management, CPF development and CD training. However, more has to be done to enhance the collaboration between HQs and field staff to work as equals, in the performance of their different but complementary functions;<br><br>9.2: The Partnerships strategies will help FAO staff in CD initiatives<br><br>9.3: NA<br><br>9.4: NA | • Draft FAO Organization-wide Strategy on Partnerships<br>• Draft Strategy on Partnerships with Civil Society<br>• FAO Strategy on Partnerships with the Private Sector (provisional Outline) - JM 2011.1/4<br>• Resource Mobilization and Management Strategy (JM 2010.2/4)<br>• Technical function networks under development in some DOs (e.g. SFE linking them to RAF and HQ staff) | The upcoming Evaluation of FAO's Decentralization in Africa (2012-13) could help review and assess more in depth progress made in this area. |