

Multilateral Organisation Performance Assessment Network

Technical Report

**Food and Agriculture
Organization of the United
Nations (FAO)**

**Volume I
Results by Micro-indicator and
by Country**

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1. Introduction

This Volume I of the Technical Report presents:

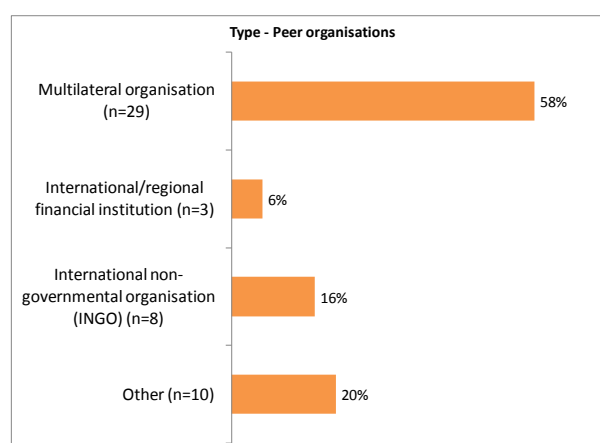
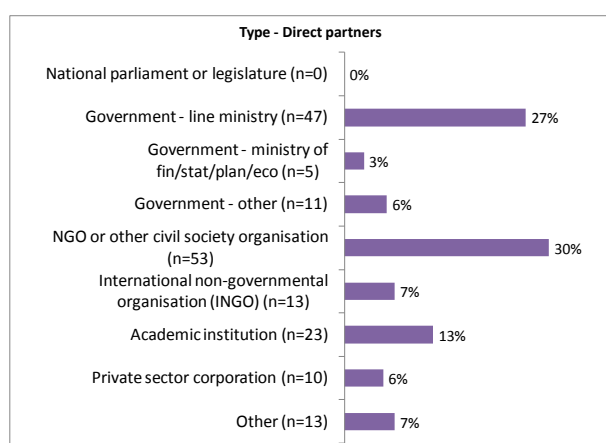
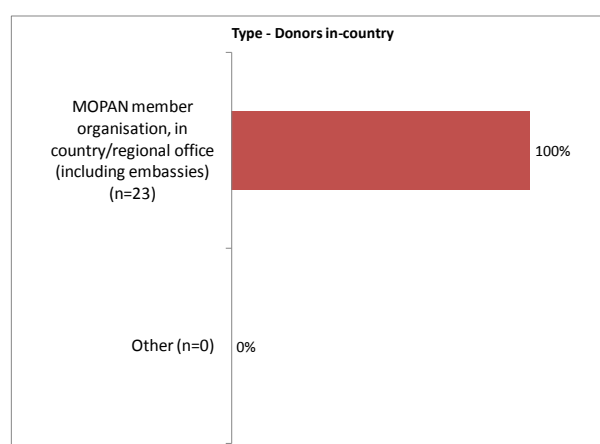
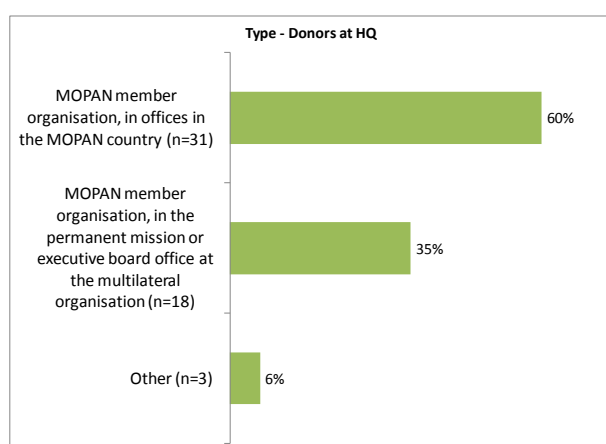
- The survey respondent profile (chapter 2)
- The detailed results of the MOPAN assessment for all micro-indicators for both the organisational effectiveness component and development results component (chapter 3)
- The detailed results of the MOPAN assessment by country (chapter 4).

Volume II of the Technical Report presents the MOPAN 2014 methodology, the survey instrument, document review ratings, criteria and evidence by KPI and MI, and a bibliography.

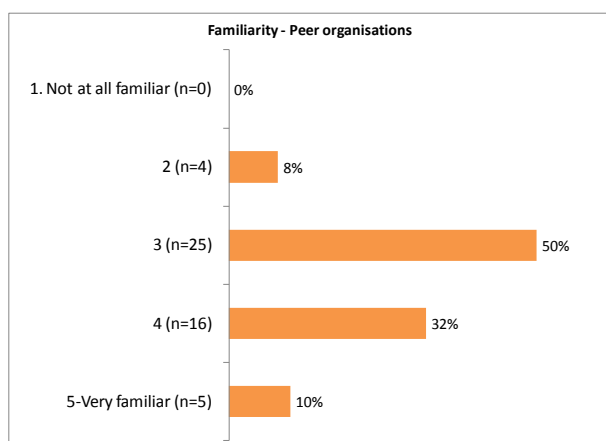
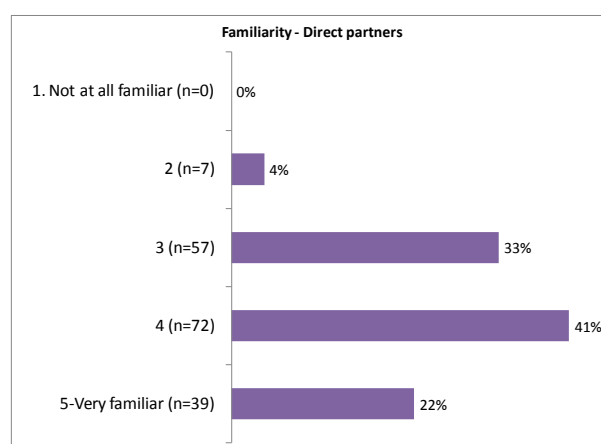
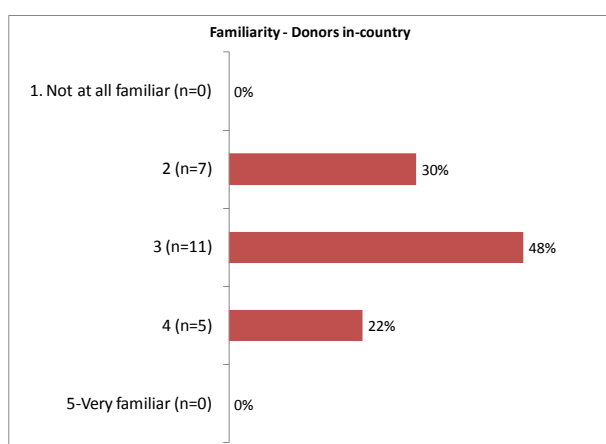
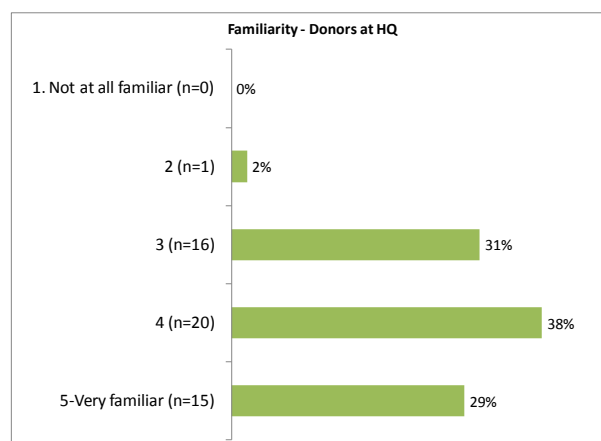
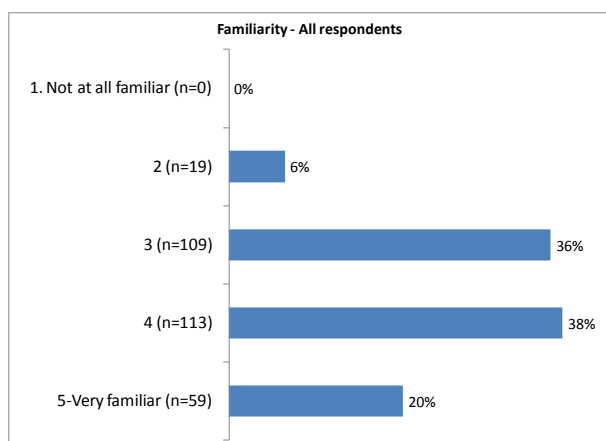
2. Respondent profile

This section presents charts on various characteristics of respondents to the 2014 MOPAN survey on FAO. In the 2014 assessment, the survey results for FAO reflect the views of 300 respondents.

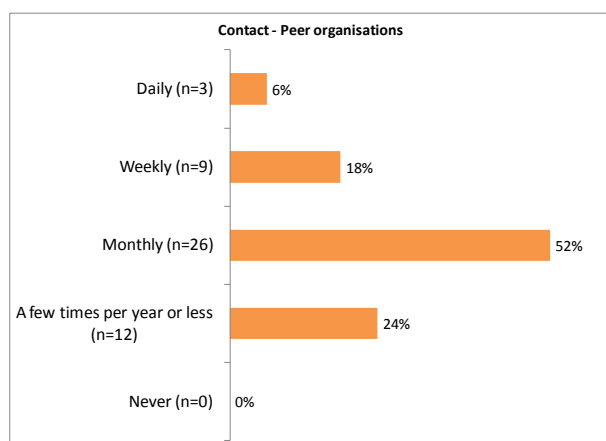
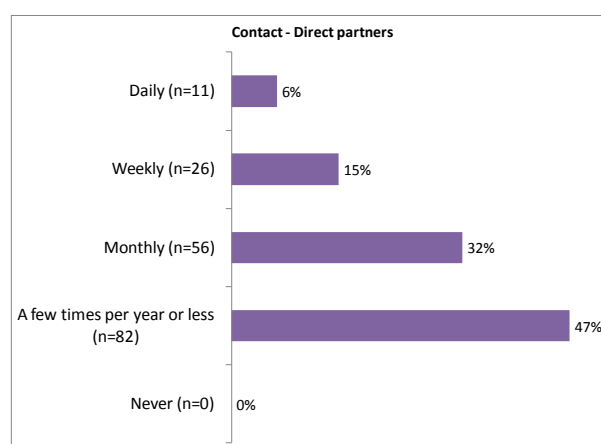
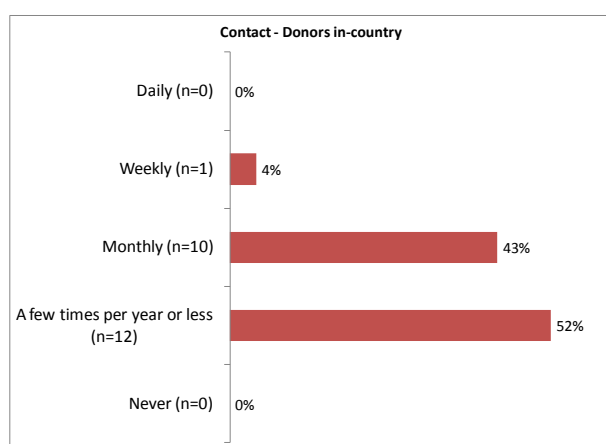
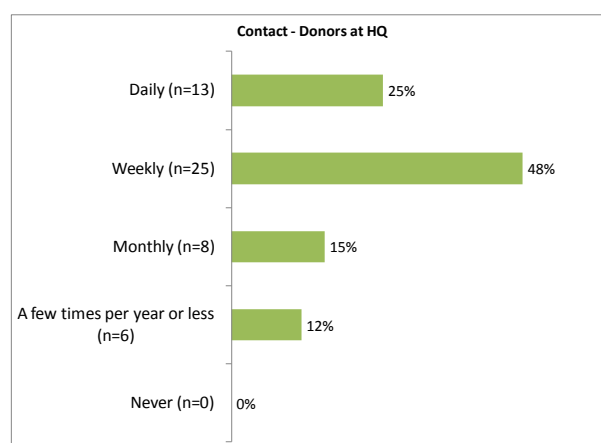
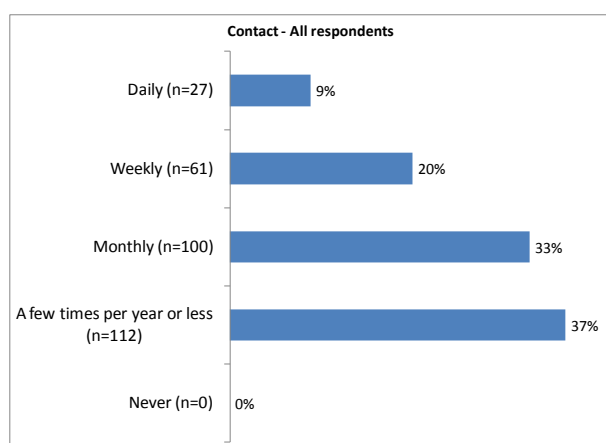
Type of respondents



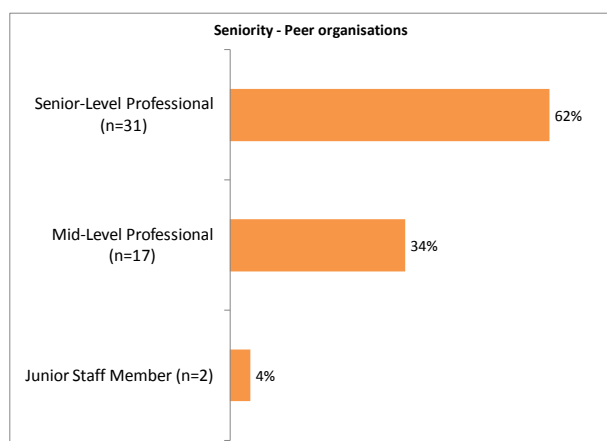
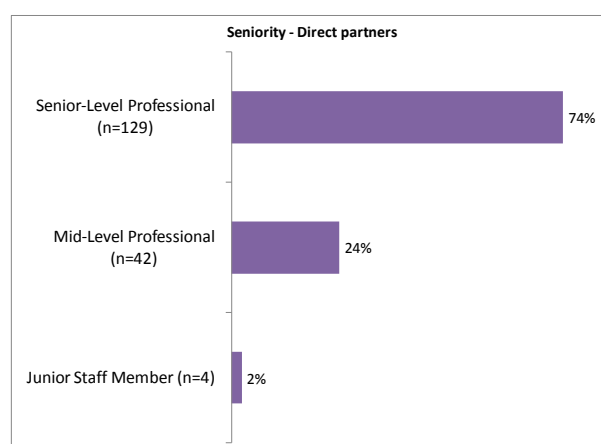
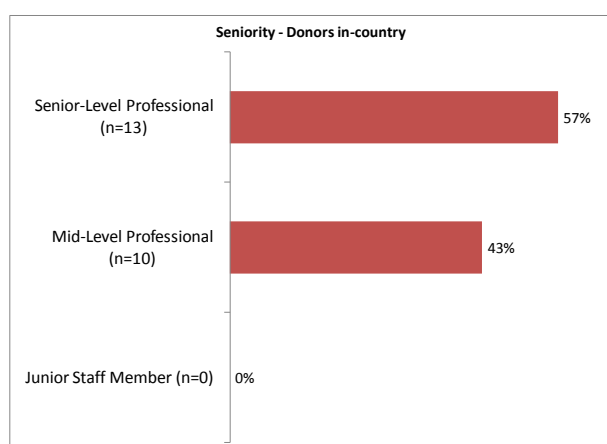
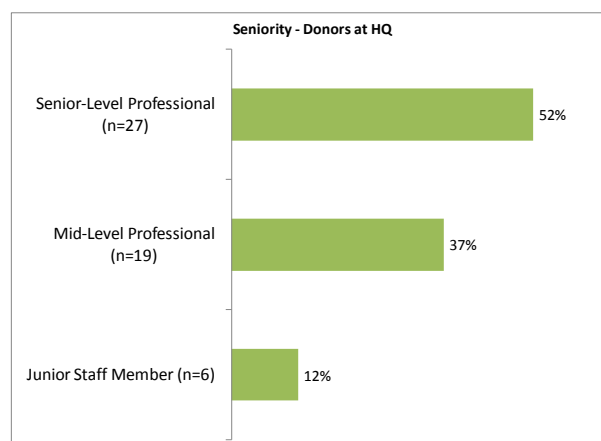
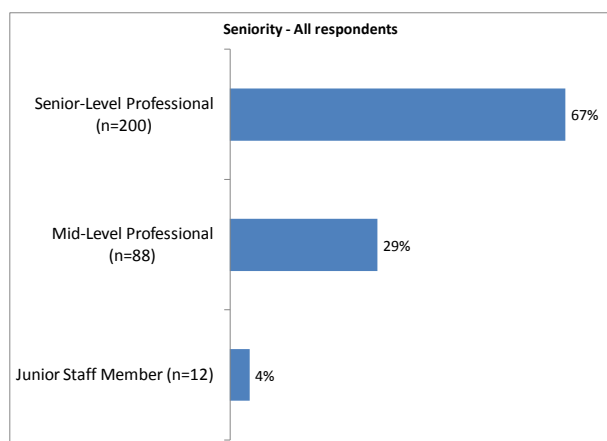
Respondent familiarity with multilateral organisation



Respondent frequency of contact with multilateral organisation



Respondent level of seniority



3. Results of MOPAN assessment by micro-indicators

3.1 Evidence of FAO's organisational effectiveness

PERFORMANCE AREA I: STRATEGIC MANAGEMENT

3.1.1 KPI 1: Providing direction for results

KPI 1: The MO provides direction for the achievement of development results.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 1.1 – The MO has a value system that supports a results-orientation.	4.05	--	This MI, which was assessed by survey only, asked donors at headquarters and in-country, as well as direct partners whether FAO's institutional culture reinforces a focus on results. Overall, respondents rated FAO adequate on this MI. Disaggregating by respondent group however, shows some diversity in responses. Donors at headquarters rated FAO inadequate, while donors in-country rated the organisation adequate. Direct partners, however, had a marginally more positive outlook on the organisation, rating it strong. These differences are statistically significant.
MI 1.2 – The MO's Executive Management shows leadership on results management.	3.72	--	The majority of HQ respondents (52%), the only respondent group asked about this MI, provided a rating of adequate. During interviews at FAO headquarters in Rome, the assessment team interviewed more than 25 senior-level staff from different departments and divisions and noted a strong commitment from Executive Management to instituting a results culture across the organisation.
MI 1.3 – The MO ensures application of an organisation-wide policy on results management.	4.09	5	FAO was rated adequate overall by survey respondents for applying results-based management in its work. Direct partners responded more positively than donors at headquarters, and this difference is statistically significant. Based on documentary evidence, FAO was rated as strong on this MI. The divergence between document review and survey ratings may suggest that respondents, especially donors at headquarters, are unaware of the reforms undertaken by FAO to manage for results or are sceptical regarding the effectiveness of the reforms. In 2009, FAO adopted the Immediate Plan of Action (IPA) for FAO Renewal, whose overarching objective was to transform FAO into an organisation that manages for results. Through the IPA, which was implemented between 2009 and 2012, FAO introduced its first organisation-wide results framework in 2010. In 2013 it presented to the Conference the first Programme Implementation Report (PIR) which reports on results expected in the strategic framework using indicators. As discussed in KPI 5, since 2012, FAO has also introduced results-based country programming

MI	Overall survey mean score	Document review rating	Observations
			documents and has instituted a number of systems and practices to roll-out RBM across the organisation. FAO's practices and systems for results-based management are still relatively new and therefore are still works in progress. The IPA Resolution also called for enhanced accountability and oversight to ensure monitoring and reporting on results and use of performance information. In 2009, FAO created the Office of Strategic Planning, and Resource Management (OSP), which is responsible for planning, monitoring and reporting on corporate results. As of 2013, FAO has instituted new internal governance arrangements to provide oversight to the implementation of its reviewed Strategic Framework, including a Corporate Programmes Monitoring Board (CPMB) composed of the Director-General, the Deputy-Directors General, the Assistant-Directors General, the Directeur de Cabinet, Strategic Objective Coordinators and the Director of OSP (FAO, 2013 [28], p. 2). Since 2010, FAO has produced a number of guidelines related to results-based management including, but not limited to: A Guide to the Formulation of the Country Programming Framework, A Guide to the Project Cycle: Quality for Results, and Results-based Monitoring and Reporting System Guidelines. As part of its e-learning catalogue, FAO also offers an online course on managing for results (FAO, 2014 [23]). While there has been extensive training on the Country Programming Framework, recent evaluations suggest that there is a need for more training on results-based management across the organisation (FAO Office of Evaluation, 2013 [06], p. 3; FAO Office of Evaluation, 2014 [04], p. 62). FAO has taken note of these evaluations and has taken steps to increase training in RBM. FAO management noted that to enhance RBM capacities throughout the organisation, it has recently identified RBM focal points in all regions and sub-regions and FAOR responsibilities for RBM have been defined. The Regional Office in Africa has established an M&E network with M&E focal points in almost all countries. In Latin America and the Caribbean, the Strategic Planning, Management and Monitoring Unit was created in 2014 and focal points in countries are being identified. Notwithstanding the remarkable efforts made by FAO to strengthen RMB capacities, the assessment team found evidence from document review and interviews that suggest that capacities for RBM still vary significantly between country offices (FAO Office of Evaluation, 2013 [06], p. 84). FAO management notes that the ongoing monitoring exercise being carried out for the preparation of the Mid-term Review Synthesis Report 2014 has helped to identify institutional capacities and gaps in RBM and FAO has taken action to: increase management understanding of RBM; increase demand for and use of results information (e.g. Dashboard); ensure monitoring capacity in each regional office (RO) and each strategic objective (SO) team (e.g. networks). In 2015, it will continue to strengthen quality assurance of CPFs and project results frameworks and use of results information for project decision taking.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
<i>Base (un-weighted)</i>		300	52	23	175	50	300	52	23	175	50
MI 1.1	The MO has a value system that supports a results-orientation.	4.05	3.31	4.32	4.55	--	1.16	0.89	1.23	0.93	--
MI 1.2	The MO's Executive Management shows leadership on results management.	3.72	3.72	--	--	--	0.90	0.90	--	--	--
MI 1.3	The MO ensures application of an organisation-wide policy on results management.	4.09	3.57	--	4.62	--	1.09	0.91	--	1.01	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 1.1	The MO has a value system that supports a results-orientation.	19	9%	3	6%	4	14%	12	7%	--	--
MI 1.2	The MO's Executive Management shows leadership on results management.	5	10%	5	10%	--	--	--	--	--	--
MI 1.3	The MO ensures application of an organisation-wide policy on results management.	18	7%	3	6%	--	--	15	9%	--	--

3.1.2 KPI 2: Corporate strategy and mandate

KPI 2: The MO's corporate/organisation-wide strategies are clearly focused on the mandate.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 2.1 – The MO's corporate/organisation-wide strategy is based on a clear definition of mandate.	4.52	6	Donors at headquarters were asked two questions related to this MI: i) whether FAO has a clear mandate, and ii) whether FAO's organisation-wide strategy is aligned with its mandate. They provided an overall rating of strong on the first question and of adequate on the second. The document review rated FAO as very strong on this MI. FAO's Constitution sets out the main functions of the organisation, which were revised in the 2013 edition of the organisation's Basic Texts. FAO's mandate is to support member states to raise their levels of nutrition, improve agricultural productivity, better the lives of rural populations, and contribute to the growth of the world economy while safeguarding natural resources. This is achieved through its dual normative and development programmes. FAO convenes and facilitates international partners and member states to develop public goods (such as codes, norms, standards, conventions and global databases) in food and agriculture and disseminates knowledge on global agricultural issues. Through its field programme, FAO assists member states to comply with international agreements and to apply these norms and standards by providing capacity development and technical expertise in a wide range of disciplines. As discussed under KPI 3 below, the Director-General spearheaded a Strategic Thinking Process that resulted in the adoption of a reviewed Strategic Framework in 2013. The document review found that the framework is fully aligned with FAO's mandate.
MI 2.2 – The MO aligns its strategic plan to the quadrennial comprehensive policy review (QCPR) guidance and priorities.	--	6	This MI, which was assessed by document review only, was rated very strong. The Quadrennial Comprehensive Policy Review (QCPR) resolution is binding for UN funds and programmes; however, while specialised agencies are encouraged to abide by this resolution, they are not required to do so. FAO is the only one of six specialised agencies that has aligned its strategic planning document to the QCPR and that is also reporting to its Governing Bodies on this resolution (UN General Assembly Economic and Social Council, 2014 [01], p. 33). In aligning its reviewed Strategic Framework with the QCPR, FAO has particularly emphasised south-south co-operation for capacity development of member countries and their development partners. Under its Functional Objective 8, one of four functional objectives that measure organisational effectiveness, FAO also includes a number of key performance indicators to monitor the organisation's performance in terms of south-south co-operation. As advocated in the QCPR, the reviewed Strategic Framework also puts a special emphasis on the transition from relief to development activities (FAO Programme Committee/Finance Committee, 2014 [02]). This is an improvement over FAO's past results framework which addressed work in emergencies as stand-alone operations.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
	Base (un-weighted)	300	52	23	175	50	300	52	23	175	50
2.1	The MO's corporate/organisation-wide strategy is based on a clear definition of mandate.	4.52	4.52	--	--	--	0.87	0.87	--	--	--
Sub-MI	i) FAO has a clear mandate.	4.71	4.71	--	--	--	0.92	0.92	--	--	--
Sub-MI	ii) FAO's organisation-wide strategy is aligned with its mandate.	4.34	4.34	--	--	--	0.82	0.82	--	--	--
MI 2.2	The MO aligns its strategic plan to the quadrennial comprehensive policy review (QCPR) guidance and priorities.	--	--	--	--	--	--	--	--	--	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 2.1	The MO's corporate/organisation-wide strategy is based on a clear definition of mandate.	2	3%	2	3%	--	--	--	--	--	--
Sub-MI	i) FAO has a clear mandate.	1	2%	1	2%	--	--	--	--	--	--
Sub-MI	ii) FAO's organisation-wide strategy is aligned with its mandate.	2	4%	2	4%	--	--	--	--	--	--
MI 2.2	The MO aligns its strategic plan to the quadrennial comprehensive policy review (QCPR) guidance and priorities.	--	--	--	--	--	--	--	--	--	--

3.1.3 KPI 3: Corporate focus on results

KPI 3: The MO's corporate/organisation-wide strategies are results-focused.

This KPI was assessed by document review only.

In 2012, the new Director-General spearheaded the Strategic Thinking Process to revise FAO's Strategic Framework. FAO analysed global trends and challenges and its comparative advantages and reformulated a set of seven core functions. Based on these global trends and challenges, comparative advantages and core functions, FAO intends to move away from scattered programming and has formulated five strategic objectives that provide clearer direction for the organisation.

The Strategic Thinking Process was well warranted. One of the main critiques of the Independent External Evaluation (IEE) in 2007 was that, although its core mandate remained relevant, FAO needed to further define its comparative advantage and clarify its core functions to remain relevant in a changing environment (FAO Conference, 2008 [01], p. 158). Indeed, one of the common findings that emerged from past evaluations was the "lack of corporate vision, strategies and plans of action in the different areas of work" (FAO Office of Evaluation, 2013 [05], p. 4).



--" indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 3.1 – Results frameworks have causal links from outputs through to outcomes and impact.	--	5	This MI, which was rated by document review only, was rated strong. FAO's previous development results framework (DRF) for 2010-13 contained 11 strategic objectives, 49 organisational results and 133 indicators. Its management results framework (MRF) included 2 functional objectives, 5 organisational results and 41 indicators. The high number of strategic objectives, as well as inconsistencies in the formulation of organisational results (which mixed outputs and outcomes) posed significant challenges to organisation-wide monitoring and reporting on results. A number of evaluations noted the lack of a results chain that linked outputs through to outcomes and strategic objectives (FAO Office of Evaluation, 2014 [03], p. xii; FAO Office of Evaluation, 2012 [04], p. xv; FAO Office of Evaluation, 2013 [08], p. lxvi). Moreover, each strategic objective represented a thematic sector of FAO's work; this silo approach likely contributed to technical departments working in isolation, thereby impeding the organisation to work cohesively to reach common goals. As part of the Strategic Thinking Process, an external RBM reference group was called upon to support the revision of FAO's organisation-wide results framework. The revision has led to a more cohesive development results framework with 5 strategic objectives, 17 organisational outcomes (measured by 34 indicators), and 48 outputs (measured by 50 indicators). Each outcome is measured by approximately one to three outcome indicators and each output is measured by approximately one output indicator. There is also a clear distinction between output and outcome level indicators. The reviewed Strategic Framework should contribute to breaking the silo culture in which FAO used to operate, by spreading the work of technical departments across all five strategic objectives. The revised results framework also includes a Strategic Objectives Action Plans that elaborates on the results chain connecting FAO's activities to outputs, outcomes and strategic objectives. This results chain illustrates plausible links between the outputs, for which FAO is accountable, and the organisational outcomes (FAO Conference, 2013 [07]). (As in other UN agencies, FAO outputs are often framed more as first-level outcomes that reflect changes in national capacities. This approach to defining outputs raises the bar in terms of accountability.) Evaluations looking at programming between 2000 and 2012 consistently underlined the lack of a connection between FAO's normative and operational work (FAO Office of Evaluation, 2013 [05], p. 5). Now in its Strategic Objectives Action Plans, FAO explains how its normative work will contribute to results on the ground (FAO Conference, 2013 [07]). These action plans are further operationalised through High-Level Strategic Objective Work Planning and

MI	Overall survey mean score	Document review rating	Observations
			Operational Work Planning (OWP) (FAO, 2013 [27]). FAO has put in place mechanisms to ensure delivery of its reviewed Strategic Framework. Each strategic objective (SO) has a Strategic Objective Co-ordinator (SOC) and Strategic Objective Core Team that are responsible for establishing the OWP, mobilising voluntary contributions, co-ordinating the contribution of units to outputs and outcomes, and monitoring implementation of the programme of work for their SO. An implementation matrix produced by the Corporate Programme Monitoring Board (CPMB) also identifies the roles and responsibilities of Delivery Managers, Regional Representatives, and heads of technical departments in implementing the reviewed Strategic Framework (FAO, 2014 [12]). Finally, the revised results framework includes four functional objectives that measure FAO's organisational effectiveness: Functional Objective 8 on outreach (partnership, communication, resources mobilisation and south-south cooperation; Functional Objective 9 on information technology; Functional Objective 10 on internal governance, oversight and direction; and Functional Objective 11 on efficient and effective administration. Moreover, the revised results framework now includes a new objective, Objective 6, which measures the technical quality of its services, as well as the capacity of member countries to use, collect, analyse and disseminate data, which are important factors that constitute the enabling environment in which FAO is to achieve its strategic objectives. As highlighted in KPI 4, Objective 6 also measures the extent to which FAO cross-cutting themes (i.e. gender equality and governance) are mainstreamed. FAO has made notable improvements in its corporate results framework and is rated strong by document review on this micro-indicator.
MI 3.2 – Standard performance indicators are included in organisation-wide plans and strategies at a delivery (output) and development results level.	--	4	This MI, for which FAO received a rating of adequate, was assessed by document review only. As highlighted in MI 3.1, the quality of the indicators in the reviewed Strategic Framework represents an improvement over that of indicators in the previous strategic framework, and there is now a clear distinction between outcome and output level results statements. However, there are some aspects of FAO's approach to measurement of progress that are either not clear, or are still under development: • Quality of indicators: Overall, the quality of indicators in the reviewed Strategic Framework has improved compared to those in the previous strategic framework. However, there are still a number of indicators that are not SMART (specific, measurable, achievable, realistic, time-bound). • Target setting: The documents reviewed do not provide a clear explanation of how FAO has set targets for each of the indicators, for end of 2015 and end of 2017. For instance, reasons for setting what appear to be low targets are unknown (i.e. for a large number of indicators, the achievement of results are targeted in only 10-15 countries for end 2017). It may well be that for these indicators the efforts are focused in a very small number of countries; however, there is no supporting information. In addition, there are examples where targets for both outcome and output indicators were set lower in 2017 than 2015; does this represent a winding down of efforts in this area? Some further explanation would be beneficial. Finally, there are three outcome indicators (out of 34) for which targets have not yet been established (FAO Programme Committee/Finance Committee, 2014 [02]). • Baselines: A corporate baseline survey to gather baseline data for the updated results framework was recently carried out in 39 countries, which is reportedly statistically representative of the population of the 149 countries where FAO operates. Some additional focus countries will be included in the Phase II baseline study to accommodate specific situations. FAO's updated results framework for 2014-17 specifies that, given that the unit of analysis for most outcome indicators is the number of countries that have improved, all baselines have been set at zero, and data gathered through the corporate baseline survey will serve as a point of reference against which to measure progress (FAO Programme Committee/Finance Committee, 2014 [01], pp. 4-5). However, there are also a number of indicators in FAO's results framework that do not measure <i>improvement</i> in countries but rather the existence of a strategy, plan or policy (e.g. outcome indicator 2.2.A) or commitment to an international instrument (2.3.a) or participation in standards setting (4.1.B) (FAO Programme Committee/Finance Committee, 2014 [02]).

MI	Overall survey mean score	Document review rating	Observations
			• Measurement strategy: In 2014, FAO developed for the first time methodological notes and indicator compendiums for all strategic objectives that will be used to measure progress toward established targets (FAO, 2014 [51]). Work is ongoing to develop such methodologies for Objective 6 and the functional objectives. The analytical work undertaken by FAO to develop these methodologies is laudable, though work is still needed to improve the consistency of the notes across strategic objectives. There is some room for improving the consistency of methodological notes across strategic objectives. Given these are very recent, they will also need to be tested to ascertain that they provide effective guidance for monitoring and reporting on results. FAO has already shared the methodological notes for output indicators with departments and country offices in view of the 2014 Mid-term Synthesis Report (MTR) and will do a stock-taking exercise and extract lessons learned about this new measurement strategy. • Unit of analysis: The main unit of analysis for most outcome indicators is the number of countries that have improved in a certain area. Although FAO has a detailed methodology for measuring “improvement” in the compendium indicators for all strategic objectives, it may be difficult to understand from looking at the indicators in future Programme Implementation Reports what has really changed in countries. Understanding results requires considerable contextualisation and finding ways to do this may prove challenging given the size and scope of FAO’s portfolio. This might also include understanding why a country may not have progressed and in fact may have regressed.

3.1.4 KPI 4: Focus on cross-cutting priorities

KPI 4: The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or considered important by MOPAN.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 4.1 – Gender equality	4.21	4	Donors at headquarters and in-country, as well as direct partners and representatives of peer organisations were asked whether FAO sufficiently mainstreams gender equality in its work. Overall the majority of respondents (64%) rated the organisation adequate or above. However, direct partners responded more positively than the three other groups, and these differences are statistically significant. The document review also rated FAO as adequate on this MI. FAO's previous Strategic Framework (for the 2010-13 strategic cycle) included a stand-alone Strategic Objective (SO-K) on Gender Equity in access to resources, goods, services and decision-making in the rural areas; however, the other 10 strategic objectives did not explicitly include considerations on gender equality and FAO incorporated gender equality to varying extents in its policies and programming. The <i>Evaluation of FAO's role and work related to Gender and Development</i> (2011) was critical of gender equality mainstreaming across FAO. Since then, the organisation has made significant efforts to put in place practices and systems for gender equality mainstreaming. In the reviewed Strategic Framework, SO-K was removed as a separate objective and gender equality was formally adopted as a cross-cutting theme in all five strategic objectives (FAO Conference, 2013 [05]). Strategic Objective Teams, all of which have been assigned a gender expert, have also developed a work plan explaining how FAO's products and services will contribute to gender equality mainstreaming within their SO. Indicators that measure the achievement of output and outcome indicators in the reviewed Strategic Framework are disaggregated by gender. Moreover, Objective 6 of FAO's reviewed Strategic Framework also includes a number of key performance indicators that measure gender equality mainstreaming by monitoring a set of key interventions related to gender minimum standards and the UN System-wide Action Plan on gender equality (UN-SWAP). In 2012, FAO also introduced as part of its Project Cycle Guidelines the mainstreaming of gender equality into all phases of the project cycle (FAO, 2012 [01], p. 5). FAO's first Policy on Gender Equality was adopted in 2012. According to UN Women's latest report on UN-SWAP (2013), FAO's new Policy on Gender Equality was cited as good practice for including a timeframe for implementation, an accountability framework and institutional mechanisms for implementation and oversight (UN Women, 2013 [01], p. 10). However, the 2013 validation report of the follow-up to the <i>Evaluation of FAO's role and work related to Gender and Development</i> foresaw challenges in the implementation of the policy as it had not been fully understood by all staff across the organisation at the time of the validation report because it was still being rolled out when the organisational changes were launched in early 2013 (FAO Programme Committee, 2013 [10], p. 10). Regarding accountability and oversight, all organisational units, regional, sub-regional and country offices are required to report on results related to gender equality. The Office of the Inspector-General is also integrating considerations for gender equality in audits and will implement by 2015 an annual assessment of FAO's capacity to meet its gender equality mandate (FAO, 2014 [08], p. 29). The Office of Evaluation (OED) has systematically been assessing FAO's work on gender equality in evaluations and has recently revised its internal peer review mechanism to strengthen quality assurance for gender equality mainstreaming in

MI	Overall survey mean score	Document review rating	Observations
			evaluations (FAO Office of Evaluation, n.d. [14]). FAO has budgeted USD 21.8 million for gender equality mainstreaming in its Programme of Work and Budget 2014-15, which represents 2.1% of FAO's overall budget for the period (FAO Conference, 2013 [06], p. 92). FAO has also introduced in its PIRES in 2014 a Gender Marker whereby it is mandatory to code all products and services in order to track progress on gender equality, including budgetary allocations (FAO, n.d. [24], p. 1). To ensure implementation of its Policy on Gender Equality, FAO established a network of gender focal points (GFP), composed of 48 focal points at headquarters and 68 in decentralised offices. Gender focal points have established terms of reference and are expected to dedicate 20% of their time to their GFP function. Conversely, recent evaluations have noted that gender experts' posts have been vacant for some time in 1) Latin America and the Caribbean (FAO Office of Evaluation, 2014 [04], p. 60); 2) Asia and the Pacific (FAO Office of Evaluation, 2014 [05], p. 49); and 3) Africa (FAO Office of Evaluation, 2013 [06], p. xvi). Moreover, the evaluations all have noted significant room for improvement regarding gender equality mainstreaming, notably regarding the integration of gender equality in the CPFs, which means that FAO's recently instituted practices and systems on gender equality are not yet showing results on the ground.
MI 4.2 – Environmental policy and environmental assessment practices	4.39	5	All respondent groups were surveyed on whether FAO sufficiently promotes sustainable management of natural resources in its work, and the majority (79%) provided an overall rating of adequate or above. The document review rated FAO as strong. Environment and the sustainable management of natural resources constitute an integral part of FAO's reviewed Strategic Framework, which outlines three Global Goals, one of which is the "sustainable management and utilisation of natural resources, including land, water, air, climate and genetic resources for the benefit of present and future generations" (FAO Conference, 2013 [05], p. 3). Considerations for the environment and climate change are mostly, though not exclusively, included under Strategic Objective 2 which aims to increase productivity in all agricultural sectors (i.e. crop, livestock, fisheries) in a sustainable manner, and also under Strategic Objective 5 which aims to increase the resilience of livelihoods to threats and crises, notably by mitigating the risks of climate change on agricultural production. In 2012, FAO also introduced as part of its Project Cycle Guidelines the mainstreaming of environmental sustainability into all phases of the project cycle (FAO, 2012 [01], p. 5). Under FAO's new organigram, which is structured around three main pillars (operations, economic and social development, and natural resources), all technical departments are now grouped under a new natural resources pillar which is led by the Deputy-Director General / Coordinator for Natural Resources (DDN). This reorganisation will allow FAO to leverage and better co-ordinate technical expertise in the departments within a context of natural resources management (FAO Conference, 2013 [06], p. 53). The technical networks formally established in 2014 are also responsible for sharing knowledge on natural resources management across the organisation (FAO, 2014 [20]). Moreover, decentralised offices have also been resourced with experts in crops, fisheries and aquaculture; forestry; land/water/natural resources; and climate change, though interviews noted a need for more specialists and staff vacancies in existing posts. FAO has also been very active in developing and promoting concepts aimed at increasing agricultural productivity while safeguarding natural resources, such as Climate-smart agriculture and Conservative Agriculture, and has been at the forefront of global debates, including Rio +20, advocating for the sustainable intensification of agricultural production. FAO is also spearheading global initiatives such as the Save and Grow Initiative and the Blue Growth Initiative which focus on sustainable intensification of production in 1) crop and 2) fisheries, as well as the Global Soil Partnership, which focuses on sustainable soil management (FAO Conference, 2014 [01], p. 38). FAO also does upstream work to identify the impact of agricultural practices on climate change and mitigation opportunities; for instance FAO has carried out research to better understand the relationship between livestock production and climate change and in 2013 published <i>Tackling Climate Change Through Livestock: A Global Assessment of Emissions and Mitigation Opportunities</i> (FAO, 2013 [30]). FAO has been working with other UN funds and programmes for the environmental sustainability of agriculture. FAO is one of three UN agencies that are implementing the United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation (UN-REDD) in Developing Countries, a programme for which FAO builds the capacities of member countries for measuring, reporting and verification (MRV) for REDD. FAO also implements many large projects financed by the Global

MI	Overall survey mean score	Document review rating	Observations
MI 4.3 – Good governance	4.25	5	Environment Facility in areas such as biodiversity, climate change, land degradation and sustainable forest management. All survey respondent groups rated FAO adequate overall for sufficiently promoting the principles of good governance in its work. Direct partners, however, had a more positive view than the three other respondent groups, and these differences are statistically significant. The document review also rated FAO as adequate. As a normative agency, FAO assumes a number of core functions that are explicitly linked to good governance at global, regional and country levels. These functions include: 1) facilitate and support countries in the development and implementation of normative and standard-setting instruments such as international agreements, codes of conduct, technical standards and others; 2) facilitate, promote and support policy dialogue at global, regional and country levels; 3) advise and support capacity development at country and regional level to prepare, implement, monitor and evaluate evidence-based policies, investments and programmes. In the reviewed Strategic Framework, FAO aims to tackle the governance challenges facing food security and nutrition, livelihoods and the management of natural resources by mainstreaming governance across all five strategic objectives. Objective 6 of the reviewed Strategic Framework also includes a number of key performance indicators to measure the quality of FAO services for more effective and inclusive governance (FAO Conference, 2013 [05]). To ensure adequate mainstreaming of governance in its reviewed Strategic Framework, the Assistant Director-General of the Economic and Social Development Department (ADG-ES) has been assigned corporate responsibility for FAO's work in policy support and governance. A new Governance Unit and Governance Support Team (GST) were also established in 2014 under his oversight. Co-ordination modalities for the GST are still being discussed but would most likely constitute an informal network of focal points across the organisation (FAO, 2014 [24], p. 2). At the global level, FAO is engaged in major governance mechanisms such as the Committee on World Food Security (CFS) and the UN System High Level Task Force on Global Food Security to strengthen food system governance. FAO has contributed to the development and adoption of a number of international instruments and guidelines on good governance including the Voluntary Guidelines on the Responsible Governance of Land, Fisheries and Forests in the Context of National Food Security, the Voluntary Guidelines to Support the Progressive Realisation of the Right to Adequate Food in the Context of National Food Security, and the Code of Conduct for Responsible Fisheries. Indeed, the Evaluation of FAO's Role and Work in Food and Agriculture Policy (2012) noted that FAO's technical departments had done some remarkable work bringing governance problems in fisheries, forestry and crop production to the global agenda but also suggested that more work could be done to provide policy support and address governance problems impeding policy implementation for food and nutrition security in member countries (FAO Office of Evaluation, 2012 [08], p. 76). While the 2012 evaluation noted very good examples of FAO's role in global policy areas, it also highlighted deficiencies in FAO's policy support to member countries. The evaluation prompted a series of changes, including the break-up of FAO's Policy Division as part of a comprehensive overhaul of the policy function within FAO. Though it is too early to fully assess the impact of these changes on FAO's governance work, particularly at the country office level, the prospects are positive.
MI 4.4 – Human rights-based approaches	4.55	5	All respondent groups were asked whether FAO sufficiently promotes the right to food in its work; the majority (83%) provided a rating of adequate or above. The document review also rated FAO as strong on this MI. FAO has adopted a human rights approach towards food security and nutrition with a particular emphasis on the right to food, decent work, and the reduction of child labour in agriculture. In 2004, FAO adopted the Voluntary Guidelines to support the progressive realisation of the right to adequate food in the context of national security through which it has been promoting the Right to Food in member countries ever since. In 2004 FAO established a partnership with the ILO to address decent work and child labour in agriculture. Under this partnership, both entities have published a number of guidelines and best practices for stakeholders, notably on addressing child labour in fisheries and aquaculture. In 2012, as part of its Project Cycle Guidelines, FAO introduced the mainstreaming of human rights-based approaches (HRBA)/right to food/decent work into all phases of the project cycle (FAO, 2012 [01], p. 5). It has also produced guidelines for country level staff to address rural employment and decent work in projects and country activities. In its reviewed Strategic Framework, FAO promotes the incorporation of the right to food into national policies under Strategic

MI	Overall survey mean score	Document review rating	Observations
			Objective 1 aimed at eradicating hunger, food security and malnutrition, as well as decent work in the agricultural sector under Strategic Objective 3 aimed at reducing rural poverty (FAO Conference, 2013 [05]). Moreover, under the impetus of the new Director-General, FAO has integrated work in social protection for farmers and rural households as an important component for achieving hunger reduction (Strategic Objective 1), rural development (Strategic Objective 3), and resilience (Strategic Objective 5). To ensure proper implementation, FAO has recently created the Social Protection Division under the Economic and Social Development Department and has increased resources in the area of social protection in its Programme of Work and Budget for 2014-2015 (FAO Council, 2013 [13], p. 1). In terms of monitoring and evaluation, in its questionnaire for internal peer reviews the OED recently integrated criteria to assess the extent to which considerations for human rights have been integrated into evaluations. The assessment team sampled a number of recent evaluations and found that FAO generally integrates human rights aspects in projects/programmes (FAO Office of Evaluation, n.d. [14]).

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
Base (un-weighted)		300	52	23	175	50	300	52	23	175	50
MI 4.1	Gender equality	4.21	3.85	4.43	4.55	4.01	1.10	1.17	0.91	0.98	1.18
MI 4.2	Environmental policy and environmental assessment practices	4.39	4.49	4.09	4.46	4.49	0.83	0.77	0.78	0.95	0.75
MI 4.3	Good governance	4.25	4.00	4.18	4.68	4.09	0.97	0.89	0.98	1.03	0.81
MI 4.4	Human rights-based approaches	4.55	4.59	4.11	4.87	4.63	0.96	0.98	0.98	0.89	0.85

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 4.1	Gender equality	36	17%	6	12%	5	23%	12	7%	13	25%
MI 4.2	Environmental policy and environmental assessment practices	22	10%	5	10%	3	16%	9	5%	5	10%
MI 4.3	Good governance	32	17%	8	15%	6	27%	8	5%	10	20%
MI 4.4	Human rights-based approaches	24	10%	6	12%	3	10%	10	6%	5	10%

3.1.5 KPI 5: Country focus on results

KPI 5: The MO's country strategies are results-focused.

As part of its Immediate Plan of Action (IPA), FAO has put in place a number of reforms focusing on results-based management at the country level (FAO Office of Evaluation, 2007). In 2010 FAO's approach to country programming was evaluated with specific emphasis on the National Medium-Term Priority Framework (NMTPF) introduced in 2005 as the main planning tool at the country level (FAO Office of Evaluation, 2010). While the evaluation confirmed the important role of the NMTPF it also recommended changing the name of the NMTPF to the Country Programming Framework (CPF) and suggested that the CPF planning process should be fully integrated with the Strategic Framework, the United Nations Development Assistance Framework (UNDAF), and national development strategies to increase its relevance and potential impact. It further called for better harmonisation and synchronisation of the CPF with the country planning cycle and the UNDAF process. Since 2012 FAO's new strategic planning approach at the country level, the Country Programming Framework (CPF), has gradually replaced the NMTPFs as FAO's main tool to define its medium-term response to the assistance needs of its member countries. The introduction of RBM principles into the CPFs and the revised guidelines is an important shift in terms of how FAO prioritises, identifies, plans, implements and reports on its work at the country level. Five of the six countries reviewed by MOPAN this year now have CPFs in place; the Cambodia CPF is expected to be finalised in 2016. CPFs are aligned with national processes and the UNDAF cycle, which explains why some countries have not yet made the transition to the CPF as they are waiting for the new national strategic cycle to begin. According to FAO's March 2014 status report on CPF formulation, 74% of the expected CPFs (149 in all) had been developed by March 2014.

According to three recent evaluations of FAO's regional and sub-regional offices (for Africa, Asia and the Pacific, and Latin America and the Caribbean), the organisation's new approach to country programming has been well received in the majority of countries (FAO Office of Evaluation, 2014 [05]) (FAO Office of Evaluation, 2014 [04]; FAO Office of Evaluation, 2013 [06]). The evaluations were generally positive regarding CPFs as a priority setting tool and concluded that most development partners, including governments, found them useful. However, in some instances the strategic objectives were seen as too ambitious and difficult to achieve. The evaluations also mentioned that while the funding requirements for most of the CPFs were high, not all of them had been followed up by appropriate resource mobilisation strategies. It was also noted that CPF development was a learning process for some governments and partners in terms of setting realistic targets.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- equal weight is given to the views of each of the respondent groups
- equal weight is given to each of the countries where the survey took place
- equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 5.1 – Country results frameworks have causal links from outputs through to outcomes and impact.	--	4	This MI, which was rated as adequate, was assessed by document review only. While all six countries sampled have results frameworks, there are variations in format and quality. The Country Programming Framework (CPF) for Tanzania is still in draft format. Cambodia still relies on the NMTPF format, which is less results-focussed than the CPFs; it does not include baselines and targets and has much less focus on outcome level results. However, a more results-based CPF is currently under development. Most of the country strategies implicitly describe the anticipated results chain by including both output and outcome level results statements in a logical sequence in their results frameworks. Five of the six country strategies (i.e. all the CPFs) include results frameworks with outputs linked to overall outcomes. The CPFs for five of the six countries contain statements of both outputs and outcomes and they are generally correct, although some of the output statements in the draft CPF for Tanzania more closely

MI	Overall survey mean score	Document review rating	Observations
			resemble immediate outcomes. The NMTPF for Cambodia does not include outcome statements. All strategies provide a solid description of the contextual factors and major development issues related to FAO's mandate and the expected use of development instruments to tackle these issues. However, none of the strategies or results frameworks provide an <i>explicit</i> and convincing analysis of how and why the specific outputs will lead to development outcomes and eventually impact. Further, none of the results frameworks contain all the basic elements normally associated with a theory of change. In order to improve its country strategies and results frameworks FAO has developed a quality assurance mechanism to ensure the relevance (strategic focus and priorities), feasibility (financial and technical) and sustainability of CPFs. In addition, FAO notes that it is instituting a standard annual reporting mechanism on indicators which in time may facilitate adopting more realistic strategic objectives at country level. It has also been delivering a learning programme "the Effective Country Programming Learning Programme (ECP-LP)" since March 2012 to increase staff awareness of the new approach to country programming. The corporate results framework with its focus on country-level results at output and outcome levels provides results information for country –level analysis and progress monitoring. FAO notes that this information is starting to be used by FAORs to guide CPR reviews, revisions and new formulations. FAO management notes that the Dashboard project, when implemented, will pull this information together and provide SO, regional and country level results information with financial information on operational effectiveness to guide future planning.
MI 5.2 – Performance indicators are included in country plans and strategies at a delivery (output) and development results level.	--	4	This MI was also assessed by document review only, which rated FAO as adequate for the quality of indicators in the Country Programming Frameworks. Most of the indicators in the six country strategies assessed, including the NMTPF for Cambodia, adhere to the OECD/DAC quality standards for development, but not <i>all</i> of them are SMART (Specific, Measurable, Attainable, Realistic and Timely). The document review identified several indicators that were more milestones than indicators and some that were not well defined, which made them difficult to measure. Some results frameworks also use overly complex results statements (e.g. the CPF for Ecuador) that make it difficult to understand the objectives FAO intends to achieve and the link between the results statement and the indicator. Ecuador's 2013-2017 NMTPF provides an example of such an indicator: "4.9 Desarrolladas estrategias de Mitigación y Adaptación al Cambio Climático, que disminuyan las emisiones de GEI y la vulnerabilidad frente al cambio climático (procesos de resiliencia), provenientes de los sectores energéticos y productivos, que favorezcan la captura y almacenamiento de carbono, a través de la formulación de iniciativas y metodologías aterrizadas en territorio, el buen uso de los recursos marino y costeros, la investigación y la implementación de tecnologías, a través del rescate e innovación de saberes ancestrales que incluyen el uso de policultivos, variedades locales tolerantes a la sequía, método de cosecha de agua, prácticas de conservación del suelo, sistema de producción agroforestales y silvopastoriles, recuperación de áreas forestales degradadas como sumideros de carbono para mitigar los efectos al cambio climático y otras técnicas agroecológicas. » (FAO, 2013 [21], p. 29) More specifically the document review of country strategies for the six countries found that : • The majority of indicators for Bangladesh were SMART; only one did not adhere to this criterion as it is not measurable: "Extent and nature of dialogue between production and conservation interests supported by FAO." • Some but not all indicators for Cambodia were SMART. Some were not measurable and some were milestone or output statements rather than indicators per se. One example of the latter is: "By 2012, database and website designed, established and tested." • Some of the indicators used for the DRC results framework are SMART; not all of the indicators have targets. • All the indicators used the Kenya CPF adhere to the OECD/DAC standards. • Some of the indicators for Tanzania are SMART. However, examples of "non-SMART" indicators include: "Number of agriculture value chains where decent work standards are set and applied; and "Measurement of knowledge retention and use of modern agribusiness services." These indicators do not define what "decent work standards" include or how

MI	Overall survey mean score	Document review rating	Observations
			knowledge retention should be measured.
			A few of the indicators for Ecuador are SMART. However, as indicated above, some of the results statements are overly complex which makes it difficult to assess whether the corresponding indicator is attainable or realistic.
MI 5.3 – Country strategies are developed through consultation with direct partners.	4.68	--	This MI was assessed by survey only. Direct partners were asked whether FAO consults with them when developing Country Programming Frameworks and the majority (59%) rated FAO strong or very strong.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
Base (un-weighted)		300	52	23	175	50	300	52	23	175	50
MI 5.1	Country results frameworks have causal links from outputs through to outcomes and impact.	--	--	--	--	--	--	--	--	--	--
MI 5.2	Performance indicators are included in country plans and strategies at a delivery (output) and development results level.	--	--	--	--	--	--	--	--	--	--
MI 5.3	Country strategies are developed through consultation with partners.	4.68	--	--	4.68	--	1.09	--	--	1.09	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 5.1	Country results frameworks have causal links from outputs through to outcomes and impact.	--	--	--	--	--	--	--	--	--	--
MI 5.2	Performance indicators are included in country plans and strategies at a delivery (output) and development results level.	--	--	--	--	--	--	--	--	--	--
MI 5.3	Country strategies are developed through consultation with partners.	9	5%	--	--	--	--	9	5%	--	--

PERFORMANCE AREA II: OPERATIONAL MANAGEMENT

3.1.6 KPI 6: Transparent and predictable funding

KPI 6: The MO's development co-operation funding is transparent and predictable.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 6.1 – The MO's criteria for allocating resources are transparent.	3.98	4	Donors at headquarters and direct partners were asked two questions related to this MI: i) whether FAO makes readily available its criteria for allocating resources, and ii) whether FAO allocates resources according to these criteria. Donors at headquarters responded more negatively than direct partners on the first question about the availability of criteria, and this difference is statistically significant. There was however strong agreement on the second question across the two groups that FAO's performance in allocating resources according to criteria is adequate. The document review rated FAO as adequate on this MI. 41% of FAO's Programme of Work and Budget is financed through assessed contributions (core resources) while 59% is financed through voluntary contributions provided by members and other resource partners. FAO's field programming is financed mostly through voluntary contributions, as well as resources from its Technical Cooperation Programme (TCP) which make up approximately 13% of assessed contributions (FAO Conference, 2013 [06], p. 48). In 2009, FAO revised its criteria for the allocation of resources under its Technical Cooperation Programme (TCP). There are currently two sets of ten criteria each that govern the allocation of resources for development and emergency TCP assistance (the latter should account for 15% of overall TCP resources allocated). While the allocation of TCP resources appears to be fair and equitable in Asia and the Pacific (FAO Office of Evaluation, 2014 [05], p. xi), the Evaluation of FAO's Regional and Sub-regional Offices for Latin America and the Caribbean (2014) found that the management of TCP resources was not transparent and that unclear TCP criteria led to a lack of prioritisation and dispersion of resources in the region. The evaluation also found low correlation between the TCP resources allocated and levels of poverty and malnutrition in the region (FAO Office of Evaluation, 2014 [04], pp. 48-52). FAO notes that it has taken actions to address these shortcomings. It should also be noted that FAO recently started using a new tool, the Ex-Post Assessment (EPA) for TCP projects, which should enable the organisation to more closely monitor and report on the application of TCP criteria (FAO Programme Committee/Finance Committee, 2012 [01]). As per FAO's corporate Resources Mobilization and Management Strategy (RMMS), voluntary contributions are mobilised and allocated for purposes that are linked to the achievement of results outlined in its reviewed Strategic Framework (FAO Programme Committee/Finance Committee, 2011 [01]). Through this strategy, FAO aims to mobilise more un-earmarked, or slightly earmarked, resources from members and development partners (FAO

MI	Overall survey mean score	Document review rating	Observations
			Programme Committee/Finance Committee, 2011 [01]). FAO recently established a number of funding mechanisms to channel voluntary contributions, namely the Multipartner Programme (FMM), the Multidonor Programme (MUL) and the Umbrella Programme. In an independent evaluation in 2013, the FMM was seen as a potentially very important funding mechanism for channelling un-earmarked funding, though several areas still need to be strengthened for it to be fully functional. Since its creation in 2010, three resource partners have contributed to this funding mechanism, for a total of USD 34 million (FAO Office of Evaluation, 2013 [10]). FAO's CPMB Working Group on Resources Mobilisation, established at the beginning of 2014, is mandated to review the processes for allocating un-earmarked or slightly earmarked contributions. However, criteria for allocating such resources do not appear to be well known to external stakeholders. Enhancing their transparency might encourage donors to provide more un-earmarked contributions through FAO's new funding mechanisms.
MI 6.2 – The MO predicts its development cooperation funding.	3.95	--	This MI was rated by survey only. Half of donors at headquarters (50%) rated FAO adequate or above for adopting measures to make its funding more predictable, while nearly one third (29%) provided ratings of inadequate or below. Likewise, the majority of direct partners (58%) rated FAO adequate or above when asked whether FAO provides its funding to countries and other partners according to schedule.

Survey mean scores and standard deviation, overall and by respondent group

Survey mean scores and standard deviation, overall and by respondent group											
Survey mean scores							Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
Base (un-weighted)		300	52	23	175	50	300	52	23	175	50
MI 6.1	The MO's criteria for allocating resources are transparent.	3.98	3.48	--	4.45	--	1.16	0.99	--	1.12	--
Sub-MI	i) FAO makes readily available its criteria for allocating resources.	3.90	3.36	--	4.45	--	1.16	0.96	--	1.10	--
Sub-MI	ii) FAO allocates resources according to the criteria mentioned above.	4.05	3.59	--	4.45	--	1.16	1.01	--	1.14	--
MI 6.2	The MO predicts its development cooperation funding.	3.95	3.78	--	4.12	--	1.12	1.03	--	1.20	--
Sub-MI	i) FAO is adopting measures to make its funding more predictable.	3.78	3.78	--	--	--	1.03	1.03	--	--	--
Sub-MI	ii) FAO provides its funding to countries and other partners according to schedule.	4.12	--	--	4.12	--	1.20	--	--	1.20	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 6.1	The MO's criteria for allocating resources are transparent.	42	20%	12	22%	--	--	31	18%	--	--
Sub-MI	i) FAO makes readily available its criteria for allocating resources.	36	16%	8	15%	--	--	28	17%	--	--
Sub-MI	ii) FAO allocates resources according to the criteria mentioned above.	48	24%	15	29%	--	--	33	19%	--	--
MI 6.2	The MO predicts its development cooperation funding.	23	21%	11	21%	--	--	35	21%	--	--
Sub-MI	i) FAO is adopting measures to make its funding more predictable.	11	21%	11	21%	--	--	--	--	--	--
Sub-MI	ii) FAO provides its funding to countries and other partners according to schedule.	35	21%	--	--	--	--	35	21%	--	--

3.1.7 KPI 7: Results-based budgeting

KPI 7: The MO engages in results-based budgeting.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 7.1 – Budget allocations are linked to results.	3.55	4	Donors at headquarters were asked whether FAO sufficiently links its budget to expected results; 44% rated FAO adequate or strong and 33% provided ratings of inadequate. The assessment of the MI, based on review of documents, focuses on the corporate budget as presented in the Programme of Work and Budget (PWB) and documents that describe and guide Operational Work Planning 2014-2015. The assessment team also considered progress made in results-based budgeting at a project level, which is included in FAO's Field Programme Monitoring Information System (FPMIS). Corporate budget: Budget formulation, preparation, and approval are complex processes in FAO. In its Programme of Work and Budget for 2014-2015, FAO introduced a revised structure for its budget chapters in order to align with the new results framework and support the implementation of actions associated with each strategic objective, as well as the other elements of its results framework (FAO Conference, 2013 [06]). The PWB provides an integrated presentation of assessed budget (i.e. resources provided by the assessed contributions of member states) and an estimate of voluntary contributions. For 2014-2015, the total budget is USD 2.45 billion. The budget structure is complex and it is difficult to discern exactly how resources are allocated to contribute to the desired results. The PWB 2014-2015 shows how resources will be distributed across 14 different areas, including 5 Strategic Objectives, Objective 6 (which focuses on technical quality, knowledge and services and includes FAO's efforts to integrate gender equality and governance in all programmes), the Technical Cooperation Programme, four functional objectives related to organisational effectiveness, and two other categories (capital expenditure and security expenditure). However, this does not provide an accurate picture of the full level of resources that are invested in Strategic Objectives. For example, resources allocated to Objective 6 (technical quality, knowledge and services) and to the Technical Cooperation Programme are considered under separate chapters, although investments in these areas also contribute to the delivery of outputs and hence to the strategic objectives (as illustrated in FAO's Results Chain Model). In the budget presented in the PWB 2014-2015, the Organisational Outcomes are also costed, as they were for the previous biennium. However, in the budget document it is not clear how the indicative allocations to outcomes (which are established in the Programme of Work and Budget) are determined, and whether these are based on estimates of costs for outputs, which are the set of deliverables that result from FAO's intervention (processes, tangible products and services). This is partly due to the planning and budget cycle at FAO: the PWB provides indicative resource allocations for operational planning purposes and it is the operational work plans for each strategic objective that will then drill down to the products and services. In the development of operational work plans for strategic objectives, teams define the products/services and the more precise resource requirements (staff time and non-staff resources)

MI	Overall survey mean score	Document review rating	Observations
			for producing agreed-upon outputs (FAO, 2013 [27]). This is the first time that operational planning (and allocation of the approved budget) has been so closely aligned with organisational results and that teams are being directed to take stock, make hard choices, and prioritise, and is a positive evolution in the planning and budgeting cycle. Project budgets: At the project level, FAO's FPMIS allows for budgets to be managed and monitored in line with the project log frame or in accordance with a specific donor format. The FPMIS allows budget to be assigned to the major components or outcome areas in the project log frame. Budget accounts for the project are also linked to the line items (General Ledger Accounts) that make up the FAO corporate budget structure (e.g. general operating expenses, non-expendable procurement, project evaluation costs). Although the tool is currently associated with these General Ledger Accounts, FAO is modifying the system so that the costs can be linked to corporate outputs.
MI 7.2 – Expenditures are linked to results.	3.38	3	When asked whether FAO's reports on results include the expenditures that are linked to achievement of those results, 42% of donors at headquarters rated FAO inadequate or below while 33% provided ratings of adequate. The document review also rated FAO as inadequate for linking expenditures to results. Financial and programmatic results are presented in the Programme Implementation Report 2012-2013, Web Annex 4. This report provides the data on each of FAO's organisational results, including baseline, target, and end result. For each organisational result it also provides the total expenditure associated with that result area. However, the information that is provided is brief, with no explanation of the expenditures, their relationship to the types of results achieved (as reported by the different indicators), and any variances from the planned allocations. In the web annexes to previous PIR (2008-2009), FAO did report on the variances. FAO is implementing a new integrated results-based budget system which should help in reporting on expenditures by results. FAO management notes that this will be reflected in the MTR 2014 and could be done in the PIR 2014-15, if Members so request.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
	Base (un-weighted)	300	52	23	175	50	300	52	23	175	50
MI 7.1	Budget allocations are linked to results.	3.55	3.55	--	--	--	0.82	0.82	--	--	--
MI 7.2	Expenditures are linked to results.	3.38	3.38	--	--	--	0.88	0.88	--	--	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 7.1	Budget allocations are linked to results.	8	15%	8	15%	--	--	--	--	--	--
MI 7.2	Expenditures are linked to results.	10	19%	10	19%	--	--	--	--	--	--

3.1.8 KPI 8: Financial accountability

KPI 8: The MO has policies and processes for financial accountability (audit, risk management, anti-corruption).

Since late 2013, FAO has made significant efforts to strengthen accountability and internal control across the organisation, and especially in decentralised offices. By December 2014, FAO is expected to have put in place an accountability policy defining the roles and senior managers and oversight mechanisms. By June 2015 FAO will establish an internal control policy framework and undertake a diagnosis of internal control to identify problems and mitigating measures that will be implemented as part of this new framework. These practices and systems should help address weaknesses in internal control identified in recent audits of decentralised offices undertaken by both the Inspector General and External Auditor (FAO Conference, 2014 [03], p. 51; FAO Office of the Inspector General, 2014 [01], p. x). Such weaknesses have been identified especially in smaller country offices with more limited capacities.

The latest report of the External Auditor (2014) also noted that FAO's Global Resources Management System (GRMS) was successfully rolled out at all levels of the organisation as planned, which is also expected to contribute to strengthening internal control. Ongoing technical support and maintenance activities are required to ensure proper functioning of the GRMS in its post-deployment phase. Management has acknowledged this and is taking steps to ensure that the needed support is provided (FAO Conference, 2014 [03], p. 40).



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 8.1 – External financial audits meeting recognised international standards are performed across the organisation (external or UN Board of Auditors).	--	6	This MI, which was assessed by document review only, was rated very strong. As per FAO's Financial Regulations (Regulation XII) outlined in the organisation's Basic Texts, external financial audits that meet International Standards on Auditing (ISA) are performed across the organisation on a biennium basis and presented to the Conference. In December 2014, the External Auditor will present to the Council its report on the audited accounts for 2012-13, which will also be presented to the Conference in June 2015. In past years, FAO had been following United Nations System Accounting Standards (UNSAS). In 2006, the General Assembly approved the adoption of the International Public Sector Accounting Standards (IPSAS), which requires the production of yearly financial statements, as the accounting standard for all UN organisations. To date, 21 of 24 UN organisations have begun producing IPSAS-compliant financial statements. Though originally envisioned for 2010, FAO is as of 2014 finalising the transition to IPSAS. As such, beginning in 2014 external financial statements will be performed in compliance with IPSAS and presented to the Governing Bodies every year (the Council will review the statements the year the Conference does not meet). However, the Inspector General reported a number of risks related to the completion of IPSAS implementation and significant efforts are currently underway to ensure successful preparation of FAO's first IPSAS-compliant financial statements (FAO Office of the Inspector General, 2014 [1], p. 3)(FAO Conference, 2014 [03], p. 23). In 2014, the Philippines' Commission on Audit, a member of the United Nations Panel of External Auditors, was

MI	Overall survey mean score	Document review rating	Observations
MI 8.2 – External financial audits meeting recognised international standards are performed at the regional, country or project level (as appropriate).	--	6	appointed as the FAO External Auditor for a period of six years. This MI was rated by document review only, which rated FAO as very strong for performing external financial audits meeting international standards at decentralised levels. According to FAO's Financial Regulations, "the External Auditor shall perform such audit of the accounts of the Organization, including all Trust Funds and special accounts, as he deems necessary in order to satisfy himself: • that the financial statements are in accord with the books and records of the Organization; • that the financial transactions reflected in the statements have been in accordance with the rules and regulations, the budgetary provisions and other applicable directives; • that the securities and moneys on deposit and on hand have been verified by certificate received direct from the Organization's depositaries or by actual count; • that the internal controls, including the internal audit, are adequate in the light of the extent of reliance placed thereon; • that procedures satisfactory to the External Auditor have been applied to the recording of all assets, liabilities, surpluses and deficits" (FAO, 2013 [01], p. 86). A risk assessment is undertaken by the External Auditor prior to determining the Programme of Work to identify countries that are most at risk and ensure that they are subject to an audit. During 2012-13, the External Auditor conducted audits in 11 decentralised offices, including 2 regional offices, 2 sub-regional offices and 7 country offices. Concerns about country-level accounting practices were raised in a recent report of the Inspector General, which indicates that 71% of the 28 country offices internally audited showed weaknesses in accounting. According to the Inspector General, if not addressed in a timely fashion, these weaknesses could expose the organisation to financial risks such as "mis-representations in FAO's financial statements" (FAO Office of the Inspector General, 2014 [01], p. 17). The roll-out of GRMS is expected to have a positive effect on internal control. Similarly, the <i>Progress Report on an Accountability and Internal Control Framework</i>, presented to the Finance Committee in November 2014, outlines plans to address these issues, including the near-term recruitment of five P3 Finance Officers in Regional Offices (FAO Finance Committee, 2014 [05], p. 8).
MI 8.3 – Internal audit processes are used to provide management/Governing Bodies with credible information.	4.22	6	When asked whether FAO's internal audits provide credible information to its Governing Bodies, 62% of donors at headquarters provided a rating of adequate or strong and 29% responded 'don't know'. On the other hand, the document review rated FAO as very strong on this MI. The 2009 Charter for the Office of the Inspector General stipulates that the Inspector General is responsible for providing oversight on FAO's programmes and operations for assessing the organisation's systems for internal control, financial management and use of assets through internal audits. The Charter safeguards the independence of the Office of the Inspector General, whose staff "shall not have operational responsibilities for activities subject to audit by that Office" (FAO Office of the Inspector General, 2009 [01], p. 2). The Inspector General establishes its Programme of Work, which is approved by the Director-General. The Inspector General reports directly to the Director-General. In 2011, FAO adopted a policy on the Disclosure of Internal Audit Reports, whereby individual audit reports are disclosed to member states upon request (FAO Committee on Constitutional and Legal Matters, 2011 [01]). In 2013, the Inspector General carried out several performance audits looking at organisation-wide practices and systems, including decentralisation and the integration of emergency operations in field offices; implementation of the Global Resource Management System and IPSAS; South-South Co-operation, etc., and also performed decentralised internal audits in 28 country offices. In 2009, FAO implemented a recommendation from the Independent External Evaluation (IEE) to increase the independence of its Audit Committee, whose membership is now fully external. This independent advisory body

MI	Overall survey mean score	Document review rating	Observations
			supports the Director-General in fulfilling its oversight function related to internal control, risk management and governance, notably by considering the work of the Inspector General and taking stock of the implementation of audit recommendations by management (FAO Finance Committee, 2014 [03]). In FAO's Programme Implementation Report, there is an indicator that tracks the implementation of audit recommendations; implementation increased from 70% at the beginning 2010 to 90% at end of 2013 (FAO Conference, 2014 [02], p. 45).
MI 8.4 – The MO implements its policy on anti-corruption.	4.35	4	When asked whether FAO implements its policy on anti-corruption, 42% of donors at headquarters rated FAO adequate or above. However, half of them answered 'don't know' to this survey question. The document review also rated FAO as adequate for implementing its policy on anti-corruption. In 2004, FAO adopted its Policy on Fraud and Improper use of the Organization's Resources which clearly delineates the responsibilities of staff, managers, the Inspector General and the External Auditor in preventing and detecting fraud. FAO's Manual Section 502 on Procurement of Goods, Works and Services also provides directives for FAO personnel to report cases of fraud and corruption in procurement (FAO, 2010 [05], pp. 9-11). The investigation unit of the Office of the Inspector General is responsible for investigating allegations of fraud and corruption, including abuse of trust, and there is compelling evidence in yearly reports of the Inspector General that such allegations are systematically investigated (FAO Office of the Inspector General, 2014 [1]). To encourage staff to denounce cases of fraud and misconduct, FAO created a hotline to report allegations and also adopted in 2011 its Whistleblower Protection Policy protecting staff against acts of retaliation (FAO Office of the Inspector General, 2011 [01], pp. 21-27). Cases of fraud and misconduct by staff are punishable by disciplinary sanctions outlined in the FAO Manual Section 330 (FAO, 2003 [01]). In 2014 FAO adopted sanctions procedures for vendors and service providers found guilty of fraud and corruption, including the possibility of debarment (FAO, 2014 [30]). According to the Office of the Inspector General, decentralisation has led to increased risks of fraud and corruption due to weaknesses in financial management and administration (e.g. internal audits carried out during 2012-13 in 28 country offices identified weaknesses in control of assets (82% of countries), accounting (71% of countries) and management controls (57% of countries) (FAO Office of the Inspector General, 2014 [1], p. 16). Due to these weaknesses, several country offices and managers who are expected to "adhere to the established system of internal control to prevent fraud" have limited capacities to fully implement the Policy on Fraud. During interviews at FAO headquarters, the assessment team was informed that FAO is in the process of increasing knowledge of staff in country offices on policies and procedures for combating fraud and corruption, as they are responsible for establishing local fraud control plans. The 2011 Annual Report of the Office of the Inspector General found that such plans had not been prepared in the country offices audited during 2011, thereby exposing them to increased fraud risks (FAO Office of the Inspector General, 2012 [01], p. 22). As noted above, FAO has acknowledged shortcomings in internal control in decentralised offices and has taken actions, including through the recent deployment of GRMS, to tackle these issues.
MI 8.5 – Processes are in place to quickly follow up on any irregularities identified in audits at the country (or other) level.	4.30	5	Donors at headquarters and in-country provided an overall rating of adequate when asked whether FAO quickly follow up on financial irregularities identified in audits, including suspicion or allegations of corruption and fraud. However, the majority (63%) responded 'don't know' The document review rated FAO as strong. As stipulated in the Charter for the Office of the Inspector General, the "Inspector General has been vested with the authority to investigate allegations of irregularities in the programmes and operations of the Organization" identified in audits, which are reported to the Director General and Finance Committee. However, documentation available does not clearly stipulate the timeframe within which follow-up on irregularities should take place. Nonetheless, FAO does track follow-up on investigation reports and referrals; in 2013, 89% of investigation reports and referrals had been considered and decisions had been made by responsible units. This represents a 14% increase since 2010 (FAO Conference, 2014 [02], p. 45).

MI	Overall survey mean score	Document review rating	Observations
MI 8.6 – The MO's procurement procedures provide effective control on purchases of goods and services.	4.41	4	Direct partners and representatives of peer organisations were surveyed on whether FAO's procurement procedures provide effective control on purchases of goods and services; the majority (50%) rated the organisation adequate or above. However, 37% responded 'don't know'. Based on documentary evidence, FAO was rated as adequate for having procurement procedures that provide effective control on purchases of goods and services. In 2010 FAO revised its policy on procurement (Manual Section 502 on Procurement of Goods, Works and Services), which states that "the principal objective of the Organization's procurement activities will be the timely acquisition of goods, works and services in a competitive and transparent manner, while ensuring fitness for purpose to meet the user's requirements" (FAO, 2010 [05], p. 1). As mentioned in KPI 12 on delegating authority, the revisions of the policy also increase delegation of authority for procurement and letters of agreement (LoAs) in decentralised offices. Delegated financial authority reaches USD 200 000 for Regional Representatives, USD 150 000 for Sub-regional Representatives and USD 100 000 for FAO Representatives (FAORs) (FAO Programme Committee/Finance Committee, 2011 [02], p. 2). According to the Final Management Report on Immediate Plan of Action Implementation of the FAO Reform Process (2013), increased delegation of authority for procurement in country offices has resulted in fewer delays in the procurement of goods and services (FAO Conference, 2013 [01], p. 9). As part of the decentralisation process, FAO has provided extensive training on procurement in decentralised offices with the support of the Office of Support to Decentralization (OSD). Recent reports from the Inspector General pointed to important deficiencies in internal control for procurement and asset management in several decentralised offices (FAO Office of the Inspector General, 2014 [01], p. 16). Management has taken steps to address these shortcomings, notably by putting in place 12 International Procurement Officers (IPOs) that provide support to high-risk decentralised offices with high procurement volumes. The latest report of the External Auditor described FAO's recent efforts to enhance capacities of the procurement function as "laudable". Despite these efforts, it "still noted deficiencies and lapses in the procurement function that are attributable to weaknesses in capacity" (FAO Conference, 2014 [03], p. 2).
MI 8.7 – The MO has strategies in place for risk identification, mitigation, monitoring and reporting.	--	4	This MI was assessed by document review only, which rated FAO as adequate for having a strategy in place for risk identification, mitigation, monitoring and reporting. In December 2013, FAO consolidated its internal structure for risk management through the adoption of its first policy on Enterprise Risk Management (ERM), which clearly delineates the roles and responsibilities of key actors in the implementation of risk management across FAO. According to this policy, the newly established Risk and Advisory Services analyse risks using the FAO risk catalogue that was created in 2011 and report directly to the Corporate Programmes Monitoring Board (CPMB) which is responsible for overseeing FAO's risk policy and the corporate risk profile (FAO, N/A [09]). With the new policy, risk management is firmly embedded in five areas of work: 1) organisational outcome formulation; 2) work planning; 3) management of field project/programme risks; 4) management of business improvement projects; 5) quick responsiveness to identified problems (FAO Finance Committee, 2014 [05], p. 4). FAO has also recently issued guidelines to help staff implement the policy on risk management (FAO, 2013 [23]). However, in its latest report the Inspector General noted significant weaknesses in internal controls in several country offices, including in the identification and mitigation of risks to project implementation (FAO Office of the Inspector General, 2014 [1], p. 18). Inadequate risk management at country level could affect FAO's ability to monitor risk at corporate level. Both the External Auditor and Inspector General use risk assessments to establish their work plan so as to ensure that the most at-risk offices are subject to audits. Though FAO has made notable progress in embedding risk management across the organisation, the document review supports a rating of adequate because FAO's policy on ERM is very recent (December 2013) and there are

MI	Overall survey mean score	Document review rating	Observations
			still some weaknesses in risk management in several country offices.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
Base (un-weighted)		300	52	23	175	50	300	52	23	175	50
MI 8.1	External financial audits meeting recognised international standards are performed across the organisation (External or UN Board of Auditors).	--	--	--	--	--	--	--	--	--	--
MI 8.2	External financial audits meeting recognised international standards are performed at the regional, country or project level (as appropriate).	--	--	--	--	--	--	--	--	--	--
MI 8.3	Internal audit processes are used to provide management/Governing Bodies with credible information.	4.22	4.22	--	--	--	0.75	0.75	--	--	--
MI 8.4	The MO implements its policy on anti-corruption.	4.35	4.35	--	--	--	0.79	0.79	--	--	--
MI 8.5	Processes are in place to quickly follow up on any irregularities identified at the country (or other) level.	4.30	4.38	4.21	--	--	0.73	0.91	0.42	--	--
MI 8.6	The MO's procurement procedures provide effective control on purchases of goods and services.	4.41	--	--	4.42	4.39	1.15	--	--	1.23	1.01
MI 8.7	The MO has strategies in place for risk identification, mitigation, monitoring and reporting.	--	--	--	--	--	--	--	--	--	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 8.1	External financial audits meeting recognised international standards are performed across the organisation (External or UN Board of Auditors).	--	--	--	--	--	--	--	--	--	--
MI 8.2	External financial audits meeting recognised international standards are performed at the regional, country or project level (as appropriate).	--	--	--	--	--	--	--	--	--	--
MI 8.3	Internal audit processes are used to provide management/Governing Bodies with credible information.	15	29%	15	29%	--	--	--	--	--	--
MI 8.4	The MO implements its policy on anti-corruption.	26	50%	26	50%	--	--	--	--	--	--
MI 8.5	Processes are in place to quickly follow up on any irregularities identified at the country (or other) level.	47	63%	31	60%	16	67%	--	--	--	--
MI 8.6	The MO's procurement procedures provide effective control on purchases of goods and services.	61	37%	--	--	--	--	36	20%	25	54%
MI 8.7	The MO has strategies in place for risk identification, mitigation, monitoring and reporting.	--	--	--	--	--	--	--	--	--	--

3.1.9 KPI 9: Using performance information

KPI 9: The MO demonstrates the use of performance information for decision-making.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 9.1 – Performance information is used by the MO for revising policies and strategies.	3.58	6	When MOPAN donors at headquarter were asked whether FAO uses performance information to revise organisational policies and strategies, 50% rated the organisation adequate or above. The document review rated FAO as very strong on this MI. One of the most notable examples of FAO's use of performance information for revising policies and strategies relates to the implementation of the Immediate Plan of Action (IPA) implemented between 2009 and 2012 as a result of the 2007 Independent External Evaluation (IEE) of FAO. The IPA consisted of 274 actions that would transform the FAO into a renewed organisation, of which 252 have been fully implemented (FAO Conference, 2013 [01], pp. 4-5). In response to the recommendations of the IEE, FAO either revised or formulated new strategies and policies. Good examples include the adoption of the FAO Knowledge Strategy (2011), the Resource Mobilization and Management Strategy (2011) and the Human Resources Strategic Framework and Action Plan 2012-13. There is also compelling evidence that FAO systematically uses performance information from evaluations to adopt or revise strategies: FAO implemented a recommendations from the Evaluation of FAO's role and work related to Gender and Development to adopt a corporate policy on gender equality (2012) (FAO Conference, 2013 [09]); a Corporate Strategy on Capacity Development (FAO Programme Committee, 2011 [08]) was developed as a result of the Evaluation of FAO's activities on Capacity Development in Africa (FAO, 2010 [07]); and the Strategy and Vision for FAO's work in Nutrition (FAO Programme Committee, 2012 [08]) was adopted in response to the Evaluation of FAO's Role and Work in Nutrition (FAO Office of Evaluation, 2011 [06]). In the past, FAO's work in partnership with the private sector and civil society has been criticised repeatedly in evaluations. As a result, FAO approved in 2013 its Strategy for Partnerships with the Private Sector and Strategy for Partnerships with Civil Society Organisations (FAO Council, 2013 [01]; FAO Programme Committee/Finance Committee, 2013 [04]). However, weaknesses in implementing results-based management across the organisation and reporting on organisation-wide performance (as highlighted in KPI 3 on corporate focus on results and KPI 21 on presenting performance information) curtails its ability to use performance information generated from internal monitoring to revise policies and strategies.
MI 9.2 – Performance information is used by the MO for planning new interventions at the country level.	4.29	4	MOPAN donors at headquarters, direct partners and peer organisations were asked whether FAO uses information on the performance of its projects/programmes to plan new areas of co-operation at the country level. The majority of respondents (61%) provided ratings of adequate or above, but direct partners responded more positively than the two other groups and these differences are statistically significant. There was a high rate of 'don't know' responses, particularly among donors at headquarters (33%) and peer organisations (35%). The document review also rated FAO as adequate for using performance information to plan new interventions at the

MI	Overall survey mean score	Document review rating	Observations
			country level. Most FAO interventions are delivered through a project mechanism. Though progressive improvements in project cycle management were introduced over a decade ago, the project cycle was revised in 2012 to require a more systematic and rigorous design and approval process. Beginning with the Concept Note, peer reviewers examine the problem statement, including references to previous evaluations. At the full project document stage, the formulators and reviewers are required to include lessons learned from the past and related work, including from evaluations. The Appraisal Checklist Template includes a section on knowledge sharing and lessons learned. It explicitly references evaluation recommendations and lessons learned from other projects in the same sector or in similar environments and such lessons are reflected and incorporated in the project, and a section on the way information generated by the project, evaluation and lessons learned will be captured and shared with stakeholders and partners, including how this is planned for in the activities/outputs (FAO, 2012 [01]). As highlighted in KPI 21 on presenting performance information, in 2013 FAO introduced mandatory country-level reporting on country programming frameworks (CPFs) based on the use of indicators to measure progress toward outcomes. However, the quality of country reporting differs between countries and not all provide a strong analysis of problems, successes and lessons learned. Moreover, as mentioned in KPI 20 on evaluating results, the coverage of country programme evaluations by the OED is low and no recent country evaluation was available for any of the six countries in this year's assessment. In addition, decentralised evaluations are not performed at FAO. During interviews with staff at headquarters, it was noted that while centralising evaluations can make it easier to ensure the quality of evaluations, it may also limit their usefulness in the field. Indeed, none of the country programming documents reviewed for the six countries in the assessment included an analysis of how performance information (from either evaluation or internal monitoring) has shaped new country programming. A new corporate results reporting framework is being instituted in FAO which aims to improve reporting at all levels of the organisation. FAO notes that the new Dashboard project will soon enable senior management to track progress toward FAO's corporate results framework at global, regional and country levels, thereby allowing managers to better guide planning and reconsider initiatives (FAO, 2014 [41]).
MI 9.3 – Poorly performing programmes, projects and/or initiatives are addressed proactively so as to improve performance.	3.78	4	MOPAN donors at headquarters, direct partners and peer organisations were asked whether FAO 1) regularly identifies poorly performing programmes and projects; and 2) proactively addresses performance issues identified in poorly performing programmes and projects. While FAO was rated adequate overall, donors at headquarters responded more negatively than the two other groups on both questions and these differences are statistically significant. The percentage of 'don't know' responses for peer organisations is 36% on the first question and 34% on the second, whereas 33% of donors at headquarters responded 'don't know' to the second question. The document review also rated FAO as adequate on this MI. FAO monitors the performance of projects using a work plan and Logical Framework Matrix (LFM). This monitoring tool, which is accessible to managers online on FAO's Field Programme Monitoring Information System (FPMIS), allows tracking progress on the achievement of indicators using a three-color code (FAO, n.d. [33]). However, the assessment team found little evidence that highly performing projects/programmes are leveraged with more resources or that poorly performing projects/programmes are either re-designed or terminated. The improved project cycle management guidance clearly defines the roles and responsibilities of all Project Task Force members, including the responsibility to track project progress and identify problems which might need prompt attention. In addition, all technical officers (whether the Lead Technical Officer or not) are also required to facilitate effective knowledge sharing between projects contributing to similar or common high-level results (e.g. with the same CPF or towards the same organisational results). At corporate level, there are four steps to assessing the performance of FAO in implementing its Programme of Work and Budget (PWB): 1) ongoing work plan monitoring is undertaken by managers; 2) internal mid-term reviews of progress in achieving work plans on a sixth month basis; data are uploaded onto FAO's system for organisation-wide monitoring, PIRES, where it is monitored by managers; 3) based on performance information in PIRES, a mid-term

MI	Overall survey mean score	Document review rating	Observations
			review synthesis report of progress in achieving organisation-wide outcomes is presented at mid-term to the Programme and Finance Committees with proposed corrective actions for areas where targets are not on track to being met; 4) a Programme Implementation Report reporting on the achievement of results in the biennium is presented to the Programme and Finance Committees and to the Conference. In FAO's latest Mid-term Review (MTR) Synthesis Report for 2012, four organisation results were in need of remedial actions. Under each of the indicators, a short analysis of the problem and corrective action to be taken was provided (FAO Programme Committee/Finance Committee, 2013 [03]).
MI 9.4 – Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units.	4.05	5	When donors at headquarters respondents were asked whether FAO appropriately tracks the implementation of evaluation recommendations reported to its Governing Bodies, 58% provided a rating of adequate or above. On the other hand, the document review rated FAO as strong on this MI. As per the 2010 Charter of the FAO Office of Evaluation, every evaluation must be accompanied by a management response detailing management's views on the recommendations and intended actions to implement them. In addition, a follow-up report explaining the actions that have been taken in implementing recommendations is systematically produced by FAO two years after the publication of the initial management response (FAO Programme Committee, 2010 [02], p. 147). In 2012, FAO introduced the validation report which is undertaken by an independent consultant to validate the information reported in the follow-up report. Because validation reports are resource intensive, they are not done systematically; to date, four validation reports have been produced. This is a good practice which is not done in all multilateral organisations. The Office of Evaluation has tracked the implementation of evaluation recommendations since 2010. In 2013, 80% of accepted evaluation recommendations had been implemented within the agreed timeframe, which represents a 30% increase since 2010 but still falls short of the target of 95% FAO had set (FAO Conference, 2014 [02], p. 45). In 2014, the Office of Evaluation is piloting a new model of follow-up reports that will include a tool to track the implementation of accepted recommendations, the Management Action Records (MAR), which rates the level of recommendation implementation from 1 to 6 (FAO Office of Evaluation, 2013 [07]).

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
Base (un-weighted)		300	52	23	175	50	300	52	23	175	50
MI 9.1	Performance information is used by the MO for revising policies and strategies.	3.58	3.58	--	--	--	0.95	0.95	--	--	--
MI 9.2	Performance information is used by the MO for planning new interventions at the country level.	4.29	3.89	--	4.68	4.20	0.95	0.99	--	0.98	0.63
MI 9.3	Poorly performing programmes, projects and/or initiatives are addressed proactively so as to improve performance.	3.78	3.17	--	4.26	3.87	1.09	0.90	--	1.17	0.84

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
Base (un-weighted)		300	52	23	175	50	300	52	23	175	50
Sub-MI	i) FAO regularly identifies poorly performing programmes and projects.	3.72	3.08	--	4.26	3.84	1.12	0.88	--	1.19	0.86
Sub-MI	ii) FAO proactively addresses performance issues identified in poorly performing programmes and projects.	3.84	3.26	--	4.26	3.90	1.06	0.91	--	1.14	0.83
MI 9.4	Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units.	4.05	4.05	--	--	--	0.91	0.91	--	--	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 9.1	Performance information is used by the MO for revising policies and strategies.	9	17%	9	17%	--	--	--	--	--	--
MI 9.2	Performance information is used by the MO for planning new interventions at the country level.	57	26%	17	33%	--	--	25	15%	15	31%
MI 9.3	Poorly performing programmes, projects and/or initiatives are addressed proactively so as to improve performance.	65	27%	15	28%	--	--	33	19%	18	35%
Sub-MI	i) FAO regularly identifies poorly performing programmes and projects.	65	27%	12	23%	--	--	35	21%	18	36%
Sub-MI	ii) FAO proactively addresses performance issues identified in poorly performing programmes and projects.	64	28%	17	33%	--	--	30	18%	17	34%
MI 9.4	Evaluation recommendations reported to Executive Committee/Board are acted upon by the responsible units.	13	25%	13	25%	--	--	--	--	--	--

3.1.10 KPI 10: Managing human resources

KPI 10: The MO manages human resources using methods to improve organisational performance.

In recent years, FAO has undertaken significant corporate improvements in HR management, including, for example, the development and monitoring of the Human Resources Strategic Framework and Action Plan; generic job profiles to simplify and streamline job classification and support vacancy announcement processes as well as staff mobility; the iRecruitment process to enable a more objective, transparent and timely staff selection process; efforts to promote a greater gender balance in the professional work force (currently 39%) and to retain high performing Junior Professionals; a Corporate Mobility Policy (2013) with refinements expected in early 2015; staff training and capacity development support through a variety of learning approaches; and streamlined HR servicing through Standard Operating Procedures now in use in the Shared Services Centre offices (FAO Finance Committee, 2014 [07]). The full range of initiatives to improve the management of human resources are not reflected in the micro-indicators below, which have a more narrow focus on staff performance management systems.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- equal weight is given to the views of each of the respondent groups
- equal weight is given to each of the countries where the survey took place
- equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 10.1 - The MO uses results-focused performance assessment systems (that also apply to senior staff) to make decisions on human resources.	3.06	4	When donors at headquarters were asked whether FAO uses information on staff performance to make human resource decisions, 42% provided ratings of inadequate or below and 33% responded “don’t know”. The document review rated FAO as adequate on this MI. Divergence with the survey rating may be due in part to the fact that reforms of FAO’s performance assessment system have occurred at a very fast pace and may not have been fully communicated to donors, or that donors generally lack confidence in the effectiveness of these new systems. In the past, FAO did not manage staff based on performance and this was a major critique of the Independent External Evaluation in 2007. Currently there are 3 400 FAO staff members under continuing and fixed-term appointments. Since 2012, these staff members have been subject to an annual performance assessment system called the Performance Evaluation and Management System (PEMS). The approximately 8 500 employees under other contractual arrangements are subject to a Quality Assessment Report (QAR) which is simpler than the PEMS but has retained similar features, such as work plans with pre-agreed objectives and performance indicators to evaluate performance. As part of the functional objectives on which FAO reports in the Programme Implementation Report (PIR), FAO includes an organisational result with six indicators that measure its organisational performance on human resources management, one of which measures completion rates of the PEMS. In 2013, 92% of FAO staff had completed the PEMS (FAO Conference, 2014 [02], p. 48). Guidance is provided and being updated on how to effectively manage the PEMS process, including the development of work plans and ratings. FAO is in the process of clarifying how performance ratings are considered for decision-taking, such as the granting of Within Grade Salary Increments, extension of fixed-term appointments, as well as conversion of appointments to continuing status. However, FAO

MI	Overall survey mean score	Document review rating	Observations
			acknowledges two main issues regarding the PEMS which are being addressed: 1) inconsistent workplans resulting in uneven staff appraisals, which is being addressed through clearer guidance and management training; and 2) the set of core competencies against which staff is assessed were not consistent until the recently instituted competency frameworks. FAO is currently revising the PEMS to address these shortcomings (FAO, n.d. [04]). An informal internal review of the PEMS process was conducted in May 2014 and the recommendations reviewed by Senior Management are being included in a revised performance management policy framework. This revised framework will update the performance management process, clarifying roles and responsibilities of managers and staff, and provide for transparent mechanisms that recognise high-performance and address under-performance, including a rebuttal process. The introduction and implementation of the related policy and revised process, expected in early 2015, should help address the aforementioned shortcomings of the PEMS (FAO Finance Committee, 2014 [07]). Data gathered through document review and interviews suggest that FAO has been using performance assessments to make decisions on the appointment of FAO representatives (FAORs). FAO has been assessing the performance of senior staff through the Management Assessment Center (MAC), run jointly with WFP since 2004, as well as the Virtual Assessment Review (VAR), and the outcome is used to make decisions on the appointment of FAO representatives in countries as well as for selection decisions for senior positions (D-1 and above). For external candidates applying for FAOR positions, rigorous competency-based interviews are used for the selection process. FAO has taken steps to strengthen the capacities of managers to manage staff performance; at the end of 2013, 61% of managers (P5-above) had completed the FAO Core Managerial Training Programme (FAO Conference, 2014 [02], p. 48). Under the impetus of the new Director-General, FAO will also be launching the FAOR Academy to enhance the skills of FAORs and ensure that they have the managerial tools required to implement the reviewed Strategic Framework (FAO, 2014 [39]). FAO's efforts to strengthen its leadership by appointing FAO representatives (FAORs) based on past performance and developing new management assessment tools are truly commendable and have resulted in substantial changes in terms of FAO's country leadership.
MI 10.2 - There is a transparent system in place to manage staff performance.	2.85	4	MOPAN donors at headquarters were asked whether FAO uses a transparent system to manage staff performance. Almost half (46%) rated FAO inadequate or below and 35% answered 'don't know'. As noted above, this may reflect a lack of awareness among this stakeholder group of new systems or a lack of confidence in new systems. The document review rated FAO as adequate on this MI. As noted in MI 10.1, the competencies against which staff had previously been evaluated were not clear. This has been addressed through the development of the FAO Competency Framework (2014) and complemented through managerial training. In addition, teams had been working in departmental silos, with each supervisor establishing work plans with the staff they supervise. This led to work plans being somewhat inconsistent across the organisation and therefore not transparent. The corporate Competency Framework clearly identifies the five core competencies against which all staff will be recruited and assessed. This ensures that all candidates are assessed against the same set of competencies, which are also included in the individual performance reports of the staff members. This should allow for greater consistency and transparency in FAO's system to manage staff performance. In addition, the revision of the PEMS (which is expected to clearly define the roles and responsibilities of managers and staff) and the adoption of rebuttal procedures as well as policies for promotions and rewards and recognitions are expected to be in place by early 2015 and should also help address these shortcomings (FAO Finance Committee, 2014 [01]). As these policies and processes are recent, it is not possible to document how successfully these are being implemented. The progress reporting to the Finance Committee of the HR Strategy and Action Plan, and the draft policies and guidance provided to the MOPAN assessment team allow for some confidence that FAO is improving its staff appraisal practices in a comprehensive way.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
Base (un-weighted)		300	52	23	175	50	300	52	23	175	50
MI 10.1	The MO uses results-focused performance assessment systems (that also apply to senior staff) to make decisions on human resources.	3.06	3.06	--	--	--	0.93	0.93	--	--	--
MI 10.2	There is a transparent system in place to manage staff performance.	2.85	2.85	--	--	--	1.10	1.10	--	--	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 10.1	The MO uses results-focused performance assessment systems (that also apply to senior staff) to make decisions on human resources.	17	33%	17	33%	--	--	--	--	--	--
MI 10.2	There is a transparent system in place to manage staff performance.	18	35%	18	35%	--	--	--	--	--	--

3.1.11 KPI 11: Performance-oriented programming

KPI 11: Country/regional programming processes are performance oriented.

This KPI was assessed by document review only.



“--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 11.1 – Prior to approval, new initiatives are subject to appropriate analysis (e.g. gender, environmental, cost-benefit, etc.).	--	4	This MI was assessed by document review only, which rated FAO as adequate for conducting appropriate analyses prior to the approval of new initiatives. FAO has several guidelines and policies in place to ensure that new initiatives are subject to appropriate analysis prior to approval. It has specific guidelines for gender equality, environmental sustainability and human rights-based approaches (HRBA). FAO's Guide to the Project Cycle provides practical guidelines for how these considerations should be incorporated into the different phases of project formulation (conception, formulation and appraisal (FAO, 2012 [01]). The guidelines refer to FAO's specific policies in these areas including a) Environmental Impact Assessment – Guidelines for FAO Field Projects, and b) FAO's Policy on Gender Equality – attaining food security goals in agriculture and rural development. During Phase 1 of the project cycle (development of the Concept Note) staff members are required to take HRBA into account, perform a gender-sensitive stakeholder analysis, and complete an Initial Environmental Review (IER) to establish the environmental category of the project (category A, B or C). The chosen category will dictate whether any additional environmental and/or social analysis or impact assessment will be required before project approval and implementation. If the IER determines that it is a category A project, it is mandatory to perform a full environmental impact assessment; Category B only requires an environmental analysis to identify potential risks while category C does not require any further social or environmental assessment. The concept note is reviewed by a peer review team to ensure that all these elements are appropriately covered. During phase 2 (Project Formulation) staff members are required to include analysis and factors grouped under the heading “sustainability” including gender equality, environmental and social sustainability and HRBA. In addition to performing the IER, staff members are required to perform and certify a “Social Review Form” for Category C projects according to FAO's environmental impact assessment guidelines (FAO, 2011 [09]). The Guidelines also require projects to take into account the Right to Adequate Food, in accordance with international standards and based on the Right to Food Guidelines adopted by FAO in 2004 (FAO, 2014 [07]) and the Decent Work Agenda endorsed by the UN World Summit of 2005 and by ECOSOC (FAO and ILO, 2013 [02]). Review of project documentation in FAO's Field Programme Management Information System (FPMIS) does not provide clear evidence that appropriate gender equality analyses and impact assessments are carried out prior to project approval. In addition, the FPMIS does not seem complete as many projects entries do not include Concept Notes. However, new projects included in the FPMIS folder “10 most recent completed projects” tend to have concept notes where issues pertaining to gender equality and environmental impact are mentioned, but not analysed per se. This observation is in line with some of the main conclusions from a recent Validation of the Follow-up report to the Evaluation of FAO's role and work related to gender and development from 2010 (FAO Office of Evaluation, 2013). The Validation Report acknowledges that the Policy on Gender Equality has positioned FAO to better mainstream gender equality into its five Strategic Objectives, but also finds that the implementation of the Policy faces some challenges. For example, it is noted that Policy is not yet fully understood by all staff

MI	Overall survey mean score	Document review rating	Observations
			members across the Organization and that the shift to a multidisciplinary matrix structure instead of the old divisional structure will necessitate a different approach to gender equality mainstreaming (FAO Office of Evaluation, 2013, p. 10). It also estimates that the level of support needed from Country Offices and regional bodies is likely to “overflow the plates” of the Gender Experts recruited.
MI 11.2 – Milestones/targets are set to rate the progress of (project) implementation.	--	4	This MI was assessed by document review only. Based on documentary evidence, FAO was rated as adequate for setting milestones/targets to rate the progress of project implementation. The assessment team reviewed a sample of project documents (usually the same projects that were assessed under KPI C of the results component) to verify whether milestones/targets are set to rate the progress of implementation. All the project documents reviewed include timetables with descriptions of milestones (activities and outputs) to rate implementation progress. However, none of the documents reviewed had established baselines to facilitate the rating of progress.

3.1.12 KPI 12: Delegating authority

KPI 12: The MO delegates decision-making authority and staff accordingly (to the country or other levels).



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 12.1 - Staff deployment in country is adequate for the development of effective country-level partnerships.	3.74	--	This MI was rated by survey only. When asked if FAO country office staffing is sufficient for maintaining effective partnership at country level, 49% of respondents (i.e. donors in-country, direct partners, and peer organisations) provided ratings of adequate or above and 31% rated FAO inadequate or below. Evaluations have commented on the lack of capacity for developing partnerships at country level, especially with civil society organisations (CSO), the private sector and government entities that are not agricultural ministries (FAO Office of Evaluation, 2013 [05], p. 4). Developing partnerships is a priority for the renewed FAO and the revised organigram includes an Office for Partnerships, Advocacy and Capacity Development (OPC). In 2013, FAO adopted a Strategy for Partnerships with the Private Sector and a Strategy for Partnerships with Civil Society Organisations. OPC is responsible for ensuring implementation of these strategies in decentralised offices, notably by recruiting a focal point for partnership in each of the regional offices and by providing support to staff in country offices for developing and maintaining regular dialogue with CSOs and the private sector. Evaluations of FAO's regional and sub-regional offices, recently carried out by the Office of Evaluation to take a stock of the progress achieved by FAO in decentralising its operations, report the creation of partnership development posts in some country offices.
MI 12.2 - Aid reallocation decisions can be made locally.	3.72	4	When asked whether country offices have sufficient delegated authority to make decisions on aid reallocation at country level, 42% of survey respondents (i.e. donors in-country, direct partners and peer organisations) provided ratings of adequate or above, and 35% responded 'don't know'. The 'don't know' rates are particularly high among donors in-country (44%) and peer organisations (40%). The document review also rated FAO as adequate on this MI. The 2009 Technical Cooperation Programme (TCP) Manual states that decisions on aid reallocation can be made by the budget holder at country level; however, should an increase or decrease in budgeted resources be needed for a project, a formal request for budget revision is sent to the region, where the Regional Representative makes the final decision (FAO, 2009 [04]). It is unclear whether aid reallocation for projects financed by voluntary contributions can be made at country level or if a request has to be sent to the region or headquarters.
MI 12.3 - New programmes/projects can be approved locally within a budget cap.	3.87	4	When asked whether FAO can approve funding for new areas of cooperation locally, 44% of direct partners rated FAO adequate or above, and 32% answered 'don't know'. Based on documentary evidence, FAO was rated as adequate for approving new programmes/projects locally within a budget cap. Decentralisation and increased delegation of authority was an integral part of FAO's Immediate Plan of Action (IPA) for FAO's Renewal. In 2009, the organisation revised its TCP Manual which now gives FAORs the authority to approve non-emergency TCP projects up to USD 500 000 (FAO, 2009 [04]). With the decentralisation in

MI	Overall survey mean score	Document review rating	Observations
			2012 of operations related to emergency and rehabilitation, FAORs can now also approve emergency TCP projects within a budget cap. While authority for approving projects financed from un-earmarked voluntary contributions (i.e. trust funds) still rests with headquarters, interviewed FAO staff indicated that authority for these resources should be delegated to the decentralised offices within a year. Given that country offices were given responsibility in 2012 for mobilising voluntary contributions at country level, it is important that decisions regarding projects financed by these contributions be taken closer to the field. Evaluations of FAO's regional and sub-regional offices note that in general regions have been fully empowered with delegated authority, but that more could be done to decentralise to country level. The decentralisation of financial and human resources has been debated vigorously by FAO and its Governing Bodies, which emphasised that FAO's technical strength and capacities should be maintained at headquarters so as to ensure that the organisation keeps on performing its normative roles. However, a recurrent issue highlighted in evaluations of FAO's regional and sub-regional offices was that FAO decentralised authority without proportional increases in financial or human resources in decentralised offices. Increased delegation of authority has led to increased administrative and operational responsibilities for technical staff, who have less time to deliver technical work (FAO Office of Evaluation, 2014 [05], p. 135)(FAO Office of Evaluation, 2013 [06], pp. 75-76)(FAO Office of Evaluation, 2014 [04], p. 58)(FAO Office of Evaluation, 2013 [05], p. 58). All interviewed staff in country offices reported that delegation of authority had increased substantially in recent years resulting in more efficiencies and timeliness in TCP project approval. However, they also felt that procedures for project approval could be simplified, especially for small projects (see KPI 15 on adjusting procedures).

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
Base (un-weighted)		300	52	23	175	50	300	52	23	175	50
MI 12.1	Staff deployment in country is adequate for the development of effective country-level partnerships.	3.74	--	3.89	3.78	3.57	1.12	--	1.16	1.21	0.96
MI 12.2	Aid reallocation decisions can be made locally.	3.72	--	3.78	3.89	3.45	1.02	--	0.58	1.27	0.92
MI 12.3	New programmes/projects can be approved locally within a budget cap.	3.87	--	--	3.87	--	1.23	--	--	1.23	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 12.1	Staff deployment in country is adequate for the development of effective country-level partnerships.	43	20%	--	--	7	28%	27	15%	9	18%
MI 12.2	Aid reallocation decisions can be made locally.	70	35%	--	--	11	44%	39	22%	20	40%
MI 12.3	New programmes/projects can be approved locally within a budget cap.	57	32%	--	--	--	--	57	32%	--	--

3.1.13 KPI 13: Work in emergencies

KPI 13: The MO has the necessary practices and systems to work in emergencies.

FAO's operations in emergencies and rehabilitation have nearly doubled in the past ten years and now account for more than one-third of overall expenditures (FAO Conference, 2013 [06]). In the past, emergency operations were handled entirely by the Emergency Operations and Rehabilitation Division (TCE) at headquarters, in isolation from development programming. In response to recommendations from the Strategic Evaluation of FAO Country Programming (2010), emergency programming is now integrated into the Country Programming Framework (FAO Programme Committee, 2012 [03]). Under the previous strategic framework, FAO's work in emergency was framed under Strategic Objective I on improving preparedness and response to agricultural threats and emergency. Under Strategic Objective 5 of the reviewed Strategic Framework, FAO introduces its new focus on increasing the resilience of livelihoods to threats and crises and puts a special emphasis on the continuum between relief, rehabilitation and development (FAO Conference, 2013 [07], p. 7).

The responsibility and management of FAO's operations related to emergency and rehabilitation was gradually transferred in 2012-13 from the TCE to decentralised offices. Following the decentralisation, the Office of the Inspector General conducted a review of the decentralisation process and country office capacities for assuming leadership in emergencies and concluded that "the decentralisation and integration process was progressing according to the schedule established at corporate level, and that there was a clear vision and strong support from senior management, effective leadership in place, good engagement with the Governing Bodies and a strong project management team" (FAO Office of the Inspector General, 2014 [1], pp. 7-8). To ensure such leadership, FAO has appointed approximately 15 Deputy FAORs with longstanding experience working in emergencies in countries with significant emergency operations.

Survey questions for micro-indicators 13.2 and 13.3 were asked only to respondents in Bangladesh, Cambodia, DRC, and Kenya.



Mean Score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. "--" indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

◇ indicates insufficient data available to provide a rating

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 13.1 - The MO has capacity for emergency preparedness.	4.50	5	When asked whether FAO has effective practices in place for emergency preparedness (i.e. early warning, food security analysis, contingency planning), 76% of survey respondents rated FAO adequate or above. However, donors at headquarters and in-country were more positive than direct partners and peer organisations, and these differences are statistically significant. The document review also rated FAO as strong on this MI. In 2013, FAO developed its Emergency Preparedness Framework that sets the organisation's new resilience agenda. Under this framework, decentralised offices are expected to complete every sixth months Minimum Preparedness Actions (MPAs) covering a number of functional areas (human resources, logistics, procurement, programming, resource mobilisation, etc.) in case of an emergency. Offices are also expected to perform jointly with national partners Multi-hazard Risk Assessments and maintain a risk profile of the potential threats facing the country. The framework also requires that decentralised offices prepare contingency planning in preparation of potential crises or disasters (FAO, 2013 [46]). A Contingency planning guide for country and regional offices was issued in 2013 along with the Emergency Preparedness Framework (FAO, 2013

MI	Overall survey mean score	Document review rating	Observations
			[44]). Moreover, FAO's Handbook for Emergency Preparedness and Response, updated in March 2014, includes a section on emergency preparedness that delineates responsibilities of staff at all levels of the organisation in emergency preparedness. FAO has an extensive array of early warning systems to monitor threats to food and nutrition security, including the Global Fire Information Management System (GFIMS), the Global Information and Early Warning System on crop prospect and food prices outlook (GLEWS), the Food Insecurity and Vulnerability Information and Mapping System (FIVIMS), the Integrated Food Security Phase Classification (IPC), the Global Early Warning System for major animal diseases (GLEWS) and the Emergency Prevention Systems (EMPRES), which provides early warning on threats across the entire food chain, including animal health, plant protection and food safety. As per FAO's Handbook for Emergency Preparedness and Response, "FAO intends to bolster the ability of COs [country offices] to interpret information from these systems and translate them into action during the contingency planning process" (FAO, 2014 [36], p. 38). The Evaluation of FAO's Role and Work in Disaster Risk Reduction in Asia and in Latin America and the Caribbean (2013) highlighted that FAO's early warning systems have been widely and effectively used in Africa but less so in Asia and Latin-America. The evaluation also notes that the impact of FAO's capacity building in disaster risk reduction has been limited because training was often geared to individuals rather than institutions (FAO Office of Evaluation, 2013 [04], p. xiii).
MI 13.2 - The MO has capacity for early recovery following an emergency.	4.29	5	This survey question was asked of MOPAN donors at headquarters and in-country respondents based in Bangladesh, Cambodia, DRC and Kenya. Overall, 72% rated FAO adequate or above for having effective practices in place for early recovery following an emergency. However, donors at headquarters responded more positively than donors in-country, direct partners and peer organisations, and these differences are statistically significant. FAO was rated as strong by the document review. Following an emergency, FAO is responsible for restoring livelihoods and agricultural production, notably through the provision of seeds and other agricultural inputs. FAO receives approximately 8% of total global funding disbursed by the UN's Central Emergency Response Fund (CERF), a donor-funded mechanism created to ensure timely response of multilateral organisations following an emergency. CERF funds have been used by FAO for the timely provision of farming inputs, emergency livestock vaccination, control of major transboundary pests, such as locusts, and immediate repair of agricultural infrastructure. In 2003, FAO created the Special Fund for Emergency and Rehabilitation Activities (SFERA) which acts as an advanced funding mechanism to promptly respond to emergencies before donor funding is secured. Since its inception it has advanced USD 224.7 million to fund emergency needs. As highlighted in KPI 12, increased delegation of authority in procurement to field offices has also enhanced timeliness in the procurement of goods and services when responding to emergencies. In responding to emergencies, FAO undertakes different types of needs assessments and analyses, including the Crop and Food Security Assessment Mission (undertaken jointly by FAO and WFP), Multi-sector Initial Rapid Assessment (MIRA), Rapid Agricultural Disaster Assessment Routine (RADAR), the Seed Security Assessment (SSA), Post-Disaster and Post-Conflict Needs Assessments (PDNA/PCNA), Emergency Market Mapping and Analysis (EMMA) to name a few. FAO is currently developing a Phased Need Assessment Framework for Livelihood and Food Security Interventions in Emergencies which will provide guidelines for practitioners on how and when to conduct these different needs assessments and analyses (FAO, 2014 [40]). There is also compelling evidence that FAO has built the capacities of staff in agricultural ministries and other partners for carrying out needs assessments in emergency food security programming (European Commission, 2013 [01]). FAO is one of nine Inter-Agency Standing Committee (IASC) principals and in 2011 signed onto the IASC Transformative Agenda, which aims to enhance the humanitarian community's response in cases of major emergencies. As part of this Transformative Agenda, FAO adopted in 2013 its Declaration and Response Protocol for Level 3 emergencies (major emergencies that surpass country and regional offices' capacity to respond) which clearly delineates the roles and responsibilities at different levels of the organisation in responding to such an emergency.

MI	Overall survey mean score	Document review rating	Observations
			The Director of TCE is responsible for the co-ordination of Level 3 responses, including the deployment of an Emergency Response Manager (ERM) and a Surge Support Team (SST) Co-ordinator. When necessary, the FAO Crisis Management Center, a co-ordination platform for Level 3 emergency responses located within TCE, is also activated. As per this protocol, FAO personnel are to be mobilised from FAO's recently created Global Emergency Response Roster and deployed to their functions within 72 hours of the declaration of an emergency. FAO abides by the principle of 'no regrets' whereby it commits to deploying all the resources necessary to ensure that immediate needs are addressed. If necessary, surplus resources are demobilised at a later date (FAO, 2013 [41]). Based on FAO's Operational Guidelines for Level 3 Emergency Preparedness and Response, which are updated yearly by TCE based on lessons learned from the previous year, annual simulations are to be organised to ensure FAO's capacity and readiness to respond to Level 3 emergencies (FAO, n.d. [36]). The Evaluation of FAO's Role in Support of Crop Production (2014) and the Independent Evaluation of FAO's Response to the July 2010 Floods in Pakistan highlighted that FAO's distribution of seeds and other agricultural inputs have had positive effects on restoring agricultural production but that more could be done to connect this work to longer-term development (FAO Office of Evaluation, 2014 [03])(FAO Office of Evaluation, 2012 [09]). In recent years, FAO has increased its efforts to make the link between the two. The 2014 <i>Evaluation of FAO's Contribution to Crisis-related Transition</i> concludes that FAO has a widely recognised comparative advantage in linking relief to rehabilitation and development, and that this work is now firmly embedded in the organisation's new resilience agenda(FAO Office of Evaluation, 2014 [09]).
MI 13.3 - The MO respects humanitarian principles while working in emergencies.	4.84	◇	This survey question was asked of MOPAN donors at headquarters and in-country respondents based in Bangladesh, Cambodia, DRC and Kenya. More than half (57%) rated FAO strong or very strong for respecting humanitarian principles while working in emergencies. The rate of 'don't know' responses was high (31%) among MOPAN donors in-country. According to the FAO Handbook for Emergency Preparedness and Response (2014), FAO staff is expected to abide by the humanitarian principles of humanity, neutrality, impartiality and operational independence (FAO, 2014 [36], p. 14). However, there was insufficient documentary evidence to provide a document review rating for this MI. Nonetheless, FAO notes that considerable progress has been made in this domain since the 2011 MOPAN assessment. As part of the Transformative Agenda, FAO is placing increasing importance on the principle of Accountability to Affected Populations (AAP). To this end, work is on-going in terms of mainstreaming AAP and capacity building of staff at HQ and in the field. Practical field guidelines for AAP mainstreaming are under development and an AAP network has been established in 10 key countries to ensure further propagation of AAP in principle and in practice.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
	Base (un-weighted)	300	52	23	175	50	300	52	23	175	50
MI 13.1	The MO has capacity for emergency preparedness.	4.50	4.94	4.66	4.37	4.05	0.97	0.79	0.55	1.16	1.01
MI 13.2	The MO has capacity for early recovery following an emergency.	4.29	4.67	4.30	4.27	3.79	0.93	0.87	0.60	1.11	0.83
MI 13.3	The MO respects humanitarian principles while working in emergencies.	4.84	5.00	4.76	4.95	4.57	0.82	0.73	0.56	0.96	0.90

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 13.1	The MO has capacity for emergency preparedness.	43	15%	5	10%	6	26%	28	15%	4	7%
MI 13.2	The MO has capacity for early recovery following an emergency.	20	13%	6	12%	4	27%	9	8%	1	4%
MI 13.3	The MO respects humanitarian principles while working in emergencies.	27	17%	10	19%	5	31%	9	8%	3	10%

PERFORMANCE AREA III: RELATIONSHIP MANAGEMENT

3.1.14 KPI 14: Supporting national plans

KPI 14: The MO co-ordinates and directs its development co-operation at the country level in support of agreed national plans or partner plans.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 14.1 - Extent to which MO-supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualised or initiated by MO itself.	4.36	--	This MI was assessed by survey only; 66% of survey respondents (donors in-country and direct partners) rated FAO adequate or above for funding proposals designed and developed by the national government or other direct partners.. However, 36% of donors in-country responded ‘don’t know’.
MI 14.2 - Statements of expected results are consistent with those in national development strategies and UNDAF, as appropriate.	4.90	6	Overall donors in-country and direct partners were quite positive about FAO’s alignment of country strategies with national development strategies; 87% rated FAO adequate or above on this question. The document review rated FAO as very strong on this MI. The assessment team reviewed country programming documents for all countries assessed by MOPAN this year and found that all documents were aligned with national development strategies and also with the United Nations Development Assistance Framework (UNDAF). Indeed, such alignment is a requirement outlined in FAO’s guidelines for the formulation of the Country Programming Framework (FAO, 2012 [03]). Moreover, three recent independent evaluations of FAO’s regional and sub-regional offices in 1) Latin America, 2) Africa, and 3) Asia and the Pacific commented positively on CPF alignment with national priorities and the UNDAF (FAO Office of Evaluation, 2014 [04]; FAO Office of Evaluation, 2013 [06]; FAO Office of Evaluation, 2014 [05]).

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
	<i>Base (un-weighted)</i>	300	52	23	175	50	300	52	23	175	50
MI 14.1	Extent to which MO-supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualised or initiated by MO itself.	4.36	--	4.26	4.44	--	0.92	--	0.44	1.16	--
MI 14.2	Statements of expected results are consistent with those in national development strategies and UNDAF, as appropriate.	4.90	--	4.90	4.90	--	0.83	--	0.72	0.92	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 14.1	Extent to which MO-supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualised or initiated by MO itself.	39	27%	--	--	9	39%	30	18%	--	--
MI 14.2	Statements of expected results are consistent with those in national development strategies and UNDAF, as appropriate.	12	10%	--	--	3	16%	9	5%	--	--

3.1.15 KPI 15: Adjusting procedures

KPI 15: The MO's procedures take into account local conditions and capacities.

This KPI was assessed by survey only.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 15.1- The procedures of the MO can be easily understood and completed by partners.	4.35	--	This MI was assessed by survey only. MOPAN donors in-country and direct partners were asked whether FAO uses procedures that can be easily understood and followed by partners; 69% rated FAO adequate or above. Almost one-third (32%) of donors in-country answered 'don't know'.
MI 15.2- The length of time for completing MO procedures does not have a negative effect on implementation.	3.81	--	This MI was assessed by survey only. Overall, 50% of survey respondents (MOPAN donors in-country and direct partners only) rated FAO adequate or above on this MI, whereas 20% provided ratings of inadequate or lower. While the overall 'don't know' response rate was 29%, almost half (49%) of donors in-country responded 'don't know'. All four groups of respondents were asked to identify in written comments FAO's greatest strengths and areas for improvement. Overall, 24% of respondents commented that FAO's administrative/operational efficiency is one of the areas most in need of improvement. Some of the most frequent comments were that country offices rely too much on the regions or headquarters to make decisions, that procedures are still lengthy, and that delays in disbursement of funds affected project implementation. On the other hand, 6% of direct partner respondents highlighted the organisation's efficiency and timely interventions as an area of strength. As noted in KPI 12 (Delegating Authority), interviewed staff thought that procedures for project approval could be simplified, especially for small projects which require the same procedures as large projects.
MI 15.3- The MO has the operational agility to respond quickly to changing circumstances on the ground.	3.96	--	This MI was assessed by survey only. Surveyed respondent groups (i.e. donors in-country, direct partners and peer organisations) rated FAO adequate overall for its responsiveness to changing circumstances at country level. The majority of respondents (62%) rated FAO adequate or above, and 21% rated the organisation inadequate or below. 30% of donors in-country did not know the answer to this question.
MI 15.4 - The MO has operational flexibility to adjust its implementation of projects/programmes as learning occurs.	4.23	--	This MI was assessed by survey only. Direct partners rated FAO adequate overall on this MI: 68% adequate or above, and 19% inadequate or weak.

Survey mean scores and standard deviation, overall and by respondent group

		Survey means scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
	<i>Base (un-weighted)</i>	300	52	23	175	50	300	52	23	175	50
MI 15.1	The procedures of the MO can be easily understood and completed by partners.	4.35	--	4.10	4.54	--	0.98	--	0.58	1.16	--
MI 15.2	The length of time for completing MO procedures does not have a negative effect on implementation.	3.81	--	3.78	3.83	--	1.10	--	0.92	1.19	--
MI 15.3	The MO has the operational agility to respond quickly to changing circumstances on the ground.	3.96	--	3.74	4.10	4.01	0.93	--	0.45	1.15	0.95
MI 15.4	The MO has operational flexibility to adjust its implementation of projects/programmes as learning occurs.	4.23	--	--	4.23	--	1.03	--	--	1.03	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 15.1	The procedures of the MO can be easily understood and completed by partners.	18	19%	--	--	8	32%	10	6%	--	--
MI 15.2	The length of time for completing MO procedures does not have a negative effect on implementation.	27	29%	--	--	13	49%	14	9%	--	--
MI 15.3	The MO has the operational agility to respond quickly to changing circumstances on the ground.	35	17%	--	--	7	30%	24	13%	4	8%
MI 15.4	The MO has operational flexibility to adjust its implementation of projects/programmes as learning occurs.	25	14%	--	--	--	--	25	14%	--	--

3.1.16 KPI 16: Using country systems

KPI 16: The MO uses country systems for disbursement and operations.

This KPI was assessed by survey only.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 16.1 - The MO uses country systems (both financial and non-financial), where appropriate.	4.28	--	This MI was assessed by survey only. When asked if FAO sufficiently uses country systems (financial and non-financial) when working with partners, 68% of direct partners rated the organisation adequate or above. The nature of FAO's work as a specialised agency that provides technical assistance to member countries does not lend itself to the use of country systems. However, FAO has made efforts to adopt practices and systems that facilitate the use of country systems whenever possible. For instance, FAO is currently piloting and will soon roll out the Harmonised Approach to Cash Transfers to Implementing Partners (HACT), which is meant to strengthen national capacities for management and accountability, to increase the multilateral organisation's use of national systems as much as possible, and to harmonise procedures to transfer and report on the use of funds (Makoko, 2012 [01]). HACT aims to (a) establish the risks related to the use of the country's public financial management system and whether the government's supreme audit institution has adequate capacity to carry out its auditing functions; (b) establish the risk rating of the implementing partner's financial management capacity (i.e. accounting, procurement, internal controls) in order to determine the appropriate cash transfer modality as well as the type and frequency of assurance activities (UNDG, 2014 [01]). In addition to working with country financial systems where possible, FAO works in partnership with the World Bank to build better national statistics systems in partner countries that can be used by FAO in its work. FAO's approach is described in the <i>Global Strategy to Improve Agricultural and Rural Statistics</i> which “provides a methodological and governance framework to enable national statistical systems to improve the quality of their food and agricultural statistics and, as a result, national governments to develop and adopt evidence-based policies for food security, sustainable agriculture and rural development”. (FAO Committee on Agriculture, 2012 [01], p. 3). FAO's guidelines on addressing statistical capacity in the programming framework (CPF) indicate how to use national statistical systems. These guidelines list the critical activities to be undertaken at different stages of the CPF formulation process for building statistical capacity in the agriculture sector (FAO, 2012 [02], p. 12).
MI 16.2 -The MO participates in mutual assessments of progress in	4.34	--	This MI was assessed by survey only. Overall, more than three-quarters of survey respondents (79%) rated FAO adequate or above on this MI. However, direct partners responded more positively than donors in-country and peer organisations, and these differences are statistically significant. According to FAO's guidelines on the CPF, an Implementation Committee composed of concerned government ministries, FAO, farmer organisations, civil society organisations, and other relevant stakeholders should oversee the implementation of the CPF and

MI	Overall survey mean score	Document review rating	Observations
implementing agreed commitments with national partners.			engage in annual and mid-term reviews of country programming (FAO, 2012 [03], pp. 56-57). During interviews with the FAO country office in Ecuador, the assessment team was informed that FAO undertakes jointly with the Government yearly mutual assessments of progress in implementing the CPF. It is unclear whether other countries also have such monitoring mechanisms in place.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
Base (un-weighted)		300	52	23	175	50	300	52	23	175	50
MI 16.1	The MO uses country systems (both financial and non-financial), where appropriate.	4.28	--	--	4.28	--	1.14	--	--	1.14	--
MI 16.2	The MO participates in mutual assessments of progress in implementing agreed commitments with national partners.	4.34	--	4.14	4.58	4.27	0.85	--	0.67	1.00	0.79

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 16.1	The MO uses country systems (both financial and non-financial), where appropriate.	28	16%	--	--	---	--	28	16%	--	--
MI 16.2	The MO participates in mutual assessments of progress in implementing agreed commitments with national partners.	23	13%	--	--	5	22%	12	6%	6	11%

3.1.17 KPI 17: Contributing to policy dialogue

KPI 17: The MO adds value to policy dialogue with its partners.

This KPI was assessed by survey only.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 17.1 – The MO has a reputation among its stakeholders for high quality, valued policy dialogue inputs.	4.51	--	This MI was assessed by survey only. All respondent groups were surveyed on whether FAO provides valuable inputs to policy dialogue; the majority (83%) provided ratings of adequate or above. FAO plays an important role as a global convener and knowledge broker on food and agriculture. The organisation provides a forum for normative work, such as the preparation and negotiation of international agreements on a wide range of issues (e.g. food standards, the monitoring of food insecurity, technical issues concerning international trade and environmental regulations, etc.) (FAO, n.d.[31]). While FAO is well suited to help developing countries adopt policies to combat poverty and hunger (due to its widespread presence across the developing world and its strong technical knowledge), there have been concerns raised in past evaluations such as the 2012 <i>Evaluation of FAO's Role and Work in Food and Agriculture Policy</i> regarding FAO's role in supporting policy dialogue in countries due to weak leadership and limited capacity to engage with government partners in this area (FAO Office of Evaluation, 2012 [08]). Increased support for policy work in regional and sub-regional offices and strengthened country leadership could help address this shortcoming. FAO does collaborate with regional organisations to hold policy dialogues on various topics of interest. For instance, FAO organised in 2014 regional dialogue events in South Asia to raise awareness and strengthen discussions on how to deal with the challenges that small farmers must face (e.g. environmental challenges and rapid globalisation of the food sector) (FAO, 2013 [37]). In addition, FAO plays a convening role for South-South dialogue and exchange. Since its launch in 1996, it has supported over 50 South-South co-operation initiatives. FAO has a South-South and Resource Mobilisation Division (TCS) which assists and develops member countries' capacities in South-South co-operation (FAO Conference, 2013 [08]).
MI 17.2 – The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives.	4.51	--	This MI was rated by the survey only. Almost half (47%) of surveyed respondents gave FAO ratings of strong or very strong for respecting the views of partners when it undertakes policy dialogue.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
Base (un-weighted)		300	52	23	175	50	300	52	23	175	50
MI 17.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs.	4.51	4.70	4.07	4.62	4.64	1.00	0.97	1.02	1.08	0.79
MI 17.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives.	4.51	4.45	4.54	4.58	4.49	0.96	1.01	0.79	1.13	0.88

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 17.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs.	24	6%	2	4%	2	8%	17	9%	3	5%
MI 17.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives.	32	11%	5	10%	4	17%	18	10%	5	8%

3.1.18 KPI 18: Harmonising procedures

KPI 18: The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc.) as appropriate.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- equal weight is given to the views of each of the respondent groups
- equal weight is given to each of the countries where the survey took place
- equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 18.1 - The MO co-ordinates planning, programming, monitoring and reporting with other partners.	4.15	5	The majority of respondent (71%) rated FAO adequate or above on this MI. Direct partners responded more positively than donors in-country and peer organisations, and these differences are statistically significant. The document review rated FAO as strong for coordinating planning, programming, monitoring and reporting with other partners. Joint Planning, Programming, Monitoring and Reporting FAO's Country Programming Framework (CPF) guidelines emphasise the importance of adhering to common UN programming principles and processes (particularly through the UNDAF). At the global level, FAO plays an important role in co-ordinating global initiatives and forums such as the Committee on World Food Security (CFS) and the Global Forum on Food Security and Nutrition. . At the country level, FAO participates in more than 200 joint programmes [it participates in 23% of the 886 joint programmes identified in a review of the UN's joint programming mechanisms (Downs C. , 2013 [01])]. For example: - FAO collaborates with the United Nations Environment Programme (UNEP) and United Nations Development Programme (UNDP) in the UN Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries (the UN-REDD); a 2014 independent evaluation of UN-REDD noted that in general there is room for improvement in inter-agency co-ordination but that FAO had positively contributed to building and strengthening national forest monitoring systems (UN-REDD, 2014 [01]). - FAO works jointly with ten other UN agencies in the joint programme on “Children, Food Security and Nutrition” funded through the MDG Achievement Fund (MDG-F). - The organisation partners with the World Food Programme (WFP) to conduct joint crop and food security assessment missions to countries in emergency situations. - FAO works in collaboration with the International Labour Organisation (ILO) on decent work and the eradication of child labour in agriculture. - FAO and the United Nations Environment Programme (UNEP) established the joint Sustainable Food Systems Programme to improve resource use efficiency and reduce the pollution intensity of food systems, from production to consumption, while addressing issues of food and nutrition security. - FAO partners with UN-Women, WFP and the International Fund for Agricultural Development (IFAD) for the Joint Programme “Accelerating Progress towards the Economic Empowerment of Rural Women” to promote

MI	Overall survey mean score	Document review rating	Observations
			women's economic empowerment through improving their food and nutrition security, increasing their access to and control over productive resources, services and income, and strengthening their participation and leadership in local governance (UN, n.d. [01]). FAO partners with IFAD and WFP to facilitate the Food Security Information Network (FSIN) which is creating a community of practice around FSN issues. The case of Tanzania provides an interesting example of FAO's participation in <u>joint planning</u> through the <i>Delivering as One</i> framework. In Tanzania, FAO is active in the UN country team and operating within the UNDP framework (in the absence of a FAO country strategy). FAO's country office in Tanzania leads the UN country team's Economic Growth Working Group. According to interviews with staff, FAO is currently developing a new Country Programme Framework (CPF) for Tanzania, aligned with the strategic priorities outlined in the UNDP and, once approved, this new country strategy will be re-integrated into the joint UN monitoring mechanism. In terms of joint reporting/evaluation, FAO has conducted joint evaluations and assessments with the World Food Programme (WFP). For instance, in 2009, FAO and WFP produced a Joint Thematic Evaluation of FAO and WFP Support to Information Systems for Food Security (WFP, 2014 [01]) and are in the process of conducting a Joint Evaluation of Food Security Cluster Co-ordination in Humanitarian Action (WFP, 2014 [02]). Harmonisation of business procedures FAO harmonises its business operations with those of the other Rome-based agencies (IFAD and WFP) and UN organisations, in line with the search for economies of scale and improved efficiencies. It participates in or is piloting the use of the following harmonised business processes: (1) Harmonised approach to cash transfers (HACT) which is expected to be rolled-out beyond the pilot phase (2010-2013) following positive reviews; (2) International Public Sector Accounting Standards (IPSAS) – FAO has rolled-out IPSAS to HQ and Regional Offices and will prepare the first IPSAS-compliant financial statements for the year 2014; (3) Common UN procurement processes – FAO is actively involved in the High-Level Procurement Network of the UN, hosts a Common Procurement Team for the Rome-based agencies, and initiated more than 30 common tenders for the years 2010-2013 (FAO Conference, 2013 [08], pp. 6-7). The three Rome-based agencies (FAO, IFAD and WFP) agreed in 2009 to collaborate on four 'pillars' to enhance harmonisation between the agencies: (a) policy advice and monitoring; (b) operations; (c) advocacy and communications; and (d) administrative collaboration. The objectives are to join together to address world food security, and to strengthen the capacities of the three agencies to achieve their goals in providing guidance to the international community. The three organisations also recently agreed on five common food security and nutrition targets for the post-2015 agenda: (1) Access to food; (2) Malnutrition; (3) Sustainable food systems; (4) Smallholder productivity and income; (5) Food loss and waste.
MI 18.2 - The MO builds on the initiatives of others to avoid duplication.	4.22	--	This MI was assessed by survey only. Though FAO received an overall mean score of adequate for building on the initiatives of other actors to avoid duplication, direct partners responded more positively than peer organisations (respectively strong vs. adequate overall), and this difference is statistically significant.
MI 18.3 - The MO's work reflects its comparative advantage.	4.57	--	This MI was rated by survey respondents only. Donors at headquarters, direct partners and peer organisations were asked whether FAO's work reflects its particular area of comparative advantage; the majority (51%) rated the organisation strong or very strong. As mentioned in the section on relevance (KPI A), as part of its Strategic Thinking Process FAO has made considerable efforts to develop its reviewed Strategic Framework based on its comparative advantage. FAO has also rolled out an Effective Country Programming Learning Programme (ECP LP) to enhance staff capacities to improve the strategies focus, relevance and impact of FAO's work at country level, in response to recommendations provided by the Strategic Evaluation of Country Programming (2010) (FAO Conference, 2013 [08]).

MI	Overall survey mean score	Document review rating	Observations
MI 18.4 - The MO contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, annual programming exercises).	4.42	4	FAO was rated adequate overall by MOPAN donors at headquarters and peer organisations in the assessed countries where FAO participates in consolidated appeals (i.e. DRC and Kenya) for actively contributing to inter-agency plans and appeals. The rate of 'don't know' response was particularly high among donors at headquarters respondents (33%). The document review also rated FAO as adequate on this MI. Overall, the documents consulted present descriptive information of FAO's involvement in the consolidated appeals process (CAP) but provide limited feedback on its performance in this area. There is evidence that FAO has been engaging with other humanitarian organisations in the development of consolidated appeals in countries where it works in emergencies. In the countries assessed by MOPAN this year, FAO had developed in 2013 the FAO component of the Consolidated Appeal Process (CAP) for DRC and Kenya, where it detailed its proposal for emergency and rehabilitation assistance and funding required. As part of the consolidated appeals process, FAO has been taking the lead with WFP in undertaking needs assessment in the agriculture and livestock sector (OCHA, n.d. [01]). Given that FAO's contribution to emergencies is usually not considered by donors as having a direct impact on saving life, FAO has faced recurrent challenges in resourcing its part of the CAP. The organisation is rarely able to mobilise more than half of the funding it needs to fulfil its commitments under the CAP. As per Office for the Co-ordination of Humanitarian Affairs (OCHA) guidelines, FAO is making as of 2014 the transition to the new Humanitarian Strategic Response Plan, which consists of a humanitarian needs overview (formerly needs assessments), country strategies detailing strategic objectives and how the humanitarian community will achieve these, as well as cluster plans. This new strategic response plan, on which country level staff have received guidance from FAO's Emergency and Rehabilitation Division (TCE) at headquarters, will replace FAO's former CAP publication. As part of the new process, FAO country offices are also expected to monitor and report on their contribution to achieving joint strategic objectives outlined in the Humanitarian Strategic Response Plan (FAO, 2013 [47]).

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
	<i>Base (un-weighted)</i>	300	52	23	175	50	300	52	23	175	50
MI 18.1	The MO co-ordinates planning, programming, monitoring and reporting with other partners.	4.15	--	3.87	4.61	3.97	1.02	--	1.01	1.00	0.89
MI 18.2	The MO builds on the initiative of others to avoid duplication.	4.22	--	--	4.52	3.93	1.02	--	--	1.03	0.94
MI 18.3	The MO's work reflects its comparative advantage.	4.57	4.50	--	4.71	4.50	0.93	0.95	--	0.93	0.92
MI 18.4	The MO contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, annual programming exercises).	4.42	4.43	--	--	4.40	0.96	0.94	--	--	1.02

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 18.1	The MO co-ordinates planning, programming, monitoring and reporting with other partners.	25	8%	--	--	2	6%	17	9%	6	10%
MI 18.2	The MO builds on the initiative of others to avoid duplication.	25	10%	--	--	--	--	20	11%	5	9%
MI 18.3	The MO's work reflects its comparative advantage.	19	6%	2	4%	--	--	12	7%	5	9%
MI 18.4	The MO contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, annual programming exercises).	18	26%	17	33%	--	--	--	--	1	6%

3.1.19 KPI 19: Cluster management

KPI 19: The MO participates in the cluster system and dedicates sufficient resources for cluster management when it is a cluster lead or co-lead for humanitarian assistance.

Survey questions for micro-indicators 19.1 to 19.4 were asked only of respondents in countries included in the MOPAN assessment in which the Food Security Cluster is active (i.e. Bangladesh and DRC).



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

◇ indicates insufficient data available to provide a rating

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 19.1 - The MO dedicates sufficient analytical resources on behalf of the cluster it leads or co-leads.	4.20	--	This MI was assessed by survey only. When asked whether FAO, as a cluster lead or co-lead, dedicates sufficient analytical resources in support of advocacy for affected populations, 70% of respondents (i.e. direct partners and peer organisations) rated FAO adequate or above. In terms of analytic support, FAO noted that substantial input was provided during 2013/14 to the review of the Humanitarian Programming Cycle (HPC) and Transformative Agenda (TA) implementation which resulted in updated IASC protocols such as the Strategic Response Planning (SRP) guidance and the Cluster Coordination Reference Module aiming at greater effectiveness and operational relevance.
MI 19.2 - The MO provides sufficient overall leadership within the cluster it leads or co-leads via the provision of dedicated senior staff for co-ordination.	4.64	--	This MI was assessed by survey only. Direct partners and peer organisations were asked whether FAO, as a cluster lead or co-lead, provides dedicated senior staff for co-ordination of the cluster; the majority (63%) rated FAO strong or very strong.
MI 19.3 - The MO ensures that pertinent information is circulated within the cluster it leads or co-leads.	4.63	--	This MI was assessed by survey only. When asked whether FAO, as a cluster lead or co-lead, ensures that pertinent information is circulated within the cluster, the majority of direct partners and peer organisations (57% overall) provided strong or very strong ratings.
MI 19.4 - The MO generates reliable financial needs forecasts and articulates priorities for the cluster it leads or co-leads.	4.49	--	This MI was assessed by survey only. When asked whether FAO generates reliable forecasts of financial need for the cluster it leads or co-leads, 70% of respondents (i.e. direct partners and peer organisations) rated FAO adequate or above. FAO also noted that it includes on a regular basis project profiles for food security co-ordination (cluster or non-cluster). Sometimes, the project is specific and sometimes embedded within a broader food security project proposal.
MI 19.5 - The MO has effective	--	4	This MI was assessed by document review only, which rated FAO adequate.

MI	Overall survey mean score	Document review rating	Observations
practices and systems in place to act as a cluster lead or co-lead.			With the World Food Programme (WFP), FAO co-leads the Global Food Security Cluster (FSC), which was formally endorsed by the Inter-Agency Standing Committee (IASC) in 2010. The FSC, whose main purpose is to co-ordinate food security responses in major emergencies, is active (or has recently been active) in some 40 countries worldwide. The Strategic Plan of the FSC for 2013-2014 is structured around four main pillars: 1) capacity development in support of national clusters; 2) information management and learning; 3) operational and surge support to national clusters; and 4) advocacy, communication and partnership (FSC, n.d. [01]). To fulfil its objectives, the FSC is supported by a multi-institutional Global Support Team (GST) composed of the cluster's co-leads and a number of international NGOs working in the area of food and nutrition security. Moreover, the FSC has established three working groups that provide it with technical directions in the areas of communications and advocacy, needs assessments, inter-cluster food security and nutrition, and food security and livelihoods in urban settings. The FSC's latest annual report indicates that in 2012 country-based training was delivered to 187 cluster co-ordinators, information managers and partners to support them in performing their function in the cluster (FSC, 2013 [01], p. 7). The 2014 <i>WFP/FAO Joint Evaluation of Food Security Cluster Coordination in Humanitarian Action</i> notes that the Global FSC produces valuable guidance material, though it also suggests that such material could be used more consistently by coordination mechanisms in countries to provide guidance. Moreover, it indicates that the training provided by the FSC has had a positive effect on raising awareness about the cluster but has not had significant impact on country-level coordination because those trained have rarely been deployed (FAO Office of Evaluation, 2014 [08]). The 2014 <i>Evaluation of FAO's Contribution to Crisis-related Transition</i> also notes that the effectiveness of FAO's role as a cluster co-lead at the country level has varied and is contingent upon the quality of the FAOR and its staff, cluster coordinators and the support they receive from the regions and headquarters. Raising funds for cluster co-ordination has proved challenging for FAO but efforts are currently underway to strengthen capacities on the ground (FAO Office of Evaluation, 2014 [09]). FAO has already taken steps to strengthen co-ordination capacity, including increased and more targeted training and the creation of a pool of qualified and deployable co-ordinators (FAO Programme Committee, 2014 [03]). Overall, the 2014 joint evaluation noted that the FSC is often seen as one of the most successful clusters, though country cluster co-ordination it is not yet fully aligned with expectations articulated in global guidance materials. The evaluation concludes that food security co-ordination has had a positive effect on participating organisations by facilitating networking, helping to build trust, providing credible data for funding applications, enhancing clarity over the roles and responsibilities of different stakeholders, and reducing duplication of efforts, though such duplication has not been completely eliminated because many local and non-traditional humanitarian organisations have not been included in the co-ordination process. Co-ordination mechanisms have also contributed to more standardised and consistent reporting on food security among participating organisations, though enhanced reporting has seldom led to learning from good practices and lessons learned. The evaluation also suggests that more could be done to integrate contingency planning and preparedness into food security co-ordination, although the FSC in Bangladesh has focused extensively in this area and is showing promising results. There is also room for improving the handing over of co-ordination responsibilities to the government once a cluster is deactivated.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
	<i>Base (un-weighted)</i>	300	52	23	175	50	300	52	23	175	50
MI 19.1	The MO dedicates sufficient analytical resources on behalf of the cluster it leads or co-leads.	4.20	--	--	4.47	3.98	0.99	--	--	1.04	0.91
MI 19.2	The MO provides sufficient overall leadership within the cluster it leads or co-leads via the provision of dedicated senior staff for co-ordination.	4.64	--	--	4.78	4.54	1.04	--	--	0.84	1.17
MI 19.3	The MO ensures that pertinent information is circulated within the cluster it leads or co-leads.	4.63	--	--	4.87	4.43	0.91	--	--	0.80	0.97
MI 19.4	The MO generates reliable financial needs forecasts and articulates priorities for the cluster it leads or co-leads.	4.49	--	--	4.43	4.55	1.00	--	--	1.18	0.82
MI 19.5	The MO has effective practices and systems in place to act as a cluster lead or co-lead.	--	--	--	--	--	--	--	--	--	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 19.1	The MO dedicates sufficient analytical resources on behalf of the cluster it leads or co-leads.	10	11%	--	--	--	--	10	21%	0	0%
MI 19.2	The MO provides sufficient overall leadership within the cluster it leads or co-leads via the provision of dedicated senior staff for co-ordination.	10	11%	--	--	--	--	10	22%	0	0%
MI 19.3	The MO ensures that pertinent information is circulated within the cluster it leads or co-leads.	9	10%	--	--	--	--	9	20%	0	0%
MI 19.4	The MO generates reliable financial needs forecasts and articulates priorities for the cluster it leads or co-leads.	13	19%	--	--	--	--	11	22%	2	16%
MI 19.5	The MO has effective practices and systems in place to act as a cluster lead or co-lead.	--	--	--	--	--	--	--	--	--	--

PERFORMANCE AREA IV: KNOWLEDGE MANAGEMENT

3.1.20 KPI 20: Evaluating results

KPI 20: The MO consistently evaluates its results.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 20.1 – The MO has a structurally independent evaluation unit within its organisational structure that reports to senior management or the Executive Board.	4.77	5	When MOPAN donors at headquarters were asked whether FAO ensures the independence of its evaluation unit, almost half (48%) rated FAO strong or very strong. The document review also rated FAO as strong on this MI. FAO's evaluation function has existed since 1968. Following a recommendation from the IEE to establish this function as a separate office, the Office of Evaluation (OED) was formally established in 2010 through the adoption of the Charter for the FAO Office of Evaluation, which sets forth the primary principles underpinning evaluation, one of which is independence. FAO's evaluation function, the OED, resides within the FAO Secretariat. It reports to the Director-General and the Council through the Programme Committee and is structurally independent of operational and technical line management functions. There is evidence that the OED recruits teams of independent consultants with no prior involvement in the work evaluated to carry out its evaluations. A peer review of FAO's evaluation function was undertaken in 2012 by a panel of professional evaluators in line with UNDG's Framework for Professional Reviews of the Evaluation Function of UN Organisations. The peer review concluded that while the direct reporting line to the Director-General implies that the evaluation function does not have full structural independence, no other UN organisation aside from IFAD has greater structural independence. Moreover, the OED is among the most functionally independent evaluation units across the United Nations along with the evaluation functions of IFAD and UNDP.
MI 20.2 – The evaluation function provides sufficient coverage of the MO's programming activity (projects, programmes, etc.).	--	4	This MI was assessed by document review only, which rated FAO as adequate for having an evaluation function that provides sufficient coverage of its programming activities. The OED budget increased from 0.5% of FAO's net appropriations in 2005-06 to 0.8% in 2014-15 as set forth in the Programme of Work and Budget. In 2013 the OED issued the Procedures for Financing the Evaluation of Initiatives funded by Voluntary Contributions to ensure systematic and ample coverage of FAO's work. According to the Charter for the OED, all FAO's work is subject to evaluation through: 1) thematic evaluations to Governing Bodies; 2) country evaluations; and 3) evaluations of programmes and projects which are usually financed through voluntary contributions. According to the Charter, all programmes and projects with a total budget exceeding USD 4 million are subject to a separate evaluation while those with a lesser value are evaluated as part of country evaluations or thematic evaluations to Governing Bodies.

MI	Overall survey mean score	Document review rating	Observations
			While the number of programme/project evaluations and thematic evaluations carried out by the OED during 2012-13 involved 88 country field missions, only five country programme evaluations were undertaken during that period. For the six countries included in this year's MOPAN assessment, no recent country programme evaluations were available. Interviews at Headquarters indicate that the number of country evaluations carried out by the OED is expected to rise as the organisation increases its focus on country results. According to the Indicative Rolling Workplan of Strategic and Programme Evaluation 2015-17, five to seven country evaluations should be undertaken annually (FAO Programme Committee, 2014 [07]).
MI 20.3 – The MO ensures the quality of its evaluations.	--	5	This MI was assessed by document review only, which rated FAO as strong for having an evaluation function that ensures the quality of its evaluations. As highlighted by the 2014 <i>Independent Review of FAO governance reforms</i> (draft), member states have expressed a high level of satisfaction regarding the quality of the work produced by FAO's evaluation function, the OED (FAO Office of Evaluation, 2014 [10]). Credibility is one of the primary principles underpinning evaluation set forth in the Charter for the OED. The Charter stipulates that quality assurance mechanisms are in line with UNEG norms and standards and include internal peer reviews for evaluation reports and independent experts' panels for major thematic evaluations to Governing Bodies. The Charter provides for an independent evaluation of the evaluation function every six years; as the OED was established in 2010, such an evaluation is planned for 2016. Since November 2011, the OED has issued a number of quality assurance tools and guidelines to ensure quality of its evaluations. In November 2014, the External Auditor confirmed the implementation of a previous recommendation to improve quality assurance tools for project evaluations (FAO Finance Committee, 2014 [08], p. 22). These new mechanisms should lead to enhanced internal peer reviews of OED evaluations.
MI 20.4 – Evaluation findings are used to inform decisions on programming, policy, and strategy.	4.05	--	This MI was assessed by donors at headquarters only. The majority (58%) rated FAO adequate or strong. It was also noted during HQ interviews that FAO does not undertake decentralised evaluations. The fact that all evaluations are centralised within the OED facilitates quality assurance of evaluations; on the other hand, the absence of decentralised evaluations may limit the use of evaluation findings to inform country level programming.
MI 20.5 – Direct beneficiaries and stakeholder groups are involved in evaluation processes.	4.29	4	Direct partners and peer organisations were asked whether FAO involves i) key partners and ii) beneficiaries in evaluations of its projects and programmes. Overall, respondents rated FAO adequate. Direct partners responded more positively than peer organisations on the involvement of key partners, and this difference is statistically significant. However, there was a strong agreement across the two groups that FAO's involvement of key beneficiaries is adequate (statistically significant results). The document review also rated FAO as adequate on this MI. Transparency is one of the evaluation principles set forth in the Charter for the OED. The evaluation team is therefore expected to follow a highly consultative process with all relevant stakeholders through the entire evaluation process. The 2012 peer review of FAO's evaluation function noted that while the evaluation team engages stakeholders in several parts of the evaluation process, not all stakeholders are systematically engaged for all evaluations. The review also noted that engagement with stakeholders appeared to be higher for thematic and country evaluations than for project evaluations.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
	<i>Base (un-weighted)</i>	300	52	23	175	50	300	52	23	175	50
MI 20.1	The MO has a structurally independent evaluation unit within its organisational structure that reports to senior management or the Executive Board.	4.77	4.77	--	--	--	0.87	0.87	--	--	--
MI 20.2	The evaluation function provides sufficient coverage of the MO's programming activity (projects, programmes, etc.).	--	--	--	--	--	--	--	--	--	--
MI 20.3	The MO ensures quality of its evaluations.	--	--	--	--	--	--	--	--	--	--
MI 20.4	Evaluation findings are used to inform decisions on programming, policy, and strategy.	4.05	4.05	--	--	--	0.86	0.86	--	--	--
MI 20.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes.	4.29	--	--	4.53	3.96	1.07	--	--	1.07	0.96
Sub-MI	i) FAO involves key partners in evaluations of its projects or programmes.	4.30	--	--	4.60	3.94	1.08	--	--	1.04	1.03
Sub-MI	ii) FAO involves key beneficiaries in evaluations of its projects or programmes.	4.29	--	--	4.46	3.98	1.06	--	--	1.11	0.90

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct Partners		Peer Organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 20.1	The MO has a structurally independent evaluation unit within its organisational structure that reports to senior management or the Executive Board.	13	25%	13	25%	--	--	--	--	--	--
MI 20.2	The evaluation function provides sufficient coverage of the MO's programming activity (projects, programmes, etc.).	--	--	--	--	--	--	--	--	--	--
MI 20.3	The MO ensures quality of its evaluations.	--	--	--	--	--	--	--	--	--	--
MI 20.4	Evaluation findings are used to inform decisions on programming, policy, and strategy.	14	27%	14	27%	--	--	--	--	--	--
MI 20.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes.	31	23%	--	--	--	--	14	8%	17	38%
Sub-MI	i) FAO involves key partners in evaluations of its projects or programmes.	28	18%	--	--	--	--	16	9%	12	26%
Sub-MI	ii) FAO involves key beneficiaries in evaluations of its projects or programmes	34	28%	--	--	--	--	12	7%	22	49%

3.1.21 KPI 21: Presenting performance information

KPI 21: The MO presents performance information on its effectiveness.

Along with the improved corporate results framework developed in 2013 (discussed in KPI 3 on corporate focus on results), FAO has for the first time in its history put in place mechanisms to collect data at all levels of the organisation that will be used to report on its strategic objectives. The first performance report using this new system will be the PIR 2014-15 which will be presented to the Conference in July 2017.

In September 2014, FAO's Corporate Programme Monitoring Broad (CPMB) formally instituted the Corporate Monitoring System in which four streams of performance information will flow through six management levels using corporate information systems such as Field Programme Management Information System (FPMIS), the Programme Planning, Implementation Reporting and Evaluation Support System (PIRES), the Global Resource Management System (GRMS) and the Corporate Dashboard. Through this system, the CPMB established clear lines of accountability for monitoring and reporting as well as quality assurance mechanisms (FAO, 2014 [46]).

FAO's process for monitoring and reporting on its new strategic objectives is detailed in its Corporate M&E Framework (FAO, 2013 [49]). While outputs will be measured on a yearly basis, outcomes will be measured at the end of each biennium and reported in the PIR. In collaboration with strategic objective teams and FAO's statistics department, FAO has developed methodological notes for data collection on output indicators for all five strategic objectives (FAO, 2014 [51]). These notes have already been shared with relevant departments and decentralised offices and the data collection process for output monitoring and reporting has already begun in preparation for the 2014 Mid-term Synthesis Report. At the end of the biennium, the baseline survey (see KPI 3 on corporate focus on results) used to set baseline data in the corporate results framework will be used to collect data on outcome indicators, in addition to a review of secondary data sources. FAO's statistics department will be responsible for interpreting the data collected on strategic objective indicators.

While there are still weaknesses in RBM capacities across the organisation, FAO's first corporate monitoring and reporting exercise has already contributed to identifying certain gaps in monitoring and reporting and represents a significant shift for the organisation in terms of managing for results.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- equal weight is given to the views of each of the respondent groups
- equal weight is given to each of the countries where the survey took place
- equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 21.1 – The MO reports against its organisation-wide strategy, including contribution to outcomes.	4.07	3	MOPAN donors at headquarters were asked whether :i) FAO's reporting against its organisational strategy is useful and ii) FAO's reports to its Governing Bodies provide clear measures of contribution to outcomes. On the first question, the majority (65%) rated FAO adequate or above. On the second question, 52% rated FAO adequate or above, while 27% rated it as inadequate or below. The document review, which looked at whether FAO reports against its organisation-wide strategy in its latest performance reports (i.e. PIRs 2010-11 and 2012-13), including contribution to outcomes, rated FAO as inadequate. FAO reports on its strategic objectives in two reporting instruments: The Mid-term Review (MTR) Synthesis Report,

MI	Overall survey mean score	Document review rating	Observations
			which reports on the likelihood that targets outlined in the Programme of Work and Budget (PWB) will be met in the biennium, and the Programme Implementation Report (PIR), which reports on the achievement of results for each biennium. Inconsistencies in the level of results statements in the strategic framework for the 2010-13 strategic cycle hindered FAO's ability to report on contributions towards outcomes in its most recent PIRs as many organisational results were formulated as outputs. Moreover, the lack of a results chain made it difficult to understand the link between results statements and strategic objectives. In its reviewed Strategic Framework, FAO has better formulated its outputs and outcomes and has significantly improved its results chain. As a result, reporting should be enhanced in the PIR 2014-15.
MI 21.2 – The MO reports performance using data obtained from measuring indicators.	--	3	This MI was assessed by document review only, which rated FAO as inadequate for reporting on its performance using data obtained from measuring indicators. The PIR 2010-11 reported on performance using data obtained from measuring indicators; this represents a significant improvement over the PIR 2008-09 which only reported in a narrative form. However, a number of issues regarding the indicators, baselines, and targets set in the Strategic Framework for the 2010-13 strategic cycle adversely affected the quality of reporting in the PIR 2010-11 and 2012-13: 1) Too many organisational results and indicators hindered FAO's ability to report in a concise and comprehensive manner; 2) The rationale for setting baselines and targets was unclear. In addition, baselines did not always make sense and targets were often very low, resulting in overly positive reported results. In its reviewed Strategic Framework, FAO has reduced its strategic objectives from 11 to 5 and organisational results (now called organisational outcomes in the DRF) from 49 to 17; however, FAO's measurement strategy may prove challenging to implement and it is still too early to assess whether reporting will be improved in the PIR 2014-15.
MI 21.3 – The MO reports against its country strategies, including contribution to outcomes.	3.88	3	When asked whether FAO reports appropriately on its country strategies, 52% of MOPAN donors at headquarters rated the organisation adequate or above, and 38% admitted not knowing the answer to this question. The document review rated FAO as inadequate on this MI. FAO's previous country programming document, the NMTPF, did not include a results framework with indicators; as a result, FAO did not use indicators to report on country performance or contribution to outcomes. With the recent transition from NMTPF to CPF, FAO's new results-based country programming document, the organisation has issued guidelines requiring country offices to report on outcomes through the FAOR report. Quality in the FAOR reports reviewed was uneven; some reports used indicators to show progress toward results while others reported in a narrative form without using indicators. However, the assessment team did notice some progress compared to past FAOR reports and anticipates that country offices will continue to improve their reporting on outcomes, especially as FAO progresses in making the transition from project to country programming. For further information on reporting at country level, please also see KPI C on evidence of progress toward stated country-level results.
MI 21.4 – The MO reports against its aid effectiveness commitments (e.g. Busan commitments).	--	5	This MI was assessed by document review only, which rated FAO as strong for reporting against its aid effectiveness commitments. FAO reports on its aid effectiveness commitments in the biennial report presented to the Conference on the Quadrennial Comprehensive Policy Review (QCPR). The Governing Bodies have not asked FAO to produce a separate report on these commitments.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
	<i>Base (un-weighted)</i>	300	52	23	175	50	300	52	23	175	50
MI 21.1	The MO reports against its organisation-wide strategy, including contribution to outcomes.	4.07	4.07	--	--	--	0.89	0.89	--	--	--
Sub-MI	i) FAO's reporting against its organisational strategy is useful.	4.23	4.23	--	--	--	0.84	0.84	--	--	--
Sub-MI	ii) FAO's reports to its Governing Bodies provide clear measures of contribution to outcomes.	3.90	3.90	--	--	--	0.94	0.94	--	--	--
MI 21.2	The MO reports performance using data obtained from measuring indicators.	--	--	--	--	--	--	--	--	--	--
MI 21.3	The MO reports against its country strategies, including contribution to outcomes.	3.88	3.88	--	--	--	0.70	0.70	--	--	--
MI 21.4	The MO reports against its aid effectiveness commitments (e.g. Busan commitments).	--	--	--	--	--	--	--	--	--	--

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct Partners		Peer Organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 21.1	The MO reports against its organisation-wide strategy, including contribution to outcomes.	12	23%	12	23%	--	--	--	--	--	--
Sub-MI	i) FAO's reporting against its organisational strategy is useful.	13	25%	13	25%	--	--	--	--	--	--
Sub-MI	ii) FAO's reports to its Governing Bodies provide clear measures of contribution to outcomes.	11	21%	11	21%	--	--	--	--	--	--
MI 21.2	The MO reports performance using data obtained from measuring indicators.	--	--	--	--	--	--	--	--	--	--
MI 21.3	The MO reports against its country strategies, including contribution to outcomes.	20	38%	20	38%	--	--	--	--	--	--
MI 21.4	The MO reports against its aid effectiveness commitments (e.g. Busan commitments).	--	--	--	--	--	--	--	--	--	--

3.1.22 KPI 22: Disseminating lessons learned

KPI 22: The MO encourages the identification and documentation of lessons learned and/or best practices.



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group and/or that it was not part of the document review.

Overall survey and document review ratings and observations, by MI

MI	Overall survey mean score	Document review rating	Observations
MI 22.1 - The MO reports on lessons learned based on performance information.	--	4	This MI was assessed by document review only, which rated FAO as adequate for reporting on lessons learned based on performance information. The IEE was fairly critical of the use of knowledge management in FAO. Subsequently, the FAO Knowledge Strategy was approved by the organisation in 2011. One of its strategic principles is to improve the effectiveness and productivity of FAO staff through enhanced knowledge sharing between staff at headquarters and in decentralised offices (FAO, 2011 [06], pp. 9-10). In the past, limited information technology installations and Internet connectivity in the field restricted opportunities for internet-based communication and knowledge sharing between headquarters and decentralised offices. FAO has made significant efforts in recent years to address this issue and the assessment team noted that all country and regional offices visited had functioning videoconference installations. Interviewed staff in decentralised offices also highlighted that country offices now connect on a regular basis with regional offices and headquarters through these IT installations to share knowledge and lessons learned. There is evidence that FAO's technical departments produce reports on lessons learned on a regular basis. However, under the previous Strategic Framework, these technical departments had been working under separate strategic objectives (i.e. in silos), which had led in some instances to the duplication of technical work and lack of technical knowledge sharing between departments. Under the reviewed Strategic Framework, FAO's technical work cuts across the five new strategic objectives horizontally with the aim to enhance collaboration between the technical departments. To ensure knowledge sharing under the reviewed Strategic Framework between technical teams around the globe, as of 2014 FAO has established 11 technical networks along FAO's main disciplinary lines: crop; livestock; rural and agricultural finance; value chain development; food safety and quality; fisheries and aquaculture; statistics and data; climate, energy and tenure; land/water management and governance; environmental and social impact assessment (FAO, 2014 [20], p. 1). While these changes are positive, it is too early to assess their effectiveness. The Office of Evaluation (OED) has made efforts to increase its capacity to fulfil its role in feeding lessons learned to the corporate feedback loop. It has recently adopted an Evaluation Knowledge Management Strategy and has established an evaluation knowledge management position (FAO Office of Evaluation, 2013 [05], p. 2). In response to a recommendation from the External Auditor's latest report to enhance knowledge management and the use of lessons learned from project evaluations, the OED expected to have by the end of 2013 a functioning database containing evaluation findings, recommendations and lessons learned to be used by the organisation for decision making (FAO Finance Committee, 2013 [01], p. 47).

MI	Overall survey mean score	Document review rating	Observations
MI 22.2 - Learning opportunities are organised to share lessons at all levels of the organisation.	3.83	--	This MI was assessed by MOPAN donors at headquarters only. Overall, 44% of respondents rated FAO adequate or above and 33% responded 'don't know'. The FAO Knowledge Strategy (2011) is being delivered through a number of corporate learning opportunities, including: (i) organising Knowledge Share Fairs which bring together FAO's partners and stakeholders to exchange ideas; (ii) providing training, guidance and support to strengthen the sharing of ideas and information in online and face-to-face networks and communities; (iii) providing support and facilitation to enable better knowledge sharing within FAO; (iv) developing staff skills through training in core competencies related to knowledge sharing; (v) promoting a healthy exchange of ideas, practical know-how and good practices through internal communities of practice such as the Knowledge Café. (FAO, 2011 [06])
MI 22.3 -The MO facilitates the exchange of knowledge in the area of agriculture and food and nutrition security.	4.59	4	When asked whether FAO facilitates the exchange of knowledge in the area of agriculture and food and nutrition security, respondents provided an overall rating of strong. However, MOPAN donors at headquarters and direct partners responded more positively than donors in-country and peer organisations, and these differences are statistically significant. The document review rated FAO as adequate on this MI. The FAO Knowledge Strategy (2011) aims to facilitate access to and exchange of knowledge in the area of agriculture and food security, as well as to assist member countries generate, access and utilise knowledge to address their food security goals. (FAO, 2011 [06], p. 5) Two of FAO's seven core functions, which were revised in 2012 as part of the Strategic Thinking Process, focus on the generation and dissemination of knowledge, including statistics and data: 1) Assemble, analyse, monitor and improve access to data and information, in areas related to FAO's mandate; 2) Advise and support activities that assemble, disseminate and improve the uptake of knowledge, technologies and good practices in the areas of FAO's mandate. (FAO Conference, 2013 [05], p. 18) Under the previous Strategic Framework, the silo structure posed a significant hurdle to knowledge dissemination. Under the reviewed Strategic Framework, FAO is now integrating knowledge horizontally across the five strategic objectives. The reviewed Strategic Framework also includes an internal objective, Objective 6, that measures the quality of FAO's technical knowledge and the capacity of member countries to use, collect, analyse and disseminate data. FAO generates statistics and data in the area of food and agriculture. FAOSTAT, FAO's most renowned website where external users can access statistics in English, French and Spanish, had received 9 million hits per month at the end of 2013, which represents a 50% increase compared to 2010. (FAO Conference, 2014 [02], p. 34) The <i>Programme Evaluation Report</i> published in 2013 by the Office of Evaluation (OED) notes that FAO has produced some excellent knowledge products across all thematic sectors in which FAO works (i.e. fisheries, crops, livestock, forestry, etc.). However, the OED noted that FAO had produced a number of publications of lesser quality that had been poorly disseminated and not sufficiently targeted in terms of outreach (FAO Office of Evaluation, 2013 [05], p. 5). FAO has taken a number of measures to address these issues, including the adoption of a new Corporate Publishing Policy, increased resources for the production and dissemination of flagship publications, and greater electronic dissemination through email and social media campaigns (FAO Programme Committee, 2014 [01]). FAO hosts the Capacity Development Portal: Knowledge Management and Gender, and is active in the Food Security Information Network (FSIN) with WFP and IFPRI.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
Base (un-weighted)		300	52	23	175	50	300	52	23	175	50
MI 22.1	The MO reports on lessons learned based on performance information.	--	--	--	--	--	--	--	--	--	--
MI 22.2	Learning opportunities are organised to share lessons at all levels of the organisation.	3.83	3.83	--	--	--	1.07	1.07	--	--	--
MI 22.3	The MO facilitates the exchange of knowledge in the area of agriculture and food and nutrition security.	4.59	4.88	4.28	4.84	4.36	1.10	1.02	1.15	1.13	0.99

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct Partners		Peer Organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
MI 22.1	The MO reports on lessons learned based on performance information.	--	--	--	--	--	--	--	--	--	--
MI 22.2	Learning opportunities are organised to share lessons at all levels of the organisation.	17	33%	17	33%	--	--	--	--	--	--
MI 22.3	The MO facilitates the exchange of knowledge in the area of agriculture and food and nutrition security.	14	4%	4	8%	1	4%	8	5%	1	1%

3.2 Evidence of FAO's relevance and development results

3.2.1 KPI A: Evidence of FAO's relevance



Mean Score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
- b) equal weight is given to each of the countries where the survey took place
- c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, see Methodology in Volume II, Appendix I.

Overall – includes all respondents. “--” indicates that the question was not asked among a particular respondent group.

Survey mean scores and standard deviation, overall and by respondent group

		Survey mean scores					Standard deviation				
		Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations	Overall	Donors at HQ	Donors in-country	Direct partners	Peer organisations
Base (un-weighted)		300	52	23	175	50	300	52	23	175	50
A1	The MO is pursuing results in areas within its mandate.	4.58	4.52	4.31	4.80	4.68	0.91	0.99	0.78	0.89	0.90
A2	The MO's results are in line with global trends and priorities in the development/humanitarian field.	4.49	4.46	4.36	4.79	4.31	0.89	0.91	0.69	0.86	1.00
A3	The MO's results respond to the needs/priorities of its target group (beneficiaries).	4.39	--	4.30	4.57	4.27	0.95	--	0.87	1.07	0.87
A4	The MO adapts its work to the changing needs and priorities of the country.	4.15	--	3.88	4.58	3.98	0.95	--	0.83	0.95	0.93

Don't know responses, overall and by respondent group

#DK = number of respondents who were asked the question (un-weighted data) and replied "don't know"

% DK = percentage of respondents who indicated "don't know" to the question (weighted data)

		Overall		Donors at HQ		Donors in-country		Direct partners		Peer organisations	
		#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK	#DK	%DK
A1	The MO is pursuing results in areas within its mandate.	9	3%	2	4%	1	4%	5	3%	1	2%
A2	The MO's results are in line with global trends and priorities in the development/humanitarian field.	16	7%	2	4%	2	13%	8	5%	4	8%
A3	The MO's results respond to the needs/priorities of its target group (beneficiaries).	11	8%	--	--	3	15%	4	2%	4	8%
A4	The MO adapts its work to the changing needs and priorities of the country.	9	6%	--	--	1	3%	3	2%	5	13%

3.2.2 KPI B: Evidence of progress towards organisation-wide results

Because of the focus on development results, KPI B examines evidence of an organisation's contributions to its strategic objectives or outcomes over the past 3-5 years and is inherently retrospective. In the case of FAO, the emphasis of the review is on the results emerging from implementation of the FAO strategic framework for 2010 – 2013 which included 11 strategic objectives. As such, KPI B does not capture the more recent events of FAO's strategic thinking process, its reviewed Strategic Framework, its re-organisation or new processes.

The assessment team identified the main areas of FAO achievement and analysed the evidence provided to support conclusions in performance reports. The key documents used for the assessment include the Programme Implementation Reports (PIRs) for the biennia 2010-11 and 2012-13, both of which were based on the Strategic Framework 2010-2019 approved in November 2009. The assessment also drew on six FAO evaluations of strategic objectives, themes or large programmes published by FAO's Office of Evaluation. These evaluations were selected because they were major evaluations covering FAO's work during part or most of the period under review (i.e. 2010-2013). Although the review centres on FAO contributions to results between 2010 and 2013, evaluations are by nature retrospective and may reflect on the work implemented during earlier strategic cycles. The assessment is also based on data from the MOPAN survey. MOPAN donors at headquarters were asked questions about FAO progress in each of the 11 strategic objective areas.

The following sections provide an overview of recent improvements and on-going concerns with measuring results, and then provide a detailed assessment of the evidence of results in each of the outcome areas. As noted by FAO in comments to the draft report, several of the issues raised below are now being addressed by improvements in the revised results framework and reporting methodologies.

Results measurement

This section examines FAO's measurement of strategic objectives (SO) in terms of theory of change, baselines, targets, and accuracy of data reported. The results of the analysis are presented in the table below, which is based on the review of PIRs 2010-2011 and 2012-13 and available evaluation reports. FAO has acknowledged weaknesses in reporting practices in place through 2013 (as noted in KPI 21), and thus many of these limitations are already being addressed. As a result this section does not go into the PIRs in any further detail.

	FAO Strategic Objectives	Explicit theory or theories of change ⁱ	Baselines included for indicators	Targets included for indicators	Reports on outputs ⁱⁱ	Reports on outcomes ⁱⁱⁱ	Quality of data ^{iv}
SO A	Sustainable intensification of crop production.	Not met	Partially met	Partially met	Partially met	Not met	Partially met
SO B	Increased sustainable livestock production.	Not met	Met	Partially met	Met	Not met	Partially met
SO C	Sustainable management and use of fisheries and aquaculture resources.	Not met	Not met	Partially met	Partially met	Not met	Partially met
SO D	Improved quality and safety of food at all stages of the food chain.	Not met	Met	Partially met	Met	Not met	Partially met
SO E	Sustainable management of forests and trees.	Not met	Met	Partially met	Met	Not met	Partially met
SO F	Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture.	Not met	Partially met	Partially met	Met	Not met	Partially met
SO G	Enabling environment for markets to improve livelihoods and rural development.	Not met	Not met	Partially met	Partially met	Not met	Partially met

	FAO Strategic Objectives	Explicit theory or theories of changeⁱ	Baselines included for indicators	Targets included for indicators	Reports on outputsⁱⁱ	Reports on outcomesⁱⁱⁱ	Quality of data^{iv}
SO H	Improved food security and better nutrition.	Not met	Partially met	Partially met	Met	Not met	Partially met
SO I	Improved preparedness for, and effective response to, food and agricultural threats and emergencies.	Not met	Met	Partially met	Met	Not met	Partially met
SO K	Gender equity in access to resources, goods, services and decision-making in the rural areas.	Not met	Met	Partially met	Partially met	Not met	Partially met
SO L	Increased and more effective public and private investment in agriculture and rural development.	Not met	Met	Partially met	Partially met	Not met	Partially met



Mean Score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

a) equal weight is given to the views of each of the respondent groups

b) equal weight is given to each of the countries where the survey took place

c) equal weight is given to respondent groups within each country where the survey took place

However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

#DK = number of respondents who were asked the question (un-weighted data) and replied “don’t know”

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Evidence of contributions/progress towards results: Survey mean scores, standard deviation, and don’t know responses – donors at headquarters

		Survey mean scores	Standard deviation	#DK	%DK
	<i>Base (un-weighted)</i>	52	52	52	52
	FAO Strategic Objectives				
SO A	Sustainable intensification of crop production	4.23	0.76	12	23%
SO B	Increased sustainable livestock production	4.09	0.71	18	35%
SO C	Sustainable management and use of fisheries and aquaculture resources	4.26	0.86	18	35%
SO D	Improved quality and safety of food at all stages of the food chain	4.19	0.82	9	17%
SO E	Sustainable management of forests and trees	4.32	0.74	14	27%
SO F	Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture	4.10	0.98	11	21%
Sub-MI	i) FAO has demonstrated progress towards its stated goal of managing land, water and genetic resources (biodiversity) in a sustainable manner.	4.22	0.98	11	21%
Sub-MI	ii) FAO has demonstrated progress towards its stated goal of improving responses to global environmental challenges affecting food and agriculture (e.g. climate change and bioenergy).	3.98	0.98	11	21%
SO G	Enabling environment for markets to improve livelihoods and rural development	3.95	0.96	12	23%
SO H	Improved food security and better nutrition	4.42	0.90	9	17%
SO I	Improved preparedness for, and effective response to, food and agricultural threats and emergencies	4.72	0.88	9	17%
SO K	Gender equity in access to resources, goods, services and decision-making in the rural areas	3.60	1.23	9	17%
SO L	Increased and more effective public and private investment in agriculture and rural development	3.40	1.15	9	17%

Further analysis by groups of objectives

Evaluations provide a valued source of evidence about an organisation's contributions to development results. Thus, to complement the review of the PIR, the assessment also drew on six FAO evaluations of strategic objectives, themes or large programmes published by FAO's Office of Evaluation. The evaluations are also retrospective in nature. To increase the efficiency of the in-depth analysis of evaluation reports and provide more concise findings, the assessment team categorised 9 of FAO's 11 strategic objectives and associated organisational results in three groups based on programming approaches and intended outcomes. These groups represent more than 85% of FAO expenditures.

- Group 1: Strategic objectives A to F
- Group 2: Strategic objectives G and L
- Group 3: Strategic objective I

There were no evaluations that covered FAO's strategic objectives for food security and nutrition (SO H) or gender equity (SO K) during the period under review (2010-2013) and therefore these objectives are excluded from the subsequent analysis.

FAO's considerable involvement in global policy research and analysis and its commitment to assist Members to develop and implement good agricultural policies cuts across many of the SOs, yet it is often not captured in the indicators that FAO used to report on its contributions. To the extent possible, the following sections reflect on the evidence of contributions both at a global level and country level.

Group 1 (Strategic Objectives A through F)

Group 1 includes FAO's strategic objectives for sustainable production programming in crops, livestock, fisheries, forestry, land, water and genetic resources and related food quality and safety initiatives; this more or less coincides with the current organisational structure of FAO's Department of Natural Resources, minus their divisions dealing with rural infrastructure and agro-industries. During the 2010-13 strategic cycle, this group represented 52.5% of total expenditures.

According to data reported in the PIRs, FAO has usually been effective in reaching its expected targets, except perhaps for SO-E (fisheries) where achievement rates range between 65% and 76% (FAO Conference, 2013 [11], p. 13)(FAO Conference, 2014 [01], p. 21).

Comprehensive evaluations were available for forestry (2012) and crops (2014) and on large programmes related to fisheries and natural resources. These evaluations are only indicative as they do not cover everything included in Group 1, but they do provide compelling evidence of results related to FAO's work at global level and suggest that its effectiveness at country level was variable.

Group 1 – contributions at global level

Nearly all evaluations reviewed praised FAO's performance in carrying out global normative work under the strategic objectives in Group 1. FAO is known for research and analysis and producing high quality knowledge products that are made available free of charge to international stakeholders in the fields of agriculture and food and nutrition security. Notable products include FAO's flagship publications: the *State of Food and Agriculture* (SOFA); the *State of the World's Forests* (SOFO); the *State of World Fisheries and Aquaculture* (SOFIA); the *State of the World's Land and Water Resources for Food and Agriculture* (SOLAW); and *World Livestock*. FAO has also done extensive research on and advocated new concepts to sustainably increase food productivity such as climate-smart agriculture (CSA), farmer field schools, and conservation agriculture. *Save and Grow*, one of FAO's most renowned flagship publications, has put the issue of productivity vs. sustainability at the forefront of global debates and, according to the *Evaluation of FAO's Role in Support of Crop Production* (2014), has successfully contributed to promoting sustainable crop production intensification (SCPI) among policy makers. FAO's efforts to promote sustainable management of crops, livestock, fisheries and land have not only led to the launch of the Save and Grow Initiative but also to the Global Soil Partnership and the Blue Growth Initiative, which emerged from the "blue economy" concept developed at the 2012 Rio+20 Conference (FAO Office of Evaluation, 2014 [03])(FAO Office of Evaluation, 2012 [08]).

As a neutral knowledge broker and membership organisation with global convening power, FAO has also successfully taken the leadership in global policy platforms related to food and agriculture, though the *Strategic Evaluation of FAO's Role and Work in Forestry* (2012) notes that its convening power to shape global and regional policies in the area of forestry was less than in previous decades (FAO Office of

Evaluation, 2012 [04], p. 28). FAO's pre-eminent role in global policy has notably led to the adoption of a number of treaties and conventions such as the Code of Conduct for Responsible Fisheries, the International Treaty on Plant Genetic Resources for Food and Agriculture, the International Plant Protection Convention, and the International Code of Conduct on Pesticide Management, for all of which FAO is the host. FAO is also secretariat to the Committee on World Food Security (CFS) and to a number of commissions through which it contributes to setting international standards, such as the Codex Alimentarius Commission, the Commission on Phytosanitary Measures, and the Commission on Genetic Resources for Food and Agriculture (FAO Office of Evaluation, 2014 [03]). FAO has also been very active in developing guidelines including, but not limited to, the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security and the draft Voluntary Guidelines for Securing Small-scale Fisheries. In their written comments, 19% of MOPAN survey respondents at headquarters commented that FAO's convening power constitutes one of its greatest strengths.

Group 1 – contributions at country level

As the secretariat to the aforementioned commissions, treaties and conventions, an important part of FAO's policy support in member countries is to ensure that the dispositions and standards stipulated in international norms are integrated into national policies and subsequently implemented. In this regard, there is some evidence that FAO's policy support has contributed to integrating global norms into national policies in member countries, especially in the areas of food safety, integrated pest management, fisheries and forestry (FAO Office of Evaluation, 2012 [08], p. 68). Indeed, the *Strategic Evaluation of FAO's Role and Work in Forestry* also highlights that FAO's work under the National Forest Programme Facility (NFPF), for which it is the host, and the African, Caribbean and the Pacific-Forest, Law Enforcement, Governance and Trade (ACP-FLEGT) Support Programme has contributed to enhancing forest-related policy environment and institutions in a number of countries (FAO Office of Evaluation, 2012 [04], p. xi). Moreover, there is ample evidence that FAO's work on CODEX has contributed to the implementation of international food quality and safety standards in member countries (FAO Office of Evaluation, 2012 [08], p. 46).

The evaluations reviewed suggested that there is still room for improvement in building the capacities of member countries for compliance with a number of international norms and standards for which FAO is the secretariat. A stakeholder survey undertaken as part of the *Evaluation of FAO's Role in Support of Crop Production* indicated that, aside from the International Treaty on Plant Genetic Resources for Food and Agriculture, the International Plant Protection Convention (IPPC) and Codex Alimentarius, FAO country level staff has had limited knowledge of or engagement with international treaties and conventions related to crops in their field activities (FAO Office of Evaluation, 2014 [03], p. 35). Similarly, the *Evaluation of FAO's Support to the Implementation of the Code of Conduct for Responsible Fisheries* (CCRF) stated that FAO has not been successful in monitoring the implementation of the CCRF, nor has it used its full potential to support the implementation of this code in member countries (FAO Office of Evaluation, 2012 [03], p. xi). The PIR also noted a shortfall in meeting targets for Organisational Result C01 which focuses essentially on support to the implementation of the CCRF at country level (FAO Conference, 2014 [02], p. 10).

The evaluations reviewed also noted that member countries were not using several of FAO guidelines, technical reports and other tools, notably in the areas of fisheries, forestry, and crops. The evaluations concluded that a number of FAO's knowledge products, with the exception of flagship publications mentioned above, did not always translate into increased capacities of partners at country level, as these were not always optimally disseminated and seldom targeted specific needs (FAO Office of Evaluation, 2013 [05], p. 5).

FAO's efforts to provide forecast data and to support national capacities to collect and analyse these data have contributed to the achievement of results in several strategic objectives in Group 1. For instance, data reported in the PIR indicate that FAO has surpassed its targets for all indicators that measure Organisational Result A02 on reducing risks from outbreaks of transboundary plant pests and diseases (FAO Conference, 2014 [02], p. 3). The *Evaluation of FAO's Role in Support of Crop Production* corroborates the data reported in the PIR by stating that "Crop protection is an area where FAO has made long-standing and valuable contributions, by helping countries respond quickly to new pest outbreaks." FAO Desert Locust Information System has significantly contributed to enhancing preparedness to locust outbreaks, which in turn had a positive impact on crop production (FAO Office of Evaluation, 2014 [03], p. 45).

As part of the UN-REDD programme, a joint effort launched by FAO, UNDP and UNEP to enhance the capacities of developing countries to reduce forest-carbon emission, FAO is the agency responsible for providing technical assistance to beneficiary countries in forest measurement, reporting and verification (MRV) systems. Though the evaluation was fairly critical of the ability of the UN-REDD programme as a whole to achieve outcome-level results, it reports that notable achievements have been made regarding the development of country capacities for MRV (UN-REDD, 2014 [01], p. iv).

Group 2 (Strategic objectives G and L)

Group 2 includes FAO's programming aimed at enabling the environment for markets to improve livelihoods and rural development (SO-G) and increasing and making more effective public and private investment in agriculture and rural development (SO-L). The rationale for grouping these two SOs is their inclusion of policies and programmes that aim to create a positive environment for investments in the agriculture sector, engagement with the private sector and a focus on improved rural economies. SO-G is focused principally on small producers and access to services while SO-L seeks larger-scale investments. Expenditures for this group during the 2010-13 strategic cycle amounted to USD 409 429 000.

The *Evaluation of FAO's Role in Investment for Food and Nutrition Security, Agriculture and Rural Development* (FAO Office of Evaluation, 2013 [08]) found that FAO had made limited contribution to increasing and making more effective public and private investment in agriculture and rural development due to inadequate technical and economic advice to governments, its inability to develop essential partnerships (including with the private sector), and the lack of a clear results-based strategy for FNSARD investments. Though a comprehensive evaluation of FAO's work under strategic objective G was not available, the *Evaluation of FAO's Role and Work in Food and Agriculture Policy* (2012) provides partial evidence of results in this area, as described further below.

Group 2 – contributions at global level

Regarding strategic objective G, the *Evaluation of FAO's Role and Work in Food and Agriculture Policy* notably cites the contribution of FAO's trade policy analysis to WTO negotiations and of its work on price volatility to recent G20 debates (FAO Office of Evaluation, 2012 [08], p. 45). Indeed, the narrative for SO G in the PIR 2012-13 highlights the contribution of the Agricultural Market Information System (AMIS), for which FAO hosts the Secretariat, in reducing the volatility of international markets in agricultural commodities (FAO Conference, 2014 [01], p. 41). During interviews at headquarters, FAO confirmed that this was a major area of contribution to organisation-wide results during the period under review.

In relation to SO L, the *Evaluation of FAO's Role in Investment for Food and Nutrition Security, Agriculture and Rural Development* (2013) applauded FAO's strong performance in helping to design and implement Food and Nutrition Security, Agriculture and Rural Development (FNSARD) investments. The upstream work of FAO's Investment Centre Division (TCI) on the identification of investment opportunities in FNSARD has led IFIs, donors, and governments to finance investments in 24 countries.

Moreover, FAO's flagship report on the State of Food and Agriculture (SOFA), which in 2012 focused solely on investment, was seen by the evaluation as a high quality knowledge product that indirectly contributes to FNSARD investments in developing countries.

FAO Support to CAADP and GAFSP: Positive examples of platforms for policy dialogue on investment

FAO has provided support to the CAADP process since its inception in 2003, strengthening the Secretariat, and providing regional and country support to formulate CAADP Country Compacts and subsequent investment plans. By 2012, FAO had facilitated 25 country investment plans and 6 additional Compacts and was working on up to 10 more.

Good quality country investment plans are pre-requisite for country eligibility to bid on Global Agriculture and Food Security Programme (GAFSP) grants and in the first three rounds of GAFSP funding FAO-supported countries marshalled approximately 50% of these funds, totalling USD 242 million, in 4 African and 3 Asian countries. FAO is also one of the supervising entities for technical assistance for GAFSP funding, helping to support implementation once grants are awarded.

FAO's role in global public-private partnerships and platforms affecting FNSARD investment was rated as unsatisfactory by the *Evaluation of FAO's Role in Investment for Food and Nutrition Security, Agriculture and Rural Development* (2013), which states that FAO "has neglected (or avoided) the private sector, both the big multinational corporate enterprises that span the global agricultural arena and the smaller private companies that are the key to increasing value added and jobs in FAO's member countries" (FAO Office of Evaluation, 2013 [08], p. xxxiii).

Group 2 – contributions at the country level

According to the *Evaluation of FAO's Role in Investment for Food and Nutrition Security, Agriculture and Rural Development*, FAO has not been successful in providing technical and economic advice to governments on policies that influence FNSARD investment, nor has it been able to adequately build the capacities of governments to design and implement investment plans for FNSARD (FAO Office of Evaluation, 2013 [08], p. lvii). FAO has also performed less well in providing platforms to facilitate policy dialogue on FNSARD investments at country and regional levels, except for its work on the Comprehensive Africa Agriculture Development Programme (CAADP) and the Global Agriculture and Food Security Programme (GAFSP) – see sidebar. The evaluations identify weaknesses in the FAORs, as well as the lack of support that is provided to develop them, as a major impediment to providing good policy advice and support at country level. FAO's recent efforts to strengthen its leadership in countries and increase the support available to develop FAORs in regional and sub-regional offices should address many of these issues.

Evaluations reviewed for this group were also critical of FAO's engagement with non-state stakeholders such as the private sector, civil society organisations and farmers associations. In recent years, FAO has

increasingly been acknowledging in its programming documents the importance of such partnerships for achieving food and nutrition security. Indeed, both strategic objectives G and K include organisational results whose achievement is contingent upon extensive work with these non-state actors (see sidebar for relevant organisation results). Interestingly, most of the indicators used to measure progress toward the achievement of these ORs were not specific about private or civil society partners but rather used the country as the main unit of analysis. As noted in the *Evaluation of FAO's Role and Work in Food and Agriculture Policy*, FAO involves agribusiness, farmers associations, and NGOs in policy-making consultation processes but their involvement beyond this point is low (FAO Office of Evaluation, 2012 [08], p. 66). In the PIR, FAO includes under OR L03 an indicator that measures the number of countries where a minimum of three public-private partnerships for investment in agro-industries have been established with FAO technical support. In 2011, FAO was below target with only one country having established such partnerships; in 2013, this indicator was not measured (FAO Conference, 2014 [02], p. 40).

Organisational results that require work with the private sector

SO – G

OR G01 – Appropriate analysis, policies and services enable small producers to improve competitiveness, diversify into new enterprises, increase value addition and meet market requirements

OR G03 – National and regional policies, regulations and institutions enhance the developmental and poverty reduction impacts of agribusiness and agro-industries

SO – L

OR L02 – Improved public and private sector organisation's capacity to plan, implement and enhance the sustainability of food and agriculture and rural development investment operations

OR L03 – Quality assured public/private sector investment programmes, in line with national priorities and requirements, developed and financed

Group 3 (Strategic objective I)

During the 2010-13 strategic cycle, FAO's work involved preparedness for and response to food and agricultural emergencies, as well as improving linkages between emergency, rehabilitation and development. Total expenditure for this strategic objective during the period under review totalled USD 937 621 000, which represents 23.4% of total expenditures for all strategic objectives (FAO Conference, 2013 [11], p. 62)(FAO Conference, 2014 [01], p. 88). The assessment team drew on the *Evaluation of FAO's role and work in Disaster Risk Reduction in Asia and in Latin America and the Caribbean* (2013), the *Evaluation of FAO's contribution to crisis-related transition* (2014) and the *Evaluation of FAO's Role in Support of Crop Production*(2014).

The PIR reports that FAO achieved 78% of its expected targets for SO-I for both biennia under review (FAO Conference, 2013 [11], p. 13; FAO Conference, 2014 [01]) but evidence available in evaluations provides a mixed picture of FAO's contributions to results.

In terms of enhanced emergency preparedness, FAO produced for the first time in 2011 the *Resilient Livelihoods: Disaster Risk Reduction for Food and Nutrition Security Framework Programme*, which is considered by the Evaluation of FAO's role and work in Disaster Risk Reduction in Asia and in Latin America and the Caribbean (2013) to be a good quality knowledge product that bridges the concepts of Disaster Risk Reduction (DRR) and Climate Change Adaptation (CCA). However, the evaluation

suggests that it could have been better disseminated. FAO has also developed a number of early warning systems, such as the Global Fire Information Management System (GFIMS), the Global Information and Early Warning System on crop prospect and food prices outlook (GIEWS) and the Emergency Prevention Systems (EMPRES), that have been widely used in Africa but have had limited use in Asia and Latin America thus far. It has also developed early warning systems on animal disease in Asia and one of its most notable contributions relates to its work in response to Highly Pathogenic Avian Influenza (HPAI) in Asia. According to the evaluation, partners were appreciative of FAO's response to HPAI emergencies, which have led to strengthening national surveillance systems and capacities for preparedness and response to outbreaks of this disease in conjunction with the World Health Organization (WHO) and others (FAO Office of Evaluation, 2013 [04], p. xv).

Regarding its response to agricultural threats, the *Evaluation of FAO's Role in Support of Crop Production* notes that FAO has contributed to post-crisis rehabilitation of agricultural production and rural development by providing seeds and other agricultural inputs but these interventions have often been short-term and not adequately linked to developmental work (FAO Office of Evaluation, 2014 [03], p. 27). A notable example of FAO's contribution to outcomes in this area relates to its response to the 2010 Pakistani flood which, according to the Office of Evaluation (OED), has "clearly contributed towards the restoration and revitalisation of agriculture and livestock production within the affected communities" (FAO Office of Evaluation, 2014 [03], p. VIII).

However, both the *Evaluation of FAO's contribution to crisis-related transition (2014)* and the *Evaluation of FAO's role and work in Disaster Risk Reduction in Asia and in Latin America and the Caribbean (2013)* note that the impact of FAO's emergency interventions have seldom been documented due to inadequacy of monitoring mechanisms that focussed on outputs rather than outcomes during the period under review.

3.2.3 KPI C: Evidence of progress towards stated country-level results

This section is based on FAO's stated country-level results in each country that was part of the MOPAN 2014 assessment. As in KPI B, the focus is on development results and, as a result, it is also retrospective. The assessment team used the priority areas highlighted in FAO's strategic framework in each country as the unit of analysis. When a country had more than one applicable strategic framework cycle during for the period under review (2011-14), the assessment team selected priority areas highlighted in both strategic frameworks (either NMTPF or CPF). Country offices validated the selection of the priority areas to be assessed. The section provides background information on FAO's strategic planning and reporting practices at the country level and gives an overview of the data used for this assessment.

Evolution of FAO's strategic planning and reporting practices

Since 2012 FAO's new strategic planning approach at the country level, the Country Programming Framework (CPF), has gradually replaced the NMTPFs as FAO's main tool to define its medium-term response to the assistance needs of its member countries. Country Annual Reports, CPF Mid-Term Reviews and Final CPF Self-Assessments are FAO's main reporting tools at the country level. In 2013, FAO updated its Guidelines for the preparation of FAO Country Annual Reports and now requires country offices to focus on results achieved at the output level in Annual Reports and on outcomes in the CPF Mid-Term Reviews and CPF Final Reviews. According to the guidelines, Country Annual Reports are required to include a results matrix defining expected outcomes and outputs, indicators, baseline, targets, achievements and ratings of the extent to which the country programme is on track. In addition, they provide an overview of the current project portfolio, key contextual factors influencing the implementation of projects, progress in the implementation of projects, key operational and managerial issues, and key challenges encountered during the year. The CPF Mid-Term Reviews and CPF Final Self-Assessment reports are broader in scope and will include reporting on outcomes and likely sustainability of benefits. However, given the recent implementation of CPFs, the Mid-Term Reviews and Final Assessments were not available to the MOPAN team for the six countries reviewed.

The introduction of these tools certainly represents a step in the right direction and will most likely improve FAO's capacity to report on results beyond activities and outputs in the longer term. Notwithstanding the notable progress made by FAO in introducing country programming monitoring and reporting tools, FAO is still transitioning from project to country programming and more time is needed for these systems to be fully functioning. As such, the assessment team relied heavily on project level reporting to complete the assessment, including Project Progress reports, Mid-Term Reviews, Terminal Statement reports and external project evaluations. FAO's donor-funded projects are required to provide

regular reports to donors and generally report on progress against a project log frame. The frequency of reporting is stipulated in the Funding Agreement signed between FAO and the donor, but typically involves quarterly reports, six month Progress Reports, Annual Reports and Terminal Reports.

Given the time and resources available to carry out the assessment, the assessment team analysed the progress toward country results based on a sample of up to two projects per priority area. Due to the lack of comprehensive reporting on country programming, the documents reviewed did not provide a complete picture of FAO's contributions to country level results during the period under review (2011-14). Given the relatively limited sample of project-level reports and significant variations with regard to focus, structure and content of the documents reviewed, the following analyses should be seen as indicative rather than conclusive.

Use of theory(ies) of change

FAO does not use theories of change in its strategic planning processes. However, CPFs do include a thorough description of the country context including key development priorities and how FAO intends to contribute to medium and long-term development results within its areas of comparative advantage. They also include results frameworks with a description of expected outputs, baselines, targets and indicators. FAO's Project Documents, which are the key planning documents at the project level, provide a more detailed description of the needs and specific contextual factors in the sectors addressed. They use a Logical Framework approach which outlines the intervention logic (including links between activities, outputs and outcomes) and the expected long-term development changes the projects seek to support. Project Documents also include a description of contextual factors that might influence the implementation and sustainability of projects as well as a detailed description of stakeholders such as key beneficiaries and implementation partners. While none of the documents reviewed explicitly refer to the use of theories of change, it is evident that FAO's key strategic planning documents (at the project level in particular) include some of the main elements associated with this approach. However, certain key elements normally included in theories of change are missing such as a clearly articulated graphical and narrative representation of possible impact pathways (e.g. how outputs lead to desired outcomes) and assumptions about how and why outputs will lead to these outcomes.^v This being said, FAO only recently (i.e. post-IEE) introduced log-frames as a mandatory component of larger project designs. Log-frames are suggested, but not required for Technical Co-operation Programmes (TCP) as they are typically small and short-term. Prior to the reform process following the IEE, the use of log-frames was not mandatory, but mostly applied at the discretion of the donor in relation to Trust Fund projects.

Data used for the assessment

The assessment of results in this section is based primarily on data presented in FAOR reports and project documents from the six countries included in the 2014 MOPAN assessment (Bangladesh, Cambodia, Democratic Republic Congo, Kenya, Tanzania and Ecuador).

Various sources of data were used for the assessment including document review (see Volume II, Appendix VI for a detailed bibliography), survey data and information from interviews with FAO staff members. In the survey, FAO's direct partners and MOPAN members at the country level were asked questions tailored to the strategic objectives of the projects in the current country portfolio. Interviews with senior FAO country office staff informed the analysis of context and key issues and ensured that the assessment team had a full set of documentation with which to conduct the document review and analyse results.

Throughout the document review attention was paid to the following elements: quality of the results statements; the relevance of indicators, baselines and targets; the strength of the link between results statements and results achieved; the quality of evidence presented to substantiate the results achieved, including an assessment of contribution; and, the overall performance story.

Overview of the Key Attributes of Country-level Reporting (2011-2013)

The table below is based on observations from FAO's Annual Reports at the country level (the FAOR Reports). FAO's project level reports often include more systematic data at the outcome level and tend to be based on more elaborate results frameworks. However, given the varied nature of the project level documentation reviewed, it is not possible to provide a coherent assessment of key reporting attributes at this level.

Country	Explicit theory or theories of change ^{vi}	Baselines provided for indicators	Targets provided for indicators	Reports on outputs ^{vii}	Reports on outcomes or impact ^{viii}	Quality of data ^{ix}
Bangladesh	Not met	Not met	Not met	Met	Not met	Partially met
Cambodia	Not met	Not met	Not met	Met	Partly met	Partially met
Democratic Republic of Congo	Not met	Not met	Not met	Met	Not met	Partially met
Ecuador	Not met	Not met	Not met	Met	Not met	Partially met
Kenya	Not met	Met	Met	Met	Partly met	Partially met
Tanzania	Not met	Met	Met	Met	Partly met	Partially met

Detailed survey data and other information related to this KPI are provided below (in Section 4 on results of MOPAN assessment by country).

3.2.4 KPI D: Evidence of FAO's contribution to national goals and priorities, including the MDGs

The analysis of FAO contributions to national priorities, including the MDGs, was tailored to each of the countries included in the assessment. Therefore, detailed survey data by country and other information related to this KPI are provided in Section 4 below on results of MOPAN assessment by country.

4. Results of MOPAN assessment by country

4.1 Introduction

The following sections on each country that participated in the MOPAN 2014 assessment include:

- A summary of the country context as it relates to the MOPAN assessment
- FAO's strategy in the country
- A summary of evidence of FAO results and relevance and challenges in each country
- A profile of the survey respondent groups
- Survey data on the organisational effectiveness indicators that were assessed at the country level (Note: There was no document review component on organisational effectiveness indicators at the country level.)
- Survey data on relevance and development/humanitarian results in each country (Note: Documents were reviewed in the analysis of relevance and development results of a multilateral organisation in each country and that information is reflected either here or in the Synthesis Report.)

To ensure confidentiality, survey data are not broken down by respondent group unless there were sufficient respondents in each group in each country.

4.2 Bangladesh

4.2.1 Country context and FAO strategy

With a population of more than 150 million, Bangladesh is one of the most densely populated countries in the world with around 27 million people across the 12 districts vulnerable to tropical cyclones and storm surges. Forty per cent of these 12 districts, covering around 10 million people, are considered high-risk areas and with an average poverty rate of 40% (FAO, 2013 [19], p. 2). Some of the key contextual factors highlighted by FAO's country office in Bangladesh include:

- High pressure to feed increased numbers of people, and decreasing land availability due to degradation, erosion and urbanisation
- Too low production of major food crops, such as pulses, oilseeds, fruits, vegetables, fish, milk, meat and eggs, which are essential for a diversified and balanced diet
- Significant problems with under-nutrition: 41% (or approximately 7 million) of children under five are stunted, 16% are wasted and 36% are underweight (UNICEF 2013)
- High susceptibility to devastating tropical cyclones, storm surges and floods
- Deteriorating access to already scarce natural resources (FAO, 2013 [19]).

FAO's strategy to meet these development challenges is outlined in the 2010-2015 Country Programming Framework (CPF) which was updated for the 2013-2018 period as a response to the new organisation-wide Strategic Framework (FAO, 2013 [19]). FAO's strategic objectives in Bangladesh are to:

- Reduce poverty and enhance food security and nutrition (access and utilisation)
- Enhance agricultural productivity through diversification/intensification, sustainable management of natural resources, use of quality inputs and mechanisation
- Improve market linkages, value addition, and quality and safety of the food system
- Further improve technology generation and adaptation through better producer extension-research linkages
- Increase the resilience of communities to withstand 'shocks' such as natural disasters, health threats and other risks to livelihoods.

4.2.2 Summary of evidence of FAO relevance and results in Bangladesh

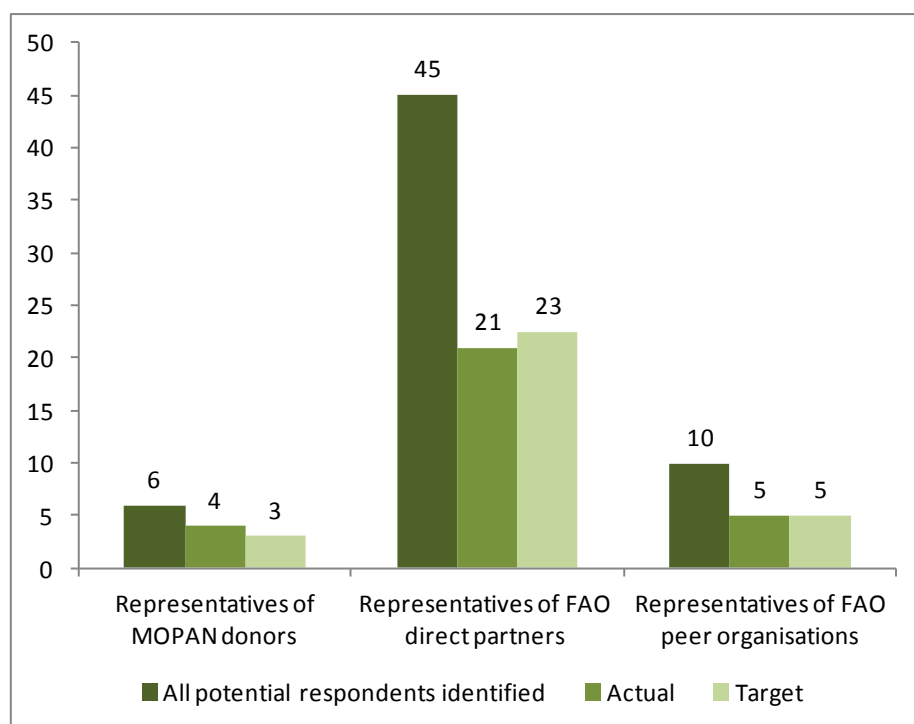
The table below provides examples of strengths and challenges associated with the relevance and results of FAO's programme in Bangladesh based on evidence from document review, survey analysis and interviews (FAO, 2014 [14]; Levinson & Hussain, 2013 [01]; Gill G. , 2012 [01]; WB, 2013 [02]; FAO, 2012 [13]).

Key Performance Indicator	Evidence of relevance and results	FAO planning and reporting
KPI A: FAO's relevance	+ Evidence of strong and consistent response to issues of high national priority such as food security, emergency and recovery and avian influenza preparedness and response + Evidence of close collaboration between FAO and the Government of Bangladesh in the establishment of strategic priorities - Limited documentary evidence of the extent to which FAO projects have contributed to positive benefits for populations beyond the immediate project beneficiaries. Some anecdotal evidence exists, but it is not possible to appreciate the full extent of FAO's actual impact in the country.	+ An updated CPF for the 2013-2018 period responding to national development priorities as well as the organisation-wide reviewed Strategic Framework + As opposed to the previous NMTF, the CPF attempts to establish synergies between projects and apply a more programmatic approach with increased focus on capacity development and improvement of the knowledge base as support to policy formulation. - Lack of country programme evaluations or other external sources reporting on the relevance of FAO's programme in Bangladesh
KPI C: Progress towards stated country-level results	+ Survey respondents rated FAO as strong for contributing to positive benefits for Bangladesh overall (MI D3). + Solid documentary evidence of FAO's contributions to results in the areas of food security, emergency and recovery and avian influenza preparedness and response + Evidence of projects contributing to significant reductions and in some cases almost total elimination of child wasting; a significant reduction in malnutrition among pregnant and lactating women; significant improvements in household food security; four fold percentage increase of households in project areas with gardens; increase in the percentage of household income derived from gardens and poultry (increased from 2.7% at baseline to 9.3 % at the end); increase in primary school enrolment in the project area from 400 students to 706 students (57% to almost 100% of primary aged children in the project area)^x + Evidence of positive results from the "Avian Influenza Preparedness and Response Project-Implementation Completion and Results Report" including improved laboratory diagnostic capacity; greatly expanded active surveillance; significant reduction in HPAI outbreaks; improved public awareness; outbreak to culling time reduced from 4.8 to 1.4 days; revised National Avian Influenza Policy (NAIP) + Evidence of positive results from the "Emergency Cyclone Recovery and Restoration Project" which recorded positive results at mid-term, including : 97% of beneficiary households surveyed reported an increase in income in the last season due to crops; 91% due to livestock; 99% due to fisheries; 83.9% reported an improvement in farming practices	+ Reporting on outputs against the CPF results framework in the Annual Report 2013 - Limited capacity to demonstrate overall programme-level results - Limited capacity to capture and demonstrate results beyond activities and outputs

Key Performance Indicator	Evidence of relevance and results	FAO planning and reporting
	- Lack of evidence regarding FAO's contributions to establishing a pluralistic extension system in Bangladesh; lower mean scores on FAO's contributions to this area and limited knowledge among survey respondents about FAO's work (33% responded "don't know")	
KPI D: Contributions to national priorities and MDGs	+ Generally positive survey responses regarding FAO's contributions to national development priorities, including relevant MDGs and + Survey respondents generally find that FAO programming has resulted in positive benefits for Bangladesh and rated the organisation as strong overall on this question. + Interviews suggest that FAO's policy work has contributed to influencing the food security policy agenda and strengthening capacity for evidence-based policy making.	- No current reporting mechanisms allow for an assessment of FAO's contributions to development outcomes at the country level (i.e. aggregated results of the entire country programme) or an illustration of the organisation's contribution to the country's progress towards MDG1. - Lack of documentary evidence of the extent to which FAO's projects have contributed to broader impact beyond the immediate project beneficiaries (e.g. whether or not pilot or demonstration projects have been brought to scale) - There is limited documentary evidence of the extent to which FAO's policy and legislative advice has resulted in actual changes at the policy level.

4.2.3 Profile of survey respondent groups in Bangladesh

Number of respondents



Note: The “potential respondents” refer to all those who were invited to complete the survey. The “actual” respondents refer to those individuals who completed the survey and the “target” refers to the target number of responses set by MOPAN (i.e. 50% of the potential respondents).

4.2.4 FAO's organisational effectiveness in Bangladesh



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, please see the Methodology in Volume II, Appendix I.

“–” indicates that the question was not asked among a particular respondent group.

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

N/A indicates that all respondents answered “don’t know” to that question.

Survey results (mean scores) in Bangladesh and don’t know responses

Indicators		Survey mean scores (Bangladesh)	% DK (Bangladesh)
Performance area I: Strategic management			
KPI 1	The Multilateral Organisation (MO) provides direction for the achievement of development results.	4.22	
1.1	The MO has a value system that supports a results-orientation.	4.17	17%
1.3	The MO ensures application of an organisation-wide policy on results management.	4.26	10%
KPI 4	The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or considered important by MOPAN.	4.18	
4.1	Gender equality	3.89	18%
4.2	Environmental policy and environmental assessment practices	4.25	2%
4.3	Good governance	4.09	17%
4.4	Human rights-based approaches	4.47	3%
KPI 5	The MO's country strategies are results-focused.	4.71	
5.3	Country strategies are developed through consultation with direct partners.	4.71	0%
Performance area II: Operational management			
KPI 6	The MO's development co-operation funding is transparent and predictable.	4.24	
6.1	The MO's criteria for allocating resources are transparent.	4.40	29%
Sub-MI	i) FAO makes readily available its criteria for allocating resources.	4.40	29%
Sub-MI	ii) FAO allocates resources according to the criteria mentioned above.	4.40	29%
6.2	The MO predicts its development co-operation funding.	4.08	38%

Indicators		Survey mean scores (Bangladesh)	% DK (Bangladesh)
Sub-MI	i) FAO is adopting measures to make its funding more predictable.	--	--
Sub-MI	ii) FAO provides its funding to countries and other partners according to schedule.	4.08	38%
KPI 8	The MO has policies and processes for financial accountability (audit, risk management, anti-corruption).	4.47	
8.5	Processes are in place to quickly follow up on any irregularities identified at the country (or other) level.	N/A	100%
8.6	The MO's procurement procedures provide effective control on purchases of goods and services.	4.47	64%
KPI 9	The MO demonstrates the use of performance information for decision-making.	4.13	
9.2	Performance information is used by the MO for planning new interventions at the country level.	4.36	27%
9.3	Poorly performing programmes, projects and/or initiatives are addressed proactively so as to improve performance.	3.90	31%
Sub-MI	i) FAO regularly identifies poorly performing programmes and projects.	3.92	32%
Sub-MI	ii) FAO proactively addresses performance issues identified in poorly performing programmes and projects.	3.88	29%
KPI 12	The MO delegates decision-making authority and staff accordingly (to the country or other levels).	3.50	
12.1	Staff deployment in country is adequate for the implementation of the MO's mandate.	3.36	20%
12.2	Aid reallocation decisions can be made locally.	3.48	36%
12.3	New programmes/projects can be approved locally within a budget cap.	3.65	19%
KPI 13	The MO has the necessary practices and systems to work in emergencies.	4.35	
13.1	The MO has capacity for emergency preparedness.	4.28	12%
13.2	The MO has capacity for early recovery following an emergency.	4.16	8%
13.3	The MO respects humanitarian principles while working in emergencies.	4.62	8%
Performance area III: Relationship management			
KPI 14	The MO co-ordinates and directs its development co-operation at the country level in support of agreed national plans or partner plans.	4.43	
14.1	Extent to which MO-supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualised or initiated by MO itself.	4.20	27%
14.2	Statements of expected results are consistent with those in national development strategies and UNDAF, as appropriate.	4.66	5%
KPI 15	The MO's procedures take into account local conditions and capacities.	4.12	
15.1	The procedures of the MO can be easily understood and completed by partners.	4.25	5%
15.2	The length of time for completing MO procedures does not have a negative effect on implementation.	3.97	20%
15.3	The MO has the operational agility to respond quickly to changing circumstances on the ground.	4.23	12%

Indicators		Survey mean scores (Bangladesh)	% DK (Bangladesh)
15.4	The MO has operational flexibility to adjust its implementation of projects/programmes as learning occurs.	4.05	10%
KPI 16	The MO uses country systems for disbursement and operations.	4.25	
16.1	The MO uses country systems (both financial and non-financial), where appropriate.	4.33	14%
16.2	The MO participates in mutual assessments of progress in implementing agreed commitments with national partners.	4.16	10%
KPI 17	The MO adds value to policy dialogue with its partners.	4.53	
17.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs.	4.75	8%
17.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives.	4.32	0%
KPI 18	The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc.) as appropriate.	4.25	
18.1	The MO co-ordinates planning, programming, monitoring and reporting with other partners.	4.13	0%
18.2	The MO builds on the initiative of others to avoid duplication.	3.99	5%
18.3	The MO's work reflects its comparative advantage.	4.62	2%
KPI 19	The MO participates in the cluster system and dedicates sufficient resources for cluster management when it is a cluster lead or co-lead for humanitarian assistance.	4.68	
19.1	The MO dedicates sufficient analytical resources on behalf of the cluster it leads or co-leads.	4.31	14%
19.2	The MO provides sufficient overall leadership within the cluster it leads or co-leads via the provision of dedicated senior staff for co-ordination.	4.98	17%
19.3	The MO ensures that pertinent information is circulated within the cluster it leads or co-leads.	4.63	14%
19.4	The MO generates reliable financial needs forecasts and articulates priorities for the cluster it leads or co-leads.	4.79	22%
Performance area IV: Knowledge management			
KPI 20	The MO consistently evaluates its results.	4.11	
20.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes.	4.11	40%
Sub-MI	i) FAO involves key partners in evaluations of its projects or programmes.	4.05	25%
Sub-MI	ii) FAO involves key beneficiaries in evaluations of its projects or programmes.	4.16	55%
KPI 22	The MO encourages the identification and documentation of lessons learned and/or best practices.	4.49	
22.3	The MO facilitates the exchange of knowledge in the area of agriculture and food and nutrition security.	4.49	2%

4.2.5 FAO's relevance and development results in Bangladesh



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, see the Methodology in Volume II, Appendix I.

“–” indicates that the question was not asked among a particular respondent group.

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Survey mean scores and overall observations, by MI

Indicators		Survey mean scores (Bangladesh)	% DK (Bangladesh)	Observations from document review
A	Evidence of FAO's relevance			
A1	The MO is pursuing results in areas within its mandate.	4.67	0%	N/A
A2	The MO's results are in line with global trends and priorities in the development/humanitarian field.	4.51	8%	N/A
A3	The MO's results respond to the needs/priorities of its target group (beneficiaries).	4.44	0%	N/A
A4	The MO adapts its work to the changing needs and priorities of the country.	4.09	13%	N/A
C	Evidence of FAO's progress towards its stated country-level results			
C1	Reduce poverty and enhance food and nutrition security (access and utilisation).	4.27	2%	Projects assessed: “Protecting and Promoting Food Security and Nutrition for Families and Children in Bangladesh” and “National Food Policy Capacity Strengthening Programme (NFPCSP) Phase II” Strong evidence of progress in relation to improving household food security of project beneficiaries. However, the difficulties poor families confronted in marketing their garden produce shed light on more serious and persistent structural issues confounding efforts to achieve food security in Bangladesh that remain to be addressed. Also, while the programme's accomplishments were significant, they were still insufficient to completely eliminate food insecurity among participant families. Evidence of contributions to strengthening the capacity of the Food Planning and Monitoring Unit (FPMU) of the Ministry of Food and Disaster Management (MoFDM) to monitor food security and provide short term policy guidance. The FPMU's capacity to provide medium and long-term policy guidance has improved, but remains heavily reliant on FAO backstopping, raising questions about sustainability in the absence of project support. FAO noted that it chairs a local consultative group on agriculture food security and rural development, and is actively engaged in assembling UN common action on nutrition in
Sub-MI	i) FAO has demonstrated progress towards its stated priority of enhancing food and nutrition security through policy support in Bangladesh.	4.49	3%	
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of enhancing food and nutrition security through nutrition awareness and food diversification (utilisation).	4.05	2%	

Indicators		Survey mean scores (Bangladesh)	% DK (Bangladesh)	Observations from document review
C2	Enhance agricultural productivity through diversification/intensification and sustainable management of natural resources.	4.13	10%	Bangladesh. Project assessed: “Emergency Cyclone Recovery and Restoration Project” The project was progressing well at the time of the review with the exception of the rehabilitation of coastal embankments (unrelated to FAO). The project has realised significant accomplishments and resulted in important spin-off benefits, including the introduction of new technologies, women's empowerment, and the adoption of the concept of Farmers' Field Schools as a means of addressing food security issues and promoting good resource management practices. There is further scope for outreach under all three sub-components and the livestock and fisheries components, in particular, need to accelerate their outreach.
Sub-MI	i) FAO has demonstrated progress towards its stated priority of enhancing agricultural productivity in Bangladesh by promoting the diversification of production (e.g. crop, fisheries, livestock and forestry).	4.28	7%	
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of enhancing agricultural productivity in Bangladesh by promoting the intensification of production (i.e. crop, fisheries, livestock and forestry).	4.29	13%	
Sub-MI	iii) FAO has demonstrated progress towards its stated priority of enhancing the sustainability of production in Bangladesh through promotion of improved management of natural resources.	3.82	11%	
C3	Improve market linkages, value addition, and quality and safety of the food system.	3.93	21%	Project assessed: “Improving food safety, quality and food control in Bangladesh” This project was largely unsuccessful in meeting its targets and achieving desired outcomes. Progress has been made with respect to the development of a food safety policy framework. A successor project, “Improving Food Safety in Bangladesh”, which began in 2012 was unable to complete the food and sanitary inspector training, but did develop core guidance material for inspectors. However, attempts to collaborate with the WHO on the development of a food borne illness surveillance system were unsuccessful.
Sub-MI	i) FAO has demonstrated progress towards its stated priority of improving market linkages in the food system in Bangladesh.	3.63	25%	
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of improving value addition in the food system in Bangladesh.	3.87	26%	
Sub-MI	iii) FAO has demonstrated progress towards its stated priority of improving quality and safety of the food system in Bangladesh.	4.30	12%	
C4	Establish pluralistic extension system.	3.76	33%	No document data available. Project assessed: Avian Influenza Preparedness and Response Project Evidence of contributions to strengthening disease surveillance and diagnostic capacity and progress in increasing public awareness. In addition, response times from outbreak to culling were reduced and laboratory diagnostic capacity was improved. Still, HPAI remains a threat; Bangladesh had the highest incidence of HPAI outbreaks in South Asia in 2012 and was one of six countries where the disease remained endemic. Weak poultry farm biosecurity and potential seasonal reinfection by migratory birds continue to present challenges for disease control and eradication.
C5	Increase resilience of communities to withstand 'shocks' such as natural disasters, health threats and other risks to livelihoods.	4.28	2%	
Sub-MI	i) FAO has demonstrated progress towards its stated goal of increasing resilience of communities in Bangladesh to withstand natural disasters.	4.28	2%	
Sub-MI	ii) FAO has demonstrated progress towards its stated goal of increasing resilience of communities in Bangladesh to withstand health threats (e.g. animal	4.27	2%	

Indicators		Survey mean scores (Bangladesh)	% DK (Bangladesh)	Observations from document review
health, food borne illnesses (including zoo nose).				
D	Evidence of FAO's contribution to national goals and priorities, including the Millennium Development Goals			
D1	The MO contributes to development results that support the achievement of national priorities.	4.43	0%	Limited availability of data.
D2	The MO is making effective contributions to relevant MDGs.	4.21	0%	Limited availability of data.
D3	The MO programming has resulted in positive benefits for Bangladesh.	4.59	0%	Limited availability of data.

4.3 Cambodia

4.3.1 Country context and FAO strategy

Cambodia is a low income country with a population of 15.5 million people of which almost 80% live in rural areas and make their living from agriculture. Key contextual issues of relevance for this assessment include:

- A huge, but largely unexplored, potential for agricultural export and import substitution
- A food and agricultural export sector that does not comply with international trade standards, food safety requirements, and quality controls for agricultural products
- Major challenges related to food security and nutrition: 37% of Cambodian children under the age of 5 suffer from chronic malnutrition which makes food security and nutrition among the most significant problems that Cambodia faces today
- An agricultural sector largely anchored to a fragile subsistence rain-fed system with low productivity
- A high vulnerability to effects of climate change including floods and droughts which severely impact the rural population due to their reliance on agriculture and fisheries (FAO, 2010 [06]).

FAO's strategy to meet these development challenges is outlined in the National Medium-Term Priority Framework (NMTPF) 2011-2015 which will be replaced by the new Country Programming Framework (CPF) in 2016.

The overarching goal of the 2011-2015 NMTPF is "to promote the development of sustainable agriculture, fisheries and forestry as a contribution to the eradication of extreme poverty and hunger in Cambodia, in accordance with MDG 1 that pursues halving, between 1993 and 2015, the proportion of people whose consumption is less than the national poverty line and the proportion of people who suffer from hunger" (FAO, 2010 [06]).

This goal has been translated into five specific development objectives for the period 2011-2015:

- To enhance agriculture productivity and diversification (representing USD 5,760,069 or 22% of total FAO spending during the 2011-2013 period^{x)})
- To improve consumer protection, food safety and market access for agricultural products (USD 1,060,462; 4% 2011-2013)
- To improve food security (USD 16,240,077; 63% 2011-2013)
- To achieve sustainable natural resource management (USD 1,169,518; 4.6% 2011-2013)
- To improve the response to climate change threats and improve emergency preparedness and disaster risk management (USD 1,393,787; 5.4% 2011-2013).

4.3.2 Summary of evidence of FAO relevance and results in Cambodia

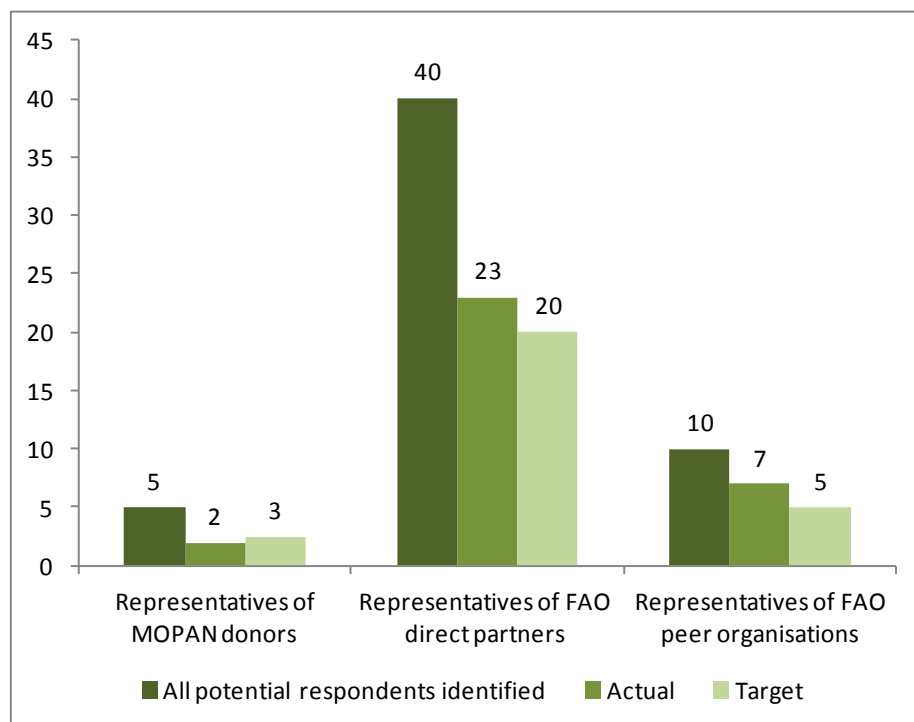
The table below provides examples of strengths and challenges of FAO's programme in Cambodia based on evidence from document review, survey analysis and interviews.

Key Performance Indicator	Evidence of relevance and results	FAO planning and reporting
KPI A: FAO's relevance	+ Evidence of a high demand for policy and legislative advice indicating that FAO is considered relevant by the Royal Government of Cambodia (RGC) + Evidence of close collaboration with the RGC and the use of a participatory approach in defining strategic priorities	+ The main national development policies used for the development of the NMTPF include the nine Cambodian Millennium Development Goals (GMDGs) adopted in 2003 (FAO, 2010 [06]). - None of the reports sampled for the document review directly comment on the relevance of FAO's operations and strategies in Cambodia.

Key Performance Indicator	Evidence of relevance and results	FAO planning and reporting
	- Limited evidence of the extent to which FAO projects have contributed to positive benefits for populations beyond the immediate project beneficiaries. Some anecdotal evidence exists, but it is not possible to appreciate the full extent of FAO's actual impact in the country.	+ The strategic priorities outlined in the NMTPF are clearly aligned with national development policies and strategies for agriculture, food security, forestry and fisheries.^{xii}
KPI C: Progress towards stated country-level results	+ 45% of MOPAN survey respondents rated FAO's contributions to improving food security (MI C3) as strong or very strong. + FAO has maintained a strong and consistent focus on food security and there is evidence of results in this area. + Successful use of farmer field school approaches through which FAO has managed to train a substantial number of people + Implementation of innovative demonstration projects which, according to interviews, have been brought to scale by donors and other development partners + Successful implementation of animal health and avian influenza projects which, among other things, have resulted in increased awareness and better surveillance practices in the Cambodian government (FAO, 2013 [36]) - Overall MOPAN survey ratings of inadequate regarding FAO's contributions to improving consumer protection and market access for agriculture and related products (MI C2) - Limited documentary evidence of impact on improving consumer protection and market access for agriculture and related products (MI B2). While this outcome area is the smallest in terms of actual spending during the 2011-2013 period, FAO acknowledges its importance for increasing Cambodia exports of processed food products at the international market.	- Limited capacity to capture and demonstrate results beyond activities and outputs - Anecdotal evidence suggests that innovative approaches are being picked up by the government or other development partners. However, it is a major challenge to document "what comes next" as FAO does not systematically monitor the extent to which scaling up or replication is happening.
KPI D: Contributions to national priorities and MDGs	+ FAO's projects clearly address development issues of high national priority. + A majority of survey ratings of adequate or above regarding FAO's contributions to national priorities and relevant MDGs	+ FAO's NMTPF 2011-2015 has a clear and explicit focus on MDG1. - No current reporting mechanisms allow for an assessment of FAO's contributions to development outcomes at the country level (i.e. aggregated results of the entire country programme) or for an illustration of the organisation's contributions to the country's progress towards MDG1. - Lack of documentary evidence of the extent to which FAO's projects have contributed to broader impact beyond the immediate project beneficiaries (e.g. whether or not pilot or demonstration projects have been brought to scale) - Limited documentary evidence of the extent to which FAO's policy and legislative advice has resulted in actual changes at the policy level

4.3.3 Profile of survey respondent groups in Cambodia

Number of respondents



Note: The “potential respondents” refer to all those who were invited to complete the survey. The “actual” respondents refer to those individuals who completed the survey and the “target” refers to the target number of responses set by MOPAN (i.e. 50% of the potential respondents).

4.3.4 FAO's organisational effectiveness in Cambodia



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, see the Methodology in Volume II, Appendix I.
 “–” indicates that the question was not asked among a particular respondent group.
 % DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Survey results (mean scores) in Cambodia and don’t know responses

Indicators		Survey mean scores (Cambodia)	% DK (Cambodia)
Performance area I: Strategic management			
KPI 1	The Multilateral Organisation (MO) provides direction for the achievement of development results.	4.55	
1.1	The MO has a value system that supports a results-orientation.	4.29	4%
1.3	The MO ensures application of an organisation-wide policy on results management.	4.81	9%
KPI 4	The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or considered important by MOPAN.	4.15	
4.1	Gender equality	4.24	28%
4.2	Environmental policy and environmental assessment practices	4.15	18%
4.3	Good governance	4.21	32%
4.4	Human rights-based approaches	4.01	12%
KPI 5	The MO's country strategies are results-focused.	4.52	
5.3	Country strategies are developed through consultation with direct partners.	4.52	0%
Performance area II: Operational management			
KPI 6	The MO's development cooperation funding is transparent and predictable.	4.27	
6.1	The MO's criteria for allocating resources are transparent	4.39	22%
Sub-MI	i) FAO makes readily available its criteria for allocating resources.	4.39	22%
Sub-MI	ii) FAO allocates resources according to the criteria mentioned above.	4.39	22%
6.2	The MO predicts its development cooperation funding.	4.16	17%

Indicators		Survey mean scores (Cambodia)	% DK (Cambodia)
Sub-MI	i) FAO is adopting measures to make its funding more predictable.	--	--
Sub-MI	ii) FAO provides its funding to countries and other partners according to schedule.	4.16	17%
KPI 8	The MO has policies and processes for financial accountability (audit, risk management, anti-corruption).	4.34	
8.5	Processes are in place to quickly follow up on any irregularities identified at the country (or other) level.	4.00	50%
8.6	The MO's procurement procedures provide effective control on purchases of goods and services.	4.67	42%
KPI 9	The MO demonstrates the use of performance information for decision-making.	4.26	
9.2	Performance information is used by the MO for planning new interventions at the country level.	4.25	40%
9.3	Poorly performing programmes, projects and/or initiatives are addressed proactively so as to improve performance.	4.28	36%
Sub-MI	i) FAO regularly identifies poorly performing programmes and projects.	4.25	37%
Sub-MI	ii) FAO proactively addresses performance issues identified in poorly performing programmes and projects.	4.31	35%
KPI 12	The MO delegates decision-making authority and staff accordingly (to the country or other levels).	3.97	
12.1	Staff deployment in country is adequate for the implementation of the MO's mandate.	3.95	28%
12.2	Aid reallocation decisions can be made locally.	3.95	40%
12.3	New programmes/projects can be approved locally within a budget cap.	4.00	35%
KPI 13	The MO has the necessary practices and systems to work in emergencies.	4.41	
13.1	The MO has capacity for emergency preparedness.	4.34	26%
13.2	The MO has capacity for early recovery following an emergency.	4.26	27%
13.3	The MO respects humanitarian principles while working in emergencies.	4.64	31%
Performance area III: Relationship management			
KPI 14	The MO coordinates and directs its development cooperation at the country level in support of agreed national plans or partner plans.	4.34	
14.1	Extent to which MO supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualized or initiated by MO itself.	4.14	38%
14.2	Statements of expected results are consistent with those in national development strategies and UNDAF, as appropriate.	4.55	25%
KPI 15	The MO's procedures take into account local conditions and capacities.	3.75	
15.1	The procedures of the MO can be easily understood and completed by partners.	4.01	29%
15.2	The length of time for completing MO procedures does not have a negative effect on implementation.	3.27	32%
15.3	The MO has the operational agility to respond quickly to changing circumstances on the ground.	3.74	24%

Indicators		Survey mean scores (Cambodia)	% DK (Cambodia)
15.4	The MO has operational flexibility to adjust its implementation of projects/programmes as learning occurs.	4.00	13%
KPI 16	The MO uses country systems for disbursement and operations.	4.30	
16.1	The MO uses country systems (both financial and non-financial), where appropriate.	4.25	13%
16.2	The MO participates in mutual assessments of progress in implementing agreed commitments with national partners.	4.34	26%
KPI 17	The MO adds value to policy dialogue with its partners.	4.25	
17.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs.	4.19	1%
17.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives.	4.32	17%
KPI 18	The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc.) as appropriate.	4.07	
18.1	The MO coordinates planning, programming, monitoring and reporting with other partners.	3.54	8%
18.2	The MO builds on the initiative of others to avoid duplication.	4.13	12%
18.3	The MO's work reflects its comparative advantage.	4.55	2%
Performance area IV: Knowledge management			
KPI 20	The MO consistently evaluates its results.	4.42	
20.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes.	4.42	33%
Sub-MI	i) FAO involves key partners in evaluations of its projects or programmes.	4.29	30%
Sub-MI	ii) FAO involves key beneficiaries in evaluations of its projects or programmes	4.56	35%
KPI 22	The MO encourages the identification and documentation of lessons learned and/or best practices.	4.08	
22.3	The MO facilitates the exchange of knowledge in the area of agriculture and food and nutrition security.	4.08	1%

4.3.5 FAO's relevance and development results in Cambodia



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, see the Methodology in Volume II, Appendix I.

“–” indicates that the question was not asked among a particular respondent group.

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Summary of survey results (mean scores) in Cambodia

Indicators		Survey mean scores (Cambodia)	% DK (Cambodia)	Observations from document review
A Evidence of FAO's relevance				
A1	The MO is pursuing results in areas within its mandate.	4.30	3%	N/A
A2	The MO's results are in line with global trends and priorities in the development/humanitarian field.	4.43	20%	N/A
A3	The MO's results respond to the needs/priorities of its target group (beneficiaries).	4.24	23%	N/A
A4	The MO adapts its work to the changing needs and priorities of the country.	3.68	11%	N/A
C Evidence of FAO's progress towards its stated country-level results				
C1	Improve sustainable agricultural productivity for smallholder farmers.	4.29	29%	Projects assessed: First National Census of Agriculture in Cambodia; Support to Highly Pathogenic Avian Influenza Surveillance Programme in Cambodia The documentation reviewed provides evidence of progress in terms of the delivery of project activities. However, none of the reports include any data on outcomes achieved. Projects assessed: Project for Agricultural Development and Economic Empowerment (PADEE) - Progress Report January 2013 - December 2013; Capacity building to enhance fish quality control and standardisation services and contribute to poverty alleviation - Terminal Report Evidence of activities conducted, but no outcome-level data. Key activities included: Development of training materials for trainers and beneficiaries; finalisation of the National Assessment Report on the post-harvest fisheries sector; completion of draft codes of practice and standards for the production of prahoc and dry fish. FAO noted that inefficiencies and lack of clearly defined roles and responsibilities among government ministries working on this thematic area make it difficult for FAO to contribute to
C2	Improve consumer protection and market access for agriculture and related products.	3.49	30%	
Sub-MI	i) FAO has demonstrated progress towards its stated priority of improving consumer protection (i.e. food safety) in Cambodia.	3.51	31%	
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of improving market access for agricultural and related products in Cambodia.	3.47	29%	

Indicators		Survey mean scores (Cambodia)	% DK (Cambodia)	Observations from document review
C3	Improve food security.			establishing national standards, certification mechanisms, inspections, etc. in Cambodia. FAO emphasised that it is currently working with the government on the formulation of a food safety law that would create a legal framework for future work in this area.
		4.30	24%	Projects assessed: a) Improving Food Security and Market Linkages for Smallholders in Otdar Meanchey and Preah Vihear - NARRATIVE Progress Report 1 January 2013 – 31 December 2013; b) Improving the food security of farming families affected by the volatile food prices (2011) – Final Report. The first report suggests that implementation of two out of three results areas are on target in relation to the results framework. However, it is too early to register outcome-level achievements. The second report provides good evidence of development outcomes: The project achieved well above its target to almost double food stocks from 440 kg/household to 840 kg/household over a one-year period. Likewise, the project aimed to increase food self-sufficiency in terms of the percentage of farm families able to survive on their own rice stocks. The project provided for an almost 50% increase in the percentage of the population who were self-sufficient, lifting this baseline statistic from 32% to 48% of beneficiary households.
C4	Improve natural resource management.	3.84	21%	Project assessed: Enhancing Community-Based Forest Management and Utilisation for the Improvement of Rural Livelihoods in Cambodia, GCP/CMB/034/SPA Narrative description of activities and outputs delivered against three major project outputs, but no outcome-level data. Most planned activities seems to have been implemented but unsatisfactory participation of community forestry management committee members in the project activities, illegal logging, land grabbing and land encroachment at project sites, and the lack of legislative measures to set up clear boundary demarcation of community forestry were some of the issues that could not be solved.
C5	Enhance climate change mitigation and adaptation and disaster risk management.	3.96	23%	Project assessed: UN-REDD National Programme Cambodia – Annual Report 2012 No outcome level data. The project seems to be progressing in terms of delivering outputs, but some delays encountered. Based on data from this report alone, it is not possible to assess the extent to which this project has contributed to enhancing climate change mitigation and adaptation and disaster risk management in Cambodia.
Sub-MI	i) FAO has demonstrated progress towards its stated priority of strengthening national capacities for climate change mitigation and adaptation measures.	4.07	21%	
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of enhancing capacity for emergency preparedness and disaster risk management in the event of food and agricultural crises.	3.84	24%	
D	Evidence of FAO's contribution to national goals and priorities, including the Millennium Development Goals			
D1	The MO contributes to development results that support the achievement of national priorities.	4.46	23%	Evidence of clear alignment between FAO's NMTPF 2011-2015 and national priorities. However, no country programme level data on FAO's contributions to the achievement of national priorities.
D2	The MO is making effective contributions to relevant	4.30	23%	FAO's NMTPF 2011-2015 has a clear and explicit focus on MDG1. However, the reports from Cambodia do not provide programme-level data that illustrate its contributions to the country and

Indicators		Survey mean scores (Cambodia)	% DK (Cambodia)	Observations from document review
D3	MDGs.			how those relate to MDG 1.
	The MO programming has resulted in positive benefits for Cambodia.	4.22	18%	Limited documentary evidence on this indicator.

4.4 Democratic Republic of Congo (DRC)

4.4.1 Country context and FAO strategy

The Democratic Republic of Congo (DRC) has a population of almost 80 million people and is endowed with vast natural resources and a huge potential for agriculture. While the agricultural sector employs around 14 million people and accounts for about 44% of GDP,^{xiii} less than 3% of the national budget is devoted to this sector (FAO, 2013 [20]). In spite of the potential for agriculture and the abundant natural resources, DRC is experiencing significant challenges in relation to food security, climate change and degradation of the environment. DRC is classified as one of nine “core fragile states” in Africa by the African Development Bank. Key contextual factors with a bearing on FAO’s mandate and support to DRC include:

- An estimated 75% of the population is affected by food insecurity and the average daily energy consumption is around 1 630 kcals (against a norm of 2 500 kcals); malnutrition affects more than 5 million children and is the second most important reason for child mortality.
- Key factors contributing to food insecurity include: (i) zones affected by armed conflicts in eastern parts of the country; (ii) refugees from Central Africa as well as repatriated Congolese and forced migrants from Angola; (iii) isolated zones in the central and western parts of the country confronted by chronic poverty and high levels of malnutrition and child mortality; (iv) chronic food insecurity in most of the country.
- A huge but underexploited agricultural potential. The agricultural and rural sectors experience a number of challenges including: (i) lack of access to markets and poor transport and communication infrastructures; (ii) access to and management of natural resources; (iii) availability and productivity of labour; (iv) access to technology (equipment, inputs) and agricultural advice; (v) access to credit; (vi) business climate, (vii) weak agricultural institutional structures and absence of support from the government.
- Threats to DRC’s vast tropical forests and high vulnerability to climate change. Humid tropical forests cover almost 40% of the country, but studies show that deforestation will affect 12 to 13 million hectares between now and 2030 (it is estimated that an additional 21-22 million hectares will be degraded). The CO₂ emissions associated with the deforestation will reach about 390 to 400 million tons of CO₂ by 2030, representing an annual growth of 3-4% during the 2010 to 2030 period (FAO, 2013 [20]).

FAO’s response to meeting these development challenges is outlined in the 2013-2017 Country Programme Framework which is based on national priorities defined in the National Poverty Reduction Strategy (IMF, 2013 [01]), sector priorities outlined in the National Agricultural Investment Plan (Government of DRC, 2013 [01]) as well as DRC’s national Programme for the Environment, Forests, Water and Biodiversity. FAO’s key priorities, which also reflect FAO’s work during its previous strategic cycle (NMTPF), were:

- Improve governance of agricultural, rural development, and natural resources sectors, as well as management of humanitarian crises
- Develop value chains for crop, livestock, and fisheries
- Protect the environment and fight climate change
- Assist vulnerable people through emergency and resilience programmes.

Between 2008 and 2012, FAO’s country portfolio continued to grow and reached USD 40.9 million in 2010 (of which 5% came from the ordinary budget and 95% from extra-budgetary resources). This is among the three biggest FAO country programmes in the world. During the period 2008-2012, the portfolio was dominated by projects focusing on urgency and rehabilitation. The average annual portfolio size of projects focusing on these two issues amounted to USD 31 million compared with the portfolio of development projects representing an average size of slightly more than USD 4 million per year (FAO, 2013 [20], p. 8).

4.4.2 Summary of evidence of FAO relevance and results in DRC

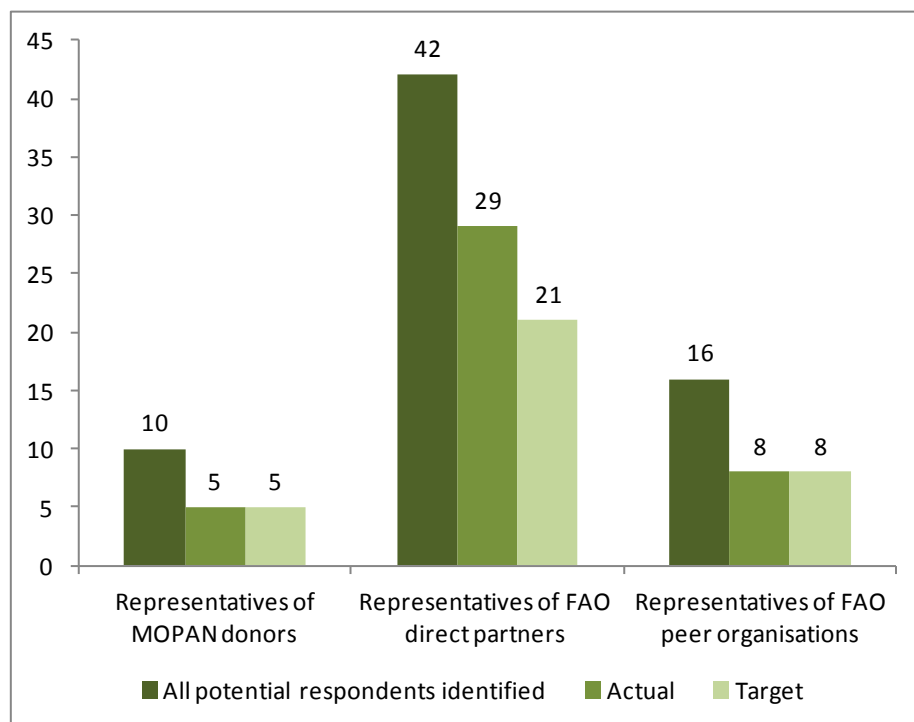
The table below provides examples of strengths and challenges of FAO's programme in DRC based on evidence from document review, survey analysis and interviews.

Key Performance Indicator	Evidence of relevance and results	FAO planning and reporting
KPI A: Evidence of FAO's relevance	- Limited evidence of the extent to which FAO projects have contributed to positive benefits for populations beyond the immediate project beneficiaries. Some anecdotal evidence exists, but it is not possible to appreciate the full extent of FAO's actual impact in the country. + Evidence of strong and consistent response to agricultural and food security emergency situations for vulnerable households across the country	+ The CPF 2013-2017 is clearly aligned with national priorities and explicitly refers to the MDGs and other international development priorities. + FAO's operations in DRC are based on a solid analysis of the main development challenges in the country. + The CPF 2013-2017 has been developed in close collaboration with key stakeholders including the government and refers to specific pillars in main development strategies. - None of the reports sampled for the document review directly comment on the relevance of FAO's operations and strategies in DRC. - No recent country programme evaluation
KPI C: Evidence of progress towards FAO's stated country-level results	+ A clear majority of MOPAN survey respondents provided ratings of adequate or above regarding FAO's assistance to vulnerable people through emergency and resilience programmes; survey respondents particularly approved of FAO's assessments of food security needs of the population in the DRC: 61% of the survey respondents provided ratings of strong or very strong on this question. + Good documentary evidence of FAO's contributions in emergency and resilience programmes: Several projects focusing on support to agricultural production for vulnerable farming families show evidence of increased farming outputs and revenues from sales. One example is a project focusing on increased food security providing strategic farming inputs (seeds and tools) as well as training for 7190 vulnerable households. Examples of results include: Support to 7 190 vulnerable households with vegetable farming inputs; production and sale of 888 tons vegetables, 876 tons of other food products, and 135 tons of fish. This production has contributed to lowering food prices on local markets while increasing revenues for households involved in the project of 131.5 USD for food products, 70 USD for vegetable garden producers and 540 USD for fish producers (OSRO/DRC/105/UNJ) (FAO Country Office DRC, 2012). + According to the Final Draft UN-REDD Report for DRC, the programme has achieved its objectives: DRC has for example completed its REDD Preparation Plan, created and legalised national structured for the preparation of REDD+ (Décret 26/11/2009) and prepared and adopted a national Strategic Framework in 2012. Overall the Final Report concludes that DRC has made substantial advances in the preparation of the REDD+ mechanism including in relation to funding (UN-REDD, 2012 [01]).	- Limited amount of documentary evidence of results in relation to FAO's contributions to improve governance of agricultural, rural development, and natural resources sectors, as well as management of humanitarian crises (MI C1) and its contributions to developing value chains for crop, livestock, and fisheries (MI C2). The assessment team did not receive any documentation on FAO's contributions to results in these two areas apart from pamphlets with success stories. - Limited capacity to demonstrate overall programme-level results. The FAOR report does not systematically capture results of the country portfolio, but mainly focuses on a description of project activities. - Limited capacity to capture and demonstrate results beyond activities and outputs

Key Performance Indicator	Evidence of relevance and results	FAO planning and reporting
	- In spite of this documentary evidence, survey respondents provided overall ratings of inadequate regarding FAO's contributions to protecting the environment and fighting climate change (MI C3); FAO's contributions to fighting climate change received particularly poor ratings with 52% of the survey respondents rating the organisation as inadequate or below on this question.	-
KPI D: Contributions to national priorities and MDGs	+ A clear majority of survey respondents provided ratings of adequate or above regarding FAO's contributions to national priorities (MI D1). + Survey respondents were positive about FAO's contributions to relevant MDGs: 78% provided ratings of adequate or above on this question. + Survey respondents also generally found that FAO programming has resulted in positive benefits for DRC.	- No current reporting mechanisms allow for an assessment of FAO's contributions to development outcomes at the country level (i.e. aggregated results of the entire country programme) or an illustration of the organisation's contributions to the country's progress towards MDG1. Notwithstanding the above, FAO did highlight that it has been active in implementing the MDGs in DRC, where it has supported the government in putting in place an MDG acceleration framework and has taken the lead on target c of MDG 1. It also mentioned that a number of FAO initiatives, including the Special Food Security Program and National Synthesis on Agricultural Investments, have contributed to this MDG. - Lack of documentary evidence of the extent to which FAO's projects have contributed to broader impact beyond the immediate project beneficiaries (e.g. whether or not pilot or demonstration projects have been brought to scale) - Limited documentary evidence of the extent to which FAO's policy and legislative advice has resulted in actual changes at the policy level

4.4.3 Profile of survey respondent groups in DRC

Number of respondents



Note: The “potential respondents” refer to all those who were invited to complete the survey. The “actual” respondents refer to those individuals who completed the survey and the “target” refers to the target number of responses set by MOPAN (i.e. 50% of the potential respondents).

4.4.4 FAO's organisational effectiveness in DRC



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, see the Methodology in Volume II, Appendix I.
 “–” indicates that the question was not asked among a particular respondent group.
 % DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Survey results (mean scores) in DRC and don't know responses

Indicators		Survey mean scores (DRC)	% DK (DRC)
Performance area I: Strategic management			
KPI 1	The Multilateral Organisation (MO) provides direction for the achievement of development results	4.58	
1.1	The MO has a value system that supports a results-orientation.	4.69	10%
1.3	The MO ensures application of an organisation-wide policy on results management.	4.46	3%
KPI 4	The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or considered important by MOPAN.	4.56	
4.1	Gender equality	4.68	11%
4.2	Environmental policy and environmental assessment practices	4.41	15%
4.3	Good governance	4.38	19%
4.4	Human rights-based approaches	4.78	11%
KPI 5	The MO's country strategies are results-focused.	4.66	
5.3	Country strategies are developed through consultation with direct partners.	4.66	0%
Performance area II: Operational management			
KPI 6	The MO's development co-operation funding is transparent and predictable.	3.97	
6.1	The MO's criteria for allocating resources are transparent.	4.46	3%
Sub-MI	i) FAO makes readily available its criteria for allocating resources.	4.64	3%
Sub-MI	ii) FAO allocates resources according to the criteria mentioned above.	4.29	3%
6.2	The MO predicts its development co-operation funding.	3.48	7%

Indicators		Survey mean scores (DRC)	% DK (DRC)
Sub-MI	i) FAO is adopting measures to make its funding more predictable.	--	--
Sub-MI	ii) FAO provides its funding to countries and other partners according to schedule.	3.48	7%
KPI 8	The MO has policies and processes for financial accountability (audit, risk management, anti-corruption).	3.86	
8.5	Processes are in place to quickly follow up on any irregularities identified at the country (or other) level.	4.00	60%
8.6	The MO's procurement procedures provide effective control on purchases of goods and services.	3.73	25%
KPI 9	The MO demonstrates the use of performance information for decision-making.	4.11	
9.2	Performance information is used by the MO for planning new interventions at the country level.	4.44	16%
9.3	Poorly performing programmes, projects and/or initiatives are addressed proactively so as to improve performance.	3.78	19%
Sub-MI	i) FAO regularly identifies poorly performing programmes and projects.	3.85	22%
Sub-MI	ii) FAO proactively addresses performance issues identified in poorly performing programmes and projects.	3.70	16%
KPI 12	The MO delegates decision-making authority and staff accordingly (to the country or other levels).	3.47	
12.1	Staff deployment in country is adequate for the implementation of the MO's mandate.	3.47	14%
12.2	Aid reallocation decisions can be made locally.	3.64	36%
12.3	New programmes/projects can be approved locally within a budget cap.	3.29	41%
KPI 13	The MO has the necessary practices and systems to work in emergencies.	4.43	
13.1	The MO has capacity for emergency preparedness.	4.37	1%
13.2	The MO has capacity for early recovery following an emergency.	4.03	1%
13.3	The MO respects humanitarian principles while working in emergencies.	4.89	1%
Performance area III: Relationship management			
KPI 14	The MO co-ordinates and directs its development co-operation at the country level in support of agreed national plans or partner plans.	4.37	
14.1	Extent to which MO-supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualised or initiated by MO itself.	4.20	23%
14.2	Statements of expected results are consistent with those in national development strategies and UNDAF, as appropriate.	4.53	10%
KPI 15	The MO's procedures take into account local conditions and capacities.	4.00	
15.1	The procedures of the MO can be easily understood and completed by partners.	4.55	20%
15.2	The length of time for completing MO procedures does not have a negative effect on implementation.	3.55	32%
15.3	The MO has the operational agility to respond quickly to changing circumstances on the ground.	3.82	13%

Indicators		Survey mean scores (DRC)	% DK (DRC)
15.4	The MO has operational flexibility to adjust its implementation of projects/programmes as learning occurs.	4.07	0%
KPI 16	The MO uses country systems for disbursement and operations.	4.31	
16.1	The MO uses country systems (both financial and non-financial), where appropriate.	4.07	7%
16.2	The MO participates in mutual assessments of progress in implementing agreed commitments with national partners.	4.54	1%
KPI 17	The MO adds value to policy dialogue with its partners.	3.94	
17.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs.	3.88	20%
17.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives.	3.99	21%
KPI 18	The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc.) as appropriate.	4.51	
18.1	The MO co-ordinates planning, programming, monitoring and reporting with other partners.	4.33	6%
18.2	The MO builds on the initiative of others to avoid duplication.	4.44	5%
18.3	The MO's work reflects its comparative advantage.	4.53	10%
18.4	The MO contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, annual programming exercises).	4.75	0%
KPI 19	The MO participates in the cluster system and dedicates sufficient resources for cluster management when it is a cluster lead or co-lead for humanitarian assistance.	4.32	
19.1	The MO dedicates sufficient analytical resources on behalf of the cluster it leads or co-leads.	4.09	7%
19.2	The MO provides sufficient overall leadership within the cluster it leads or co-leads via the provision of dedicated senior staff for co-ordination.	4.35	5%
19.3	The MO ensures that pertinent information is circulated within the cluster it leads or co-leads.	4.62	5%
19.4	The MO generates reliable financial needs forecasts and articulates priorities for the cluster it leads or co-leads.	4.22	17%
Performance area IV: Knowledge management			
KPI 20	The MO consistently evaluates its results.	4.01	
20.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes.	4.01	16%
Sub-MI	i) FAO involves key partners in evaluations of its projects or programmes.	4.09	13%
Sub-MI	ii) FAO involves key beneficiaries in evaluations of its projects and programmes	3.93	19%
KPI 22	The MO encourages the identification and documentation of lessons learned and/or best practices.	4.41	
22.3	The MO facilitates the exchange of knowledge in the area of agriculture and food and nutrition security.	4.41	1%

4.4.5 FAO's relevance and development results in DRC



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, see the Methodology in Volume II, Appendix I.

“–” indicates that the question was not asked among a particular respondent group.

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Summary of survey results (mean scores) in DRC

Indicators		Survey mean scores (DRC)	% DK (DRC)	Observations from document review
A	Evidence of FAO's relevance			N/A
A1	The MO is pursuing results in areas within its mandate.	4.82	0%	N/A
A2	The MO's results are in line with global trends and priorities in the development/humanitarian field.	4.36	1%	N/A
A3	The MO's results respond to the needs/priorities of its target group (beneficiaries).	4.30	4%	N/A
A4	The MO adapts its work to the changing needs and priorities of the country.	4.34	0%	N/A
C	Evidence of FAO's progress towards its stated country-level results			
C1	Improve governance of agricultural, rural development, and natural resources sectors, as well as management of humanitarian crises.	3.93	9%	Projects assessed: None Limited amount of documentary evidence of results in relation to FAO's contributions to improve governance of agricultural, rural development, and natural resources sectors, as well as management of humanitarian crises. The assessment team did not receive any documentation on FAO's contributions to results in this area apart from pamphlets with success stories.
Sub-MI	i) FAO has demonstrated progress towards its stated priority of improving governance of agricultural, rural development, and natural resources sectors in DRC.	3.85	11%	
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of improving management of humanitarian crises in DRC.	4.00	8%	
C2	Develop value chains for crop, livestock, and fisheries.	3.62	12%	Projects assessed: None The review team did not receive or identify any documentation regarding FAO's contributions to developing value chains for crop, livestock, and fisheries (MI C2).
Sub-MI	i) FAO has demonstrated progress towards its stated priority of developing value chains for crop in DRC.	3.83	13%	
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of developing value chains for livestock in DRC.	3.54	9%	

Indicators		Survey mean scores (DRC)	% DK (DRC)	Observations from document review
Sub-MI	iii) FAO has demonstrated progress towards its stated priority of developing value chains for fisheries in DRC.	3.50	14%	Project assessed: Programme ONU-REDD DRC - Rapports des programmes régionaux According to the Final Draft UN-REDD Report for DRC, the programme has achieved its objectives: DRC has for example completed its REDD Preparation Plan, created and legalised national structured for the preparation of REDD+ (Décret 26/11/2009) and prepared and adopted a national Strategic Framework in 2012. Overall the Final Report concludes that DRC has made substantial advances in the preparation of the REDD+ mechanism including in relation to funding (UN-REDD, 2012). However, no evidence of concrete outcomes resulting from the preparation of national plans and structures.
C3	Protect the environment and fight climate change.	3.23	12%	
Sub-MI	i) FAO has demonstrated progress towards its stated priority of protecting the environment in DRC.	3.27	10%	
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of fighting climate change in DRC.	3.18	13%	
C4	Assist vulnerable people through emergency and resilience programmes.	4.30	9%	Projects assessed: a) Appui à la constitution de stocks stratégiques d'intrants agricoles en vue de renforcer la sécurité alimentaire des ménages vulnérables dans la province orientale et au Maniema – Final Report (FAO, 2012 [18]); b) Appui d'urgence à la production agricole en faveur de 12 285 ménages déplacés, retournes et familles d'accueil de shabunda, Fizi au Sud Kivu – Final report. Good documentary evidence of FAO's contributions in emergency and resilience programmes. Several projects focusing on support to agricultural production for vulnerable farming families show evidence of increased farming outputs and revenues from sales. One example is a project focusing on increased food security pro providing strategic farming inputs (seeds and tools) as well as training for 7190 vulnerable households. Examples of results include: Support for 7190 vulnerable households vegetable farming inputs Production and sale of 888 tons vegetables, 876 tons of other food products and 135 tons of fish. This production has contributed to lowering food prices on local markets while increasing revenues for households involved in the project of 131,5 USD for food products, 70USD for vegetable garden producers and 540USD for fish producers (OSRO/DRC/105/UNJ)(FAO, 2012 [18]).
Sub-MI	i) FAO has demonstrated progress towards its stated priority of developing assessments of food security needs of the population in DRC.	4.81	8%	
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of developing responses to assist populations in post-conflict areas and after natural disasters in DRC.	4.25	8%	
Sub-MI	iii) FAO has demonstrated progress towards its stated priority of improving the resilience of communities in DRC.	3.83	10%	
D	Evidence of FAO's contribution to national goals and priorities, including the Millennium Development Goals			
D1	The MO contributes to development results that support the achievement of national priorities.	4.16	9%	Lack of documentary evidence of the extent to which FAO's projects have contributed to broader impact beyond the immediate project beneficiaries (e.g. whether or not pilot or demonstration projects have been brought to scale)
D2	The MO is making effective contributions to relevant MDGs.	4.28	9%	No current reporting mechanisms allow for an assessment of FAO's contributions to development outcomes at the country level (i.e. aggregated results of the entire country programme) or the achievement of MDG1.
D3	The MO programming has resulted in positive benefits for DRC.	4.06	8%	Limited documentary evidence

4.5 Ecuador

4.5.1 Country context and FAO strategy

Ecuador has a population of approximately 16 million people and is substantially dependent on its petroleum resources, which account for more than half of the country's export earnings and approximately two-fifths of public sector revenues. Agriculture only accounts for 5.9% of GDP, but does employ 27.8% of the country's labour force (CIA, 2014 [01]). Banana and plantain are the main export crops and provide almost a third of the total non-oil exports. Other important agriculture and fishery exports include shrimp (15% of non-oil exports), canned fish products (13%) and flowers (12%). Some of the key contextual factors that influence the agricultural sector in Ecuador include:

- Ecuador is one of twelve “megadiverse” countries that together represent almost 70% of planet's biodiversity. However, changing soil use practices and high contamination levels represent important threats to the country's environment and biodiversity.
- Significant conflicts of interest between family farming and commercial agriculture: Commercial agriculture typically focuses on the cultivation of one single crop and occupies up to 80% of the available land in the 15% of Farming Production Units (UPAs).^{xiv} Family farming, which is mainly used to satisfy basic needs, occupies only 20% of the land in 84.5% of UPAs. More than 64% of agricultural production comes from family farming which also contributes to the majority of the food consumed in Ecuador.
- Ecuador is a net exporter of food which represents an average of more than 28% of total exports.
- The country is susceptible to natural disasters which is a particularly important obstacle to development in the farming sector (FAO, 2009 [05]).

For the period under review, FAO used as its main strategic document in Ecuador the NMTPF 2009-2012. In 2013, FAO made the transition to the CPF, which covers the period 2013 – 2017. This CPF was developed in close collaboration with the government and corresponds directly to objectives included in the Ecuador's National Development Plan (el Plan Nacional para el Buen Vivir) and other key national strategies. Given that the priority areas in the CPF differ substantially from those in the NMTPF, they did not reflect FAO's work in Ecuador in past years. As a result, the priorities outlined in the NMTPF 2009-2012 were used as the basis of the assessment of results.

The NMTPF priorities were:

- Support the formulation and implementation of the rural development strategy (MI C1)
- Support the formulation and implementation of the food security and sovereignty strategy (MI C2)
- Improve and modernise the food safety system (MI C3)
- Support the implementation of the fishery and aquaculture development plan (MI C4)
- Provide assistance for the implementation of a sustainable forest development strategy and protecting biodiversity and agro-biodiversity (MI C5)
- Support risk management in the agricultural sector (MI C6).

4.5.2 Summary of evidence of FAO relevance and results in Ecuador

The table below provides examples of strengths and challenges of FAO's programme in Ecuador based on evidence from document review, survey analysis and interviews.

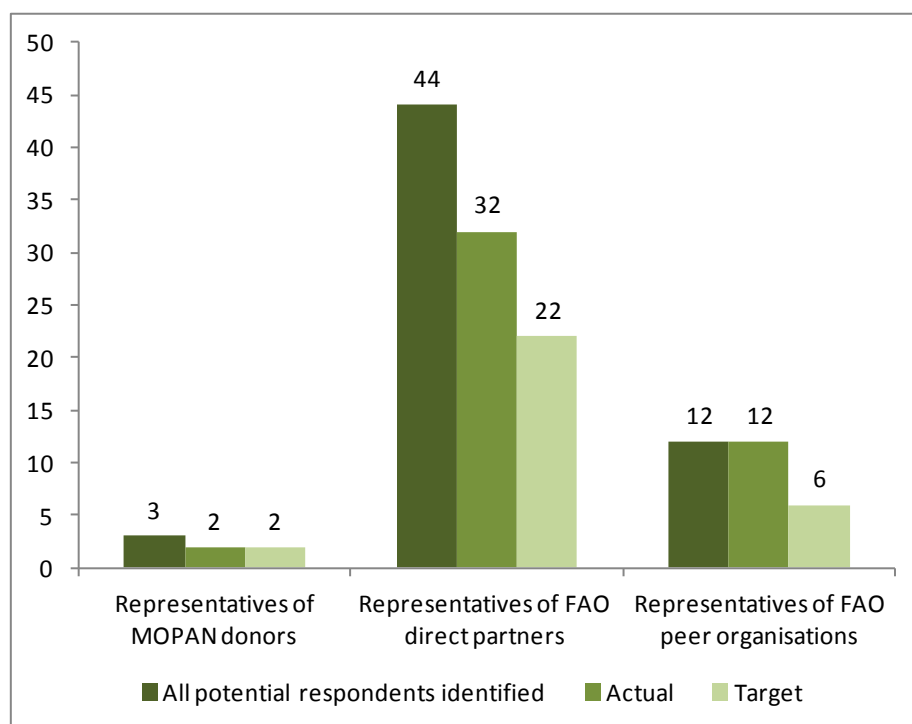
Key Performance Indicator	Evidence of relevance and results	FAO planning and reporting
KPI A: FAO's relevance	+ There is evidence of strong government commitment and ownership in virtually all the areas related to FAO's mandate. FAO therefore largely plays a consultative role rather than an intervention role in the country.	+ The documentation reviewed provides clear evidence that the CPF supports national development priorities. For example, FAO's contributions to reductions in malnutrition correspond directly to objectives included in the

Key Performance Indicator	Evidence of relevance and results	FAO planning and reporting
	- Limited evidence of relevance from external evaluations and the extent to which FAO projects have contributed to development results for project beneficiaries at the programme level	Ecuador's National Development Plan (Plan Nacional del BuenVivir). The CPF 2013 – 2017 was developed in close collaboration with the government. Some of the new priorities in the CPF 2013-2017, including for example FAO's focus on supporting risk management in the agricultural sector, are directly informed by the development of new national systems and priorities such as the National Risk System. + FAO's operations in Ecuador are based on a solid analysis of the main development challenges in the country. - None of the reports sampled for the document review directly comment on the relevance of FAO's operations and strategies in Ecuador.
KPI C: Progress towards stated country-level results	+ Evidence of contributions to the development and implementation of policies focusing on the eradication of hunger and chronic malnutrition. FAO contributed to decreasing the percentage of children of 5 years or younger with chronic malnutrition in Ecuador's priority territories (50% to 19%). This exceeded the project goal regarding number of families improving their food and nutritional security in Ecuador priority territories (goal: 6 200, result: 7 067). All in all 5 800 families in extreme poverty, mainly from indigenous households managed to improve their food security (FAO, 2013 [38]). + Evidence of contributions to improving food and nutritional security to family farmers: Increased household income of the seed producer group members, due to the production and sale. Average of income per capita: US\$ 1500 potato seed, US\$ 1000 bean seed. Using quality seed yield has increased by an average of 72% (potato 129%, corn 37% and bean 51%) (FAO, 2013 [37]). + Qualitative comments from FAO's direct partners in the MOPAN survey also indicate that FAO has contributed positively to family farming and food security in Ecuador. 30% of direct partner respondents highlighted FAO's work and impact on improving family farming food security as one of the organisation's strengths. + Overall MOPAN survey ratings of strong regarding FAO Ecuador's support to the formulation and implementation of the food security and sovereignty strategy - Overall MOPAN survey ratings of inadequate regarding FAO's support to the implementation of the fishery and aquaculture development plan (MI C4): 42% of survey respondents rated FAO as inadequate or weak on this indicator while 34% of respondents answered "don't know" to questions in this area.	- Limited capacity to demonstrate overall programme-level results - Limited capacity to capture and demonstrate results beyond activities and outputs
KPI D: Contributions to national priorities and MDGs	+ Overall survey ratings of strong regarding FAO's contributions to national priorities (MI D1): 43% rated FAO as strong or very strong on this indicator.	- No current reporting mechanisms allow for an assessment of FAO's contributions to development outcomes at the country level (i.e. aggregated results of the entire country programme) or an illustration of the organisation's contributions to the country's progress towards MDG1. However, some project level documentation (e.g. related to hunger and malnutrition) describes how they have targeted MDG1.

Key Performance Indicator	Evidence of relevance and results	FAO planning and reporting
	+ Survey respondents are positive about FAO's contributions to relevant MDGs. 86% provide ratings of adequate or above. + Survey respondents also generally find that FAO programming has resulted in positive benefits for Ecuador: 86% rated FAO as adequate or above in this area and 46% rated it strong or very strong.	- Lack of documentary evidence of the extent to which FAO's projects have contributed to broader impact beyond the immediate project beneficiaries (e.g. whether or not pilot or demonstration projects have been brought to scale)

4.5.3 Profile of survey respondent groups in Ecuador

Number of respondents



Note: The “potential respondents” refer to all those who were invited to complete the survey. The “actual” respondents refer to those individuals who completed the survey and the “target” refers to the target number of responses set by MOPAN (i.e. 50% of the potential respondents).

4.5.4 FAO's organisational effectiveness in Ecuador



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, see the Methodology in Volume II, Appendix I.

“–” indicates that the question was not asked among a particular respondent group.

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Survey results (mean scores) in Ecuador and don’t know responses

Indicators		Survey mean scores (Ecuador)	% DK (Ecuador)
Performance area I: Strategic management			
KPI 1	The Multilateral Organisation (MO) provides direction for the achievement of development results.	4.88	
1.1	The MO has a value system that supports a results-orientation.	5.12	5%
1.3	The MO ensures application of an organisation-wide policy on results management.	4.64	22%
KPI 4	The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or considered important by MOPAN.	4.38	
4.1	Gender equality	4.20	14%
4.2	Environmental policy and environmental assessment practices	4.45	2%
4.3	Good governance	4.54	9%
4.4	Human rights-based approaches	4.34	7%
KPI 5	The MO's country strategies are results-focused.	4.35	
5.3	Country strategies are developed through consultation with direct partners.	4.35	19%
Performance area II: Operational management			
KPI 6	The MO's development co-operation funding is transparent and predictable.	4.16	
6.1	The MO's criteria for allocating resources are transparent.	4.00	11%
Sub-MI	i) FAO makes readily available its criteria for allocating resources.	4.03	9%
Sub-MI	ii) FAO allocates resources according to the criteria mentioned above.	3.96	13%
6.2	The MO predicts its development co-operation funding.	4.32	22%

Indicators		Survey mean scores (Ecuador)	% DK (Ecuador)
Sub-MI	i) FAO is adopting measures to make its funding more predictable.	--	--
Sub-MI	ii) FAO provides its funding to countries and other partners according to schedule.	4.32	22%
KPI 8	The MO has policies and processes for financial accountability (audit, risk management, anti-corruption).	4.27	
8.5	Processes are in place to quickly follow up on any irregularities identified at the country (or other) level.	4.00	50%
8.6	The MO's procurement procedures provide effective control on purchases of goods and services.	4.54	51%
KPI 9	The MO demonstrates the use of performance information for decision-making.	4.19	
9.2	Performance information is used by the MO for planning new interventions at the country level.	4.29	28%
9.3	Poorly performing programmes, projects and/or initiatives are addressed proactively so as to improve performance.	4.09	33%
Sub-MI	i) FAO regularly identifies poorly performing programmes and projects.	3.98	35%
Sub-MI	ii) FAO proactively addresses performance issues identified in poorly performing programmes and projects.	4.20	32%
KPI 12	The MO delegates decision-making authority and staff accordingly (to the country or other levels).	4.04	
12.1	Staff deployment in country is adequate for the implementation of the MO's mandate.	4.35	20%
12.2	Aid reallocation decisions can be made locally.	3.71	26%
12.3	New programmes/projects can be approved locally within a budget cap.	4.05	41%
KPI 13	The MO has the necessary practices and systems to work in emergencies.	3.99	
13.1	The MO has capacity for emergency preparedness.	3.99	17%
Performance area III: Relationship management			
KPI 14	The MO co-ordinates and directs its development co-operation at the country level in support of agreed national plans or partner plans.	4.80	
14.1	Extent to which MO-supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualised or initiated by MO itself.	4.51	5%
14.2	Statements of expected results are consistent with those in national development strategies and UNDAF, as appropriate.	5.10	3%
KPI 15	The MO's procedures take into account local conditions and capacities.	4.33	
15.1	The procedures of the MO can be easily understood and completed by partners.	4.45	3%
15.2	The length of time for completing MO procedures does not have a negative effect on implementation.	4.39	3%
15.3	The MO has the operational agility to respond quickly to changing circumstances on the ground.	3.94	8%
15.4	The MO has operational flexibility to adjust its implementation of projects/programmes as learning occurs.	4.54	19%
KPI 16	The MO uses country systems for disbursement and operations.	4.13	

Indicators		Survey mean scores (Ecuador)	% DK (Ecuador)
16.1	The MO uses country systems (both financial and non-financial), where appropriate.	4.12	22%
16.2	The MO participates in mutual assessments of progress in implementing agreed commitments with national partners.	4.13	12%
KPI 17	The MO adds value to policy dialogue with its partners.	4.48	
17.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs.	4.16	5%
17.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives.	4.80	10%
KPI 18	The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc.) as appropriate.	4.10	
18.1	The MO co-ordinates planning, programming, monitoring and reporting with other partners.	3.90	16%
18.2	The MO builds on the initiative of others to avoid duplication.	3.98	15%
18.3	The MO's work reflects its comparative advantage.	4.41	15%
Performance area IV: Knowledge management			
KPI 20	The MO consistently evaluates its results.	4.35	
20.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes.	4.35	21%
Sub-MI	i) FAO involves key partners in evaluations of its projects or programmes.	4.34	18%
Sub-MI	ii) FAO involves key beneficiaries in evaluations of its projects or programmes	4.35	24%
KPI 22	The MO encourages the identification and documentation of lessons learned and/or best practices.	4.47	
22.3	The MO facilitates the exchange of knowledge in the area of agriculture and food and nutrition security.	4.47	7%

4.5.5 FAO's relevance and development results in Ecuador



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, see the Methodology in Volume II, Appendix I.

“–” indicates that the question was not asked among a particular respondent group.

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Summary of survey results (mean scores) in Ecuador

Indicators		Survey mean scores (Ecuador)	% DK (Ecuador)	Observations from the document review
A	Evidence of FAO's relevance			
A1	The MO is pursuing results in areas within its mandate.	4.34	1%	N/A
A2	The MO's results are in line with global trends and priorities in the development/humanitarian field.	4.28	8%	N/A
A3	The MO's results respond to the needs/priorities of its target group (beneficiaries).	4.44	5%	N/A
A4	The MO adapts its work to the changing needs and priorities of the country.	4.32	1%	N/A
C	Evidence of FAO's progress towards its stated country-level results			
C1	Support the formulation and implementation of the rural development strategy.	3.91	1%	Projects assessed: None The document review team did not identify or receive any documentation on results achieved in relation to this indicator. According to the country office, the government of Ecuador changed its rural development focus for poverty alleviation which means that rural development is now a part of its national poverty alleviation strategy. Therefore, as of 2011 FAO did not implement any activities specifically focusing on this theme.
Sub-MI	i) FAO has demonstrated progress towards its stated priority of supporting the formulation of the rural development strategy in Ecuador.	3.60	1%	
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of supporting the implementation of the rural development strategy in Ecuador.	4.22	1%	
C2	Support the formulation and implementation of the food security and sovereignty strategy.	4.58	4%	Projects assessed: a) Marco Nacional de prioridades para la asistencia técnica de la FAO, 2009-2012; 2013-2017; b) Programa de apoyo a la agricultura familiar campesina en Perú, Bolivia y Ecuador para mejorar la disponibilidad, el acceso y el uso de semilla de calidad en las zonas Alto Andinas. Good evidence of output, outcome and impact level results in these two projects. Evidence of contributions to the development and implementation of policies focusing on the eradication of hunger and chronic malnutrition. FAO contributed to
Sub-MI	i) FAO has demonstrated progress towards its stated priority of supporting the formulation of the food security and sovereignty strategy in Ecuador.	4.66	4%	
Sub-MI	ii) FAO has demonstrated progress towards its stated	4.51	5%	

Indicators		Survey mean scores (Ecuador)	% DK (Ecuador)	Observations from the document review
	priority of supporting the implementation of the food security and sovereignty strategy in Ecuador.			decreasing the percentage of children of 5 years or younger with chronic malnutrition in Ecuador' priority territories (50% to 19%). This exceeded the project goal regarding number of families improving their food and nutritional security in Ecuador priority territories (goal: 6 200; result 7 067). All in all 5 800 families in extreme poverty, mainly from indigenous households managed to improve their food security (FAO, 2013 [38]). Significant contributions to improving food and nutritional security to family farmers: Increased household income of the seed producer group members, due to the production and sale. Average of income per capita: USD 1500 potato seed, USD 1000 bean seed. Using quality seed yield has increased by an average of 72% (potato 129%, corn 37%, and bean 51%)(FAO, 2013 [37]).
C3	Improve and modernise the food safety system.	4.06	10%	Project assessed: Marco Nacional de prioridades para la asistencia técnica de la FAO, 2009-2012; 2013-2017 Evidence of activities undertaken and outputs delivered, but no outcome level results. Examples of activities include: collection of data regarding agricultural producers in certain provinces; design of manuals for the application of the Management Model of Food Preparation; identification of producer organisations in certain provinces and identification of strengths and weakness relating to issues such as land areas belonging of farmers, credit access, management knowledge, etc.
C4	Support the implementation of the fishery and aquaculture development plan.	3.43	25%	Project assessed: Manejo de recursos pesqueros No evidence of development outcomes. However, key activities reported include the facilitation of 5 round tables focusing on the definition of artisanal and small industry fishery, Research on bio-aquatic resources, Management systems applied to fisheries and community participation, maritime safety and planning and control systems, policies to foster fishery activity. According to the report, consensus has been reached between artisanal and industrial fishers in the context of the new fishery planning policies' participative development (FAO, 2012 [19], p. 2). FAO noted that in support to the implementation of the fishery and aquaculture development plan, it developed through a participatory approach a policy document and action plan. Since then, FAO has increased its work on fisheries and aquaculture, as evidenced by five new initiatives currently underway.
C5	Provide assistance for the implementation of a sustainable forest development strategy and protecting biodiversity and agro-biodiversity.	4.08	9%	Projects assessed: a) Marco Nacional de prioridades para la asistencia técnica de la FAO, 2009-2012; 2013-2017; b) Programa Nacional Conjunto Ecuador, Programa ONU-REDD 20 octubre 2013, Informe Semestral/ Informe anual PNC Ecuador 2012.
Sub-MI	i) FAO has demonstrated progress towards its stated priority of providing assistance for the implementation of a sustainable forest development strategy in Ecuador.	3.97	10%	No evidence of development outcomes. However, key activities and outputs reported include the development of a pilot methodology to capture accurate forest information which has been shared with different Ecuador institutions.
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of protecting biodiversity and agro-biodiversity in Ecuador.	4.19	7%	Other activities and outputs include the development of information for the National Forest Information System; Consulting and engagement processes with civil society, and different Ecuadorian communities; development of instruments and policies for REDD+ implementation including requirements and procedures for

Indicators		Survey mean scores (Ecuador)	% DK (Ecuador)	Observations from the document review
C6	Support risk management in the agricultural sector.	3.78	15%	registration, approval and implementation of REDD+ activities; the creation of a schedule for REDD+ financing distribution. Project assessed: Reconstrucción de los Modos de Vida de los Pequeños Productores Afectados por los Riesgos en el Sector del Agro en la Sierra Centro del Ecuador - Marco Nacional de prioridades para la asistencia técnica de la FAO, 2009-2012; 2013-2017. Mixed evidence of results. One component of the project was not completed (development of risk strategies for farmers). However, the second component of the project was implemented. Key activities include training of 26 339 agricultural producers in agricultural assurance in 2012 and 47 938 producers in 2013. A number of studies relating to issues affecting family farming such as soil use, animal raising, income generation, accidentally rate on crops, etc. have also been conducted.
D	Evidence of FAO's contribution to national goals and priorities, including the Millennium Development Goals			
D1	The MO contributes to development results that support the achievement of national priorities.	4.51	2%	Lack of documentation for document review.
D2	The MO is making effective contributions to relevant MDGs.	3.99	1%	Lack of documentation for document review.
D3	The MO programming has resulted in positive benefits for Ecuador.	4.42	5%	Lack of documentation for document review.

4.6 Kenya

4.6.1 Country context and FAO strategy

Kenya has a population of 45 million people of which more than 40% (75% of Kenya's actual labour force) are employed in the agricultural sector (CIA, 2014 [02]). Agricultural products account for 65% of the country's export earnings, and provides the livelihood (employment, income and food security needs) for more than 80% of the Kenyan population. However, the sector is influenced by a number of key contextual factors that also have a bearing on FAO's strategy and programme in the country:

- Low agricultural productivity caused by low input use, unsustainable soil and water practices and the diminishing size of average land holdings
- Highly variable climate (droughts and floods) resulting in loss of lives and displacement of people, deterioration of livelihoods, destruction of infrastructure and degradation of natural resources
- High and increasing demand for natural resource goods and services: Many years of exploitation, population pressure, demand for fuel wood resources and unsustainable land use practices, exacerbated by a poor governance framework, have all contributed to the degradation of the natural environment.

FAO's responses to these development challenges are outlined in the 2013-2017 CPF, and also correspond to some of the main priorities highlighted in the previous strategic framework, the NMPF 2009-13. They include the following priority areas:

- Agricultural-based livelihoods are supported by an enabling policy, strategy and investment environment (MI C1)
- Agricultural productivity and production of medium- and small-scale producers increased, diversified and aligned to markets (MI C2)
- Improved management of natural resources (rangeland, agricultural land, water and forest) at national and community level (MI C3)
- Improved livelihood resilience of targeted, vulnerable populations (including PLWHA, men, women and youth) (MI C4)(FAO, 2013 [22]).

4.6.2 Summary of evidence of FAO relevance and results in Kenya

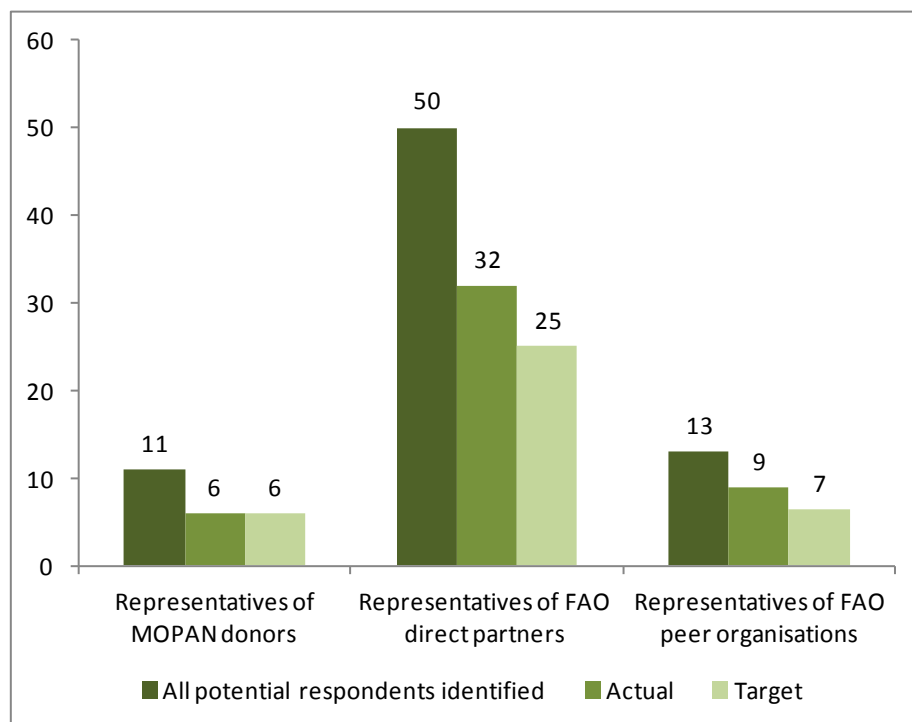
The table below provides examples of strengths and challenges of FAO's programme in Kenya based on evidence from document review, survey analysis and interviews.

Key Performance Indicator	Evidence of relevance and results	FAO planning and reporting
KPI A: FAO's relevance	- Limited evidence of the extent to which FAO projects have contributed to positive benefits for populations beyond the immediate project beneficiaries. Some anecdotal evidence exists, but it is not possible to appreciate the full extent of FAO's actual impact in the country.	+ The CPF 2013 – 2017 is clearly aligned with national priorities and explicitly refers to the MDGs and other international development priorities.
	- Historically the country portfolio was characterised by a high number of relatively small projects with limited potential for synergies and broader impacts.	+ FAO's operations in Kenya are based on a solid analysis of the main development challenges in the country.
		+ The CPF 2013 – 2017 was developed in close collaboration with key stakeholders including the Kenyan government.
		- None of the reports sampled for the document review directly comment on the relevance of FAO's operations and strategies in Kenya.

Key Performance Indicator	Evidence of relevance and results	FAO planning and reporting
KPI C: Progress towards stated country-level results	+ 53% of the MOPAN survey respondents rated FAO's contributions to improving livelihood resilience of targeted, vulnerable populations as strong or very strong. + Good documentary evidence of FAO's contributions to improving resilience to drought. Key results include: development of by-laws to govern holistic natural resource management in three counties; improved land and water management practices and assets; enhanced and diversified social and cultural livelihoods endowments for 1 912 participants in Farmers' Field and Life Schools, Junior Farmers' Field and Life Schools, and People Living with HIV/AIDS groups. These benefits were extended to 9 560 household members of project participants. 128 government and NGO staff were trained on information gathering and management for early warning systems (FAO, 2012 [12]). + Training of producers and processors on agribusiness and value chains, which facilitated the formation of a number of exceptionally successful agribusinesses, one of which was nominated '30 Under 30: Africa's Best Young Entrepreneurs' by the Forbes Magazine (FAO, 2014 [29]) + Successful use of farmer field school approaches through which FAO has managed to train a substantial amount of people - Overall MOPAN survey ratings of inadequate regarding FAO's contributions to improving management of natural resources (MI C4): 42% of survey respondents rated FAO as inadequate or weak on this indicator while 34% of respondents answered "don't know" to questions in this area.	- Limited amount of documentary evidence of results in relation to FAO's support to agricultural-based livelihoods through an enabling policy, strategy and investment environment (MI C1). This does not mean that results were not achieved, but rather that data was not available to demonstrate FAO's contributions in this area. - Limited capacity to demonstrate overall programme-level results - Limited capacity to capture and demonstrate results beyond activities and outputs
KPI D: Contributions to national priorities and MDGs	+ A clear majority of survey respondents provided ratings of adequate or above regarding FAO's contributions to national priorities (MI D1). + Survey respondents were positive about FAO's contributions to relevant MDGs. More than 70% provided ratings of adequate or above and 44% rated FAO strong or very strong in this area. + Survey respondents also generally found that FAO programming has resulted in positive benefits for Kenya.	- No current reporting mechanisms allow for an assessment of FAO's contributions to development outcomes at the country level (i.e. aggregated results of the entire country programme) or an illustration of how FAO contributes to the country's progress towards MDG1. - Lack of documentary evidence of the extent to which FAO's projects have contributed to broader impact beyond the immediate project beneficiaries (e.g. whether or not pilot or demonstration projects have been brought to scale) - Limited documentary evidence of the extent to which FAO's policy and legislative advice has resulted in actual changes at the policy level

4.6.3 Profile of survey respondent groups in Kenya

Number of respondents



Note: The “potential respondents” refer to all those who were invited to complete the survey. The “actual” respondents refer to those individuals who completed the survey and the “target” refers to the target number of responses set by MOPAN (i.e. 50% of the potential respondents).

4.6.4 FAO's organisational effectiveness in Kenya



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, see the Methodology in Volume II, Appendix I.
 “–” indicates that the question was not asked among a particular respondent group.
 % DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Survey results (mean scores) in Kenya and don’t know responses

Indicators		Survey mean scores (Kenya)	% DK (Kenya)
Performance area I: Strategic management			
KPI 1	The Multilateral Organisation (MO) provides direction for the achievement of development results.	4.58	
1.1	The MO has a value system that supports a results-orientation.	4.29	11%
1.3	The MO ensures application of an organisation-wide policy on results management.	4.87	3%
KPI 4	The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or considered important by MOPAN.	4.58	
4.1	Gender equality	4.42	17%
4.2	Environmental policy and environmental assessment practices	4.46	2%
4.3	Good governance	4.45	7%
4.4	Human rights-based approaches	5.01	8%
KPI 5	The MO's country strategies are results-focused.	4.74	
5.3	Country strategies are developed through consultation with direct partners.	4.74	3%
Performance area II: Operational management			
KPI 6	The MO's development co-operation funding is transparent and predictable.	4.54	
6.1	The MO's criteria for allocating resources are transparent.	4.79	22%
Sub-MI	i) FAO makes readily available its criteria for allocating resources.	4.62	19%
Sub-MI	ii) FAO allocates resources according to the criteria mentioned above.	4.96	25%
6.2	The MO predicts its development co-operation funding.	4.30	16%

Indicators		Survey mean scores (Kenya)	% DK (Kenya)
Sub-MI	i) FAO is adopting measures to make its funding more predictable.	--	--
Sub-MI	ii) FAO provides its funding to countries and other partners according to schedule.	4.30	16%
KPI 8	The MO has policies and processes for financial accountability (audit, risk management, anti-corruption).	4.43	
8.5	Processes are in place to quickly follow up on any irregularities identified at the country (or other) level.	4.50	67%
8.6	The MO's procurement procedures provide effective control on purchases of goods and services.	4.36	17%
KPI 9	The MO demonstrates the use of performance information for decision-making.	4.31	
9.2	Performance information is used by the MO for planning new interventions at the country level.	4.59	13%
9.3	Poorly performing programmes, projects and/or initiatives are addressed proactively so as to improve performance.	4.03	22%
Sub-MI	i) FAO regularly identifies poorly performing programmes and projects.	3.92	22%
Sub-MI	ii) FAO proactively addresses performance issues identified in poorly performing programmes and projects.	4.14	22%
KPI 12	The MO delegates decision-making authority and staff accordingly (to the country or other levels).	3.81	
12.1	Staff deployment in country is adequate for the implementation of the MO's mandate.	3.79	23%
12.2	Aid reallocation decisions can be made locally.	3.71	28%
12.3	New programmes/projects can be approved locally within a budget cap.	3.93	13%
KPI 13	The MO has the necessary practices and systems to work in emergencies.	4.46	
13.1	The MO has capacity for emergency preparedness.	4.48	14%
13.2	The MO has capacity for early recovery following an emergency.	4.00	15%
13.3	The MO respects humanitarian principles while working in emergencies.	4.89	26%
Performance area III: Relationship management			
KPI 14	The MO co-ordinates and directs its development co-operation at the country level in support of agreed national plans or partner plans.	4.93	
14.1	Extent to which MO-supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualised or initiated by MO itself.	4.59	28%
14.2	Statements of expected results are consistent with those in national development strategies and UNDAF, as appropriate.	5.26	3%
KPI 15	The MO's procedures take into account local conditions and capacities.	4.05	
15.1	The procedures of the MO can be easily understood and completed by partners.	4.39	28%
15.2	The length of time for completing MO procedures does not have a negative effect on implementation.	3.48	45%
15.3	The MO has the operational agility to respond quickly to changing circumstances on the ground.	3.88	17%

Indicators		Survey mean scores (Kenya)	% DK (Kenya)
15.4	The MO has operational flexibility to adjust its implementation of projects/programmes as learning occurs.	4.46	19%
KPI 16	The MO uses country systems for disbursement and operations.	4.32	
16.1	The MO uses country systems (both financial and non-financial), where appropriate.	4.23	19%
16.2	The MO participates in mutual assessments of progress in implementing agreed commitments with national partners.	4.40	13%
KPI 17	The MO adds value to policy dialogue with its partners.	4.81	
17.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs.	4.85	4%
17.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives.	4.77	14%
KPI 18	The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc.) as appropriate.	4.31	
18.1	The MO co-ordinates planning, programming, monitoring and reporting with other partners.	4.34	13%
18.2	The MO builds on the initiative of others to avoid duplication.	4.34	5%
18.3	The MO's work reflects its comparative advantage.	4.54	9%
18.4	The MO contributes actively to inter-agency plans and appeals (e.g. consolidated appeals, annual programming exercises).	4.00	11%
Performance area IV: Knowledge management			
KPI 20	The MO consistently evaluates its results.	4.22	
20.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes.	4.22	12%
Sub-MI	i) FAO involves key partners in evaluations of its projects or programmes.	4.34	7%
Sub-MI	ii) FAO involves key beneficiaries in evaluations of its projects or programmes	4.10	17%
KPI 22	The MO encourages the identification and documentation of lessons learned and/or best practices.	4.97	
22.3	The MO facilitates the exchange of knowledge in the area of agriculture and food and nutrition security.	4.97	1%

4.6.5 FAO's relevance and development results in Kenya



Mean Score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, see the Methodology in Volume II, Appendix I.

“–” indicates that the question was not asked among a particular respondent group.

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Summary of survey results (mean scores) in Kenya

Indicators		Survey mean scores (Kenya)	% DK (Kenya)	
A	Evidence FAO's relevance			
A1	The MO is pursuing results in areas within its mandate.	4.91	1%	N/A
A2	The MO's results are in line with global trends and priorities in the development/humanitarian field.	4.85	0%	N/A
A3	The MO's results respond to the needs/priorities of its target group (beneficiaries).	4.46	7%	N/A
A4	The MO adapts its work to the changing needs and priorities of the country.	4.22	7%	N/A
C	Evidence of FAO's progress towards its stated country-level results			
C1	Support agricultural-based livelihoods through an enabling policy, strategy and investment environment.	4.14	9%	Project assessed: Improved Community Drought Response and Resilience (ICDRR) - Interim Narrative Report Good progress has been made with respect to community planning and capacity building in the area of holistic natural resource management. It is estimated that a radio-based training programme has reached more than 3 000 individuals; communities are developing by-laws to regulate grazing and field teams have been trained to facilitate the community planning process. The FAO is also supporting the ASAL Stakeholder Forum in its capacity as a community accountability and advocacy tool.
Sub-MI	i) FAO has demonstrated progress towards its stated priority of influencing the development of a policy environment that enables equitable agricultural growth in Kenya.	4.21	10%	
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of aligning donors and investor funding to defined government priorities in Kenya.	4.07	9%	
C2	Increase agricultural productivity and competitiveness of medium- and small-scale producers.	3.92	11%	Projects assessed: a) Agribusiness Support for Smallholders - Final Evaluation Report; b) Strengthening Fish Production Through Adoption of Improved Aquaculture Technology-Terminal Statement Report. Mixed evidence of performance regarding the project “Agribusiness Support for Smallholders”. Evidence of 11 business models linking producers to SMAEs was
Sub-MI	i) FAO has demonstrated progress towards its stated priority of increasing the agricultural productivity of medium- and small-scale producers in Kenya.	4.05	7%	

Indicators		Survey mean scores (Kenya)	% DK (Kenya)	
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of increasing competitiveness of medium- and small-scale producers in Kenya.	3.73	21%	found, but the extent to which the models resulted in increased availability and reduced costs of inputs, increased provision of marketing and technical extension services, and other desired effects, was unclear. Similarly, it was unclear the extent to which the models exhibited improvements in value chain logistics and the sharing of risks and rewards. The project was fairly successful in its capacity building efforts; the project exceeded its targets for numbers of individuals trained. However, the extent to which these individuals adopted and integrated the knowledge they acquired into their daily operations is uncertain. The project was most effective in building public sector capacity to support agribusiness models. Evidence of positive contributions to the aquaculture sector from the second project: The Statement concludes that the aquaculture sector would benefit from upscaling the project's cluster model. However, an independent assessment of the project's effectiveness was difficult to make due to a lack of baselines, targets, and indicators. Key results include: three clusters of fish farmers (each composed of approximately 40 farmers who worked almost 100 fishponds) selected; mean yield increased to 63 kg/100 m²/yr in the second cycle; mean growth period reduced to 8.6 months; stocking densities reduced to 2.4 fish/m²; individual business plans concerning all farmers completed and revised concurrently with plans regarding the various clusters; one farmer per cluster selected and trained as seed supplier for the group; model business plan designed for start-up aquaculture enterprises developed and discussed with farmers. FAO noted that its support to agribusiness in Kenya is relatively new and that more time is needed to show conclusive results.
Sub-MI	iii) FAO has demonstrated progress towards its stated priority of increasing market access for medium, small scale and pastoral producers in Kenya.	3.98	6%	
C3	Improve management of natural resources.	3.53	34%	Project assessed: Sustainable Livelihood Development in the Mau Forest Complex-Terminal Statement. The project appears to have been highly successful. It achieved its main objectives despite budget constraints that necessitated the scaling down or elimination of some project components. Key achievements include: Training and human resources development; livelihood testing and demonstration; and technical support, co-ordination and management. 12 participants were successfully certified as Farmer Field School master trainers, 24 Livelihood Farmer Field Schools (LFFS) were established, and the Kenya Forest Service Director approved the formation of a livelihood technical support unit within the Kenya Forest Service. FAO noted that its work on natural resources management is long-term and therefore it is expected that results will take some time to show.
Sub-MI	i) FAO has demonstrated progress towards its stated priority of improving management of privately owned natural resources in Kenya.	3.40	38%	
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of improving management of common natural resources in Kenya.	3.65	29%	
C4	Improve livelihood resilience of targeted, vulnerable populations.	4.30	1%	Projects assessed: a) Improved Community Drought Response and Resilience (ICDRR)-Interim Narrative Report; b) Improve Livelihoods in Targeted Drought Affected Communities in Kenya-Evaluation Report. The radio based training programme has been well received and it is estimated that more than 3 000 individuals have registered for the lessons. Key results include: Upscaling of radio-based training to more remote pastoral areas; 3 counties have developed by-laws to govern holistic natural resource management. The FAO is also supporting the ASAL Stakeholder Forum in its capacity as a community accountability and advocacy tool.

Indicators		Survey mean scores (Kenya)	% DK (Kenya)	
				The second project achieved its desired outcomes to a significant extent. During the nine month project implementation period, 1 912 participants in Farmers' Field and Life Schools, Junior Farmers' Field and Life Schools, and People Living with HIV/AIDS groups improved their land and water management practices and assets and/or enhanced and diversified their social and cultural livelihoods endowments. These benefits were extended to 9 560 household members of project participants. 128 government and NGO staff were trained on information gathering and management for early warning systems. The project has increased resilience to drought, but it is unknown whether its achievements will be sustained after project completion. Generally, work done under output 2, "resilience of vulnerable communities increased," was very successful.
D	Evidence of FAO's contribution to national goals and priorities, including the Millennium Development Goals			
D1	The MO contributes to development results that support the achievement of national priorities.	4.36	1%	Lack of documentary evidence of the extent to which FAO's projects have contributed to broader impact beyond the immediate project beneficiaries (e.g. whether or not pilot or demonstration projects have been brought to scale)
D2	The MO is making effective contributions to relevant MDGs.	4.22	1%	No current reporting mechanisms allow for an assessment of FAO's contributions to development outcomes at the country level (i.e. aggregated results of the entire country programme) or the achievement of MDG1.
D3	The MO programming has resulted in positive benefits for Kenya.	4.34	1%	Limited documentary evidence of the extent to which FAO's policy and legislative advice has resulted in actual changes at the policy level

4.7 Tanzania

4.7.1 Country context and FAO strategy

Approximately 70% of Tanzania's rapidly growing population of almost 50 million people live in rural areas. The country's economy largely depends on agriculture, which provides around 85% of Tanzania's exports and employs approximately 80% of the work force. Overall, the agricultural sector accounts for more than one-quarter of Tanzania's GDP (CIA, 2014 [03]). Some of the key contextual factors influencing FAO's programme in Tanzania include (UN, 2011 [01]):

- Low rural sector productivity arising mainly from inadequate infrastructure investment, access to farm-inputs, extension services and credit, application of modern technology, trade and marketing support plus heavy dependency on rain-fed agriculture and unsustainable use of natural resources
- High rates of malnutrition and chronic hunger among children in rural areas. Nationally, the percentage of underweight children (under 5) hardly dropped from 22 percent in 2004/5 to 21 percent in 2010.
- Inadequate environmental management and climate change adaptation strategies amongst rural producers and weak safety nets for mitigation of such reoccurring livelihood shocks
- Unsustainable harvesting of natural resources, water source encroachment, and unchecked cultivation coupled with effects of the global climate change
- High and growing demand for fresh water, food, natural products, land for cropping and grazing, shelter, wood and charcoal for household energy which stretches resources utilisation and management.

During the period under review (2011-2014) FAO Tanzania did not have its own country strategy, but operated within the UNDAF 2011-2015 Framework.^{xv} While the UNDAF does not focus on agricultural development per se, it has a strong focus on income poverty reduction and perceives agriculture to be one of the key drivers for economic growth. FAO is leading the UNDAF Programme Working Group for Economic Growth and is developing a new Country Programming Framework (CPF) which is expected to be finalised in 2014. According to interviews, the new CPF will be fully aligned with the strategic priorities outlined in the UNDAF and integrated into the joint UN monitoring mechanism for Tanzania.

FAO focussed on three main priority areas during the 2011-2014 period (the upcoming CPF continues to focus on these areas):

- Enhance use of forest assessments and natural resources management
- Introduce good agricultural practices and support farming as a business approach
- Enhanced control of plant and animal diseases and production of disease-free planting material
- Support agricultural sector development planning
- Support national planning processes through DP (development partners) co-ordinating mechanisms
- Support fisheries development.

4.7.2 Summary of evidence of FAO relevance and results in Tanzania

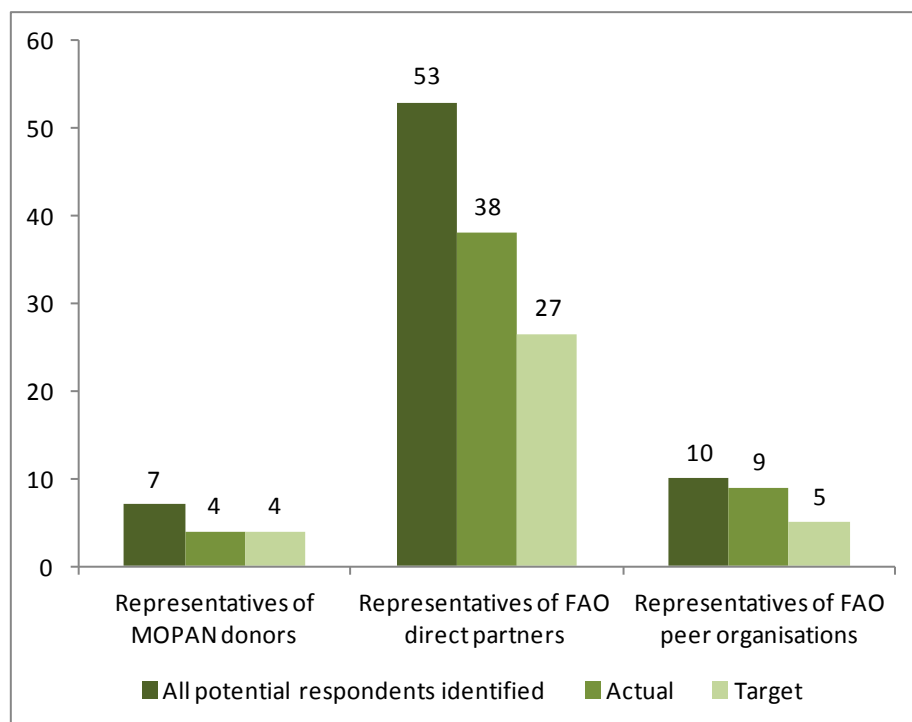
The table below provides examples of strengths and challenges of FAO's programme in Tanzania based on evidence from document review, survey analysis and interviews. The document review is mainly based on project level reporting including FAO's Annual Report for Tanzania (FAO, 2014 [18]), internal project progress reports, terminal project statement reports, and final evaluation reports. The 2013 Annual Report comments on some of the main outcomes achieved during the previous 4-5 years, but uses anecdotal evidence from specific projects which does not allow for broader generalisations regarding the effectiveness of FAO's programming in the country.

Key Performance Indicator	Evidence of relevance and results	FAO planning and reporting
KPI A: FAO's relevance	None of the reports sampled for the document review directly comment on the relevance of FAO's operations and strategies in Tanzania.	+ The new CPF seems to be in line with government priorities, notably the Big Results Now (BRN) process which was initiated by the Government of Tanzania in 2013 to speed up the development in various sectors including agriculture, education, energy, transportation, resource mobilisation, and water.
KPI C: Progress towards stated country-level results	+ Overall survey ratings of adequate or above on all indicators. Particularly strong ratings on FAO's contributions to agricultural sector development planning (MI C4) and its support to national planning processes through DP (development partners) co-ordinating mechanisms (MI C5)	- Due to FAO's participation in the One UN programming approach in Tanzania, it did not have a strategic framework for Tanzania during the period reviewed. This made it difficult to apply the current MOPAN methodology to assess the extent to which FAO contributed to development results in the country.
	+ Successful implementation of projects focussing on Farming as a Business and Agri-food Value Chain Development approach (MI B2). Capacity development of advisory service providers and farmers in farm business management and marketing, as well as agro business entrepreneurs in business management skills. According to interviews, major successes have been achieved in changing the mind-set among high-level government officials and politicians, which is reflected in new policies and strategic thinking.	
	+ Successful completion of the Tanzania component of the Regional Cassava Initiative, teaching farmers to produce disease free cassava planting material using the Farmer Field School approach (MI B3). FAO's assistance has for example contributed to doubling the cultivated area in the targeted communities and maintaining high productivity levels (Akoroda, 2012).	- Limited capacity to capture and demonstrate results beyond activities and outputs
	+ Successful implementation of the National Forestry Management and Assessment programme (NAFORMA) – sub-regional project (MI B1). This project focussed on assessing Tanzania's forest resources through the development of maps and GIS information to prepare the country for the REDD project.	
	+ Strong contributions to restoring water flows in dried up streams and protecting water catchment areas in the Kagera District (Transboundary Agro-Ecosystem Management Programme for the Kagera River Basin - Mid-Term Evaluation-Final Report, 2013). FAO used a community management approach and planted indigenous water logging trees, while improving livestock grazing in valley bottoms.	
	+ Successful application of farmer field school approaches	
KPI D: Contributions to national priorities and MDGs	+ A clear majority of survey respondents (78%) provided ratings of adequate or above when asked about FAO's contributions to national priorities and MDGs.	+ The 2013 FAOR report for Tanzania is noted for commenting on Tanzania's progress toward the MDGs.
	+ FAO's projects clearly address development issues of high national priority which is demonstrated in the upcoming CPF.	- No current reporting mechanisms that allow for an assessment of FAO's contributions to development outcomes at the country level (i.e. aggregated results of the entire country programme).

Key Performance Indicator	Evidence of relevance and results	FAO planning and reporting
+	Though there is limited documentary evidence of the extent to which FAO's policy and legislative advice have resulted in actual changes at the policy level, data collected through interviews suggest that FAO's policy work has had positive impact on the integration of food security concerns into national legislation, including the attention given to employment and decent work in agriculture in Tanzania's 2013 National Agriculture Policy, the preparation of the National Forest Plan for sustainable management of forest resources, and the National Food Security Act of Zanzibar prepared with support from FAO's Right to Food Programme.	- Lack of documentary evidence of the extent to which FAO's projects have contributed to broader impact beyond the immediate project beneficiaries (including the extent to which pilot or demonstration projects have been brought to scale).

4.7.3 Profile of survey respondent groups in Tanzania

Number of respondents



Note: The “potential respondents” refer to all those who were invited to complete the survey. The “actual” respondents refer to those individuals who completed the survey and the “target” refers to the target number of responses set by MOPAN (i.e. 50% of the potential respondents).

4.7.4 FAO's organisational effectiveness in Tanzania



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, see the Methodology in Volume II, Appendix I.
 “–” indicates that the question was not asked among a particular respondent group.
 % DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Survey results (mean scores) in Tanzania and don’t know responses

Indicators		Survey mean scores (Tanzania)	% DK (Tanzania)
Performance area I: Strategic management			
KPI 1	The Multilateral Organisation (MO) provides direction for the achievement of development results.	4.33	
1.1	The MO has a value system that supports a results-orientation.	3.98	16%
1.3	The MO ensures application of an organisation-wide policy on results management.	4.67	5%
KPI 4	The MO maintains focus on the cross-cutting thematic priorities identified in its strategic framework, and/or considered important by MOPAN.	4.49	
4.1	Gender equality	4.63	21%
4.2	Environmental policy and environmental assessment practices	4.38	22%
4.3	Good governance	4.32	21%
4.4	Human rights-based approaches	4.63	12%
KPI 5	The MO's country strategies are results-focused.	5.03	
5.3	Country strategies are developed through consultation with direct partners.	5.03	5%
Performance area II: Operational management			
KPI 6	The MO's development co-operation funding is transparent and predictable.	4.62	
6.1	The MO's criteria for allocating resources are transparent.	4.72	21%
Sub-MI	i) FAO makes readily available its criteria for allocating resources.	4.65	18%
Sub-MI	ii) FAO allocates resources according to the criteria mentioned above.	4.79	24%
6.2	The MO predicts its development co-operation funding.	4.52	24%

Indicators		Survey mean scores (Tanzania)	% DK (Tanzania)
Sub-MI	i) FAO is adopting measures to make its funding more predictable.	--	--
Sub-MI	ii) FAO provides its funding to countries and other partners according to schedule.	4.52	24%
KPI 8	The MO has policies and processes for financial accountability (audit, risk management, anti-corruption).	4.91	
8.5	Processes are in place to quickly follow up on any irregularities identified at the country (or other) level.	5.00	75%
8.6	The MO's procurement procedures provide effective control on purchases of goods and services.	4.83	23%
KPI 9	The MO demonstrates the use of performance information for decision-making.	4.62	
9.2	Performance information is used by the MO for planning new interventions at the country level.	4.76	15%
9.3	Poorly performing programmes, projects and/or initiatives are addressed proactively so as to improve performance.	4.49	23%
Sub-MI	i) FAO regularly identifies poorly performing programmes and projects.	4.53	23%
Sub-MI	ii) FAO proactively addresses performance issues identified in poorly performing programmes and projects.	4.45	22%
KPI 12	The MO delegates decision-making authority and staff accordingly (to the country or other levels).	3.94	
12.1	Staff deployment in country is adequate for the implementation of the MO's mandate.	3.57	16%
12.2	Aid reallocation decisions can be made locally.	3.88	45%
12.3	New programmes/projects can be approved locally within a budget cap.	4.36	42%
KPI 13	The MO has the necessary practices and systems to work in emergencies.	4.61	
13.1	The MO has capacity for emergency preparedness.	4.61	28%
Performance area III: Relationship management			
KPI 14	The MO co-ordinates and directs its development co-operation at the country level in support of agreed national plans or partner plans.	4.87	
14.1	Extent to which MO-supported funding proposals have been fully designed and developed with the national government or direct partners, rather than conceptualised or initiated by MO itself.	4.49	39%
14.2	Statements of expected results are consistent with those in national development strategies and UNDAF, as appropriate.	5.24	16%
KPI 15	The MO's procedures take into account local conditions and capacities.	4.21	
15.1	The procedures of the MO can be easily understood and completed by partners.	4.42	28%
15.2	The length of time for completing MO procedures does not have a negative effect on implementation.	3.89	41%
15.3	The MO has the operational agility to respond quickly to changing circumstances on the ground.	4.17	27%
15.4	The MO has operational flexibility to adjust its implementation of projects/programmes as learning occurs.	4.37	21%
KPI 16	The MO uses country systems for disbursement and operations.	4.57	

Indicators		Survey mean scores (Tanzania)	% DK (Tanzania)
16.1	The MO uses country systems (both financial and non-financial), where appropriate.	4.68	18%
16.2	The MO participates in mutual assessments of progress in implementing agreed commitments with national partners.	4.47	16%
KPI 17	The MO adds value to policy dialogue with its partners.	4.85	
17.1	The MO has reputation among its stakeholders for high quality, valued policy dialogue inputs.	4.76	5%
17.2	The MO's policy dialogue is undertaken in a manner which respects partner views and perspectives.	4.94	7%
KPI 18	The MO harmonises arrangements and procedures with other programming partners (donors, UN agencies, etc.) as appropriate.	4.68	
18.1	The MO co-ordinates planning, programming, monitoring and reporting with other partners.	4.63	6%
18.2	The MO builds on the initiative of others to avoid duplication.	4.46	19%
18.3	The MO's work reflects its comparative advantage.	4.95	8%
Performance area IV: Knowledge management			
KPI 20	The MO consistently evaluates its results.	4.64	
20.5	Direct beneficiaries and stakeholder groups are involved in evaluation processes.	4.64	17%
Sub-MI	i) FAO involves key partners in evaluations of its projects or programmes.	4.66	15%
Sub-MI	ii) FAO involves key beneficiaries in evaluations of its projects or programmes	4.63	19%
KPI 22	The MO encourages the identification and documentation of lessons learned and/or best practices.	4.52	
22.3	The MO facilitates the exchange of knowledge in the area of agriculture and food and nutrition security.	4.52	8%

4.7.5 FAO's relevance and development results in Tanzania



Mean score: calculation of mean scores includes the application of weighting factors to the respondent sample as follows:

- a) equal weight is given to the views of each of the respondent groups
 - b) equal weight is given to each of the countries where the survey took place
 - c) equal weight is given to respondent groups within each country where the survey took place
- However, the base is un-weighted. For a description of weighting, see the Methodology in Volume II, Appendix I.

Total – includes all respondents. “--” indicates that the question was not asked among a particular respondent group.

% DK = percentage of respondents who indicated “don’t know” to the question (weighted data)

Summary of survey results (mean scores) in Tanzania

Indicators		Survey mean scores (Tanzania)	% DK (Tanzania)	
A	Evidence of FAO's relevance			
A1	The MO is pursuing results in areas within its mandate.	4.56	13%	N/A
A2	The MO's results are in line with global trends and priorities in the development/humanitarian field.	4.52	14%	N/A
A3	The MO's results respond to the needs/priorities of its target group (beneficiaries).	4.43	12%	N/A
A4	The MO adapts its work to the changing needs and priorities of the country.	4.23	4%	N/A
C	Evidence of FAO's progress towards its stated country-level results			
C1	Enhance use of forest assessments and natural resources management.	4.01	31%	Projects assessed: a) National Forest Monitoring and Assessment of Tanzania (NAFORMA)-Mid-Term Evaluation Report; b)Transboundary Agro-Ecosystem Management Programme for the Kagera River Basin-Mid-Term Evaluation-Final Report Most of the activities at the time of the mid-term evaluation of NAFORMA were related to capacity building, but no information on outcomes. All components of the project were in place,
Sub-MI	i) FAO has demonstrated progress towards its stated priority of enhancing the use of forest assessments in Tanzania.	4.02	28%	

Indicators		Survey mean scores (Tanzania)	% DK (Tanzania)	
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of enhancing natural resources management in Tanzania.	4.00	33%	individuals trained, equipment procured, etc. Information needs were identified by the project's stakeholders, staff was trained, and fieldwork in the Eastern Zone has been completed. Field work in the Southern zone has been partially completed. The Transboundary Agro-Ecosystem Management Programme seems to have made significant accomplishments although actual results are lagging far behind the target results outlined in the project document: Transboundary communication is lacking and project achievements must be scaled up and mainstreamed in national policies, strategies and programmes, and in regional and local planning processes. The following transboundary studies have been completed: Transboundary Policy/Legal Issues, Transboundary Livestock Issues, and Land and Natural Resource Conflicts; land use system maps have been prepared for each participating country; an innovative farmer field school model has proven effective; in Tanzania, 10 communities are taking part in programme activities, 29 farmer field schools have been established; 2 210 ha are under sustainable land management, and 57 500 trees have been planted.
C2	Introduce good agricultural practices and support farming as a business approach.	4.18	17%	Projects assessed: a) Food Systems Development in Tanzania-Terminal Report; b) Advisory Service Capacity Development in Support of Food Security in the United Republic of Tanzania-Terminal Report.
Sub-MI	i) FAO has demonstrated progress towards its stated priority of introducing good agricultural practices in Tanzania.	4.27	17%	The Food Systems project was successful at initiating the development of structured trading systems and supporting the agricultural sector's transition from subsistence to business oriented farming, but this process is still in its infancy and mostly activities were reported. Key activities include: 20 entrepreneurs and 20 producer groups received technical support on contracting, warehouse receipts, value chain finance, and/or product branding; the project has promoted the concept of a sub-sector strategic development process; the project initiated the development of sub-sector partnerships.
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of supporting farming as a business approach in Tanzania.	4.10	18%	The Advisory Service Capacity Development project was successful at implementing training activities for actors throughout the agricultural industry. However, the project's impact is unknown and depends on the extent to which these actors put their knowledge of Farming as a Business and Agri-food Value Chain Development to use in small business development, policy creation and implementation, service provision, etc.
C3	Enhanced control of plant and animal diseases and production of disease-free planting material.	3.95	30%	Projects assessed: a) Regional Cassava Initiative in support of vulnerable smallholders in Central and Eastern Africa-Mid-Term Review Summary Report and Country Report; b) Technical Co-operation Project on Emergency Assistance for Early Detection and Control of Peste des Petits Ruminants (PPR)-Final Technical Report.
Sub-MI	i) FAO has demonstrated progress towards its stated priority of enhancing control of plant and animal diseases in Tanzania.	4.04	22%	Tanzania is well advanced in implementing Regional Cassava Initiative activities and has met two of three targets in the area of enhancing preventive capacity and interventions. However,

Indicators		Survey mean scores (Tanzania)	% DK (Tanzania)	
Sub-MI	ii) FAO has demonstrated progress towards its stated priority of enhancing production of disease-free planting material in Tanzania.	3.85	38%	limited information about outcome level results. It has partially achieved targets in result area A, "Improved cassava varieties are widely available to vulnerable subsistence farmers" and result area C, "Movement of cassava vegetative material is better regulated through operational cassava commissions." Key outputs include: 7.8 million cuttings distributed; 33 Farmer Field School (FFS) groups established by the end of 2011; 48 field focal points trained in early detection and 21 received advanced training; 33 Farmer Field School groups trained in disease recognition; National Cassava Steering Committee established The Technical Co-operation Project has delivered significant results: 1.3 million sheep and goats vaccinated; National Peste des Petits Ruminants (PPR) Progressive Control and Eradication Strategy and National PPR Control Plan formulated; 8 laboratory technicians trained in the cELISA technique for PPR diagnosis; study to determine the socio-economic impact of PPR outbreaks conducted. However, PPR is still progressing, threatening other areas within Tanzania and border countries. The control and eventual eradication of the disease will require further efforts at the national and regional levels.
C4	Support agricultural sector development planning.	4.80	14%	Project assessed: Global Strategy to Improve Agricultural and Rural Statistics, joint FAO-USDA mission to the United Republic of Tanzania-Aide- Memoire. No data on project results. The Aide-Memoire presents a proposal for future work on improving Tanzania's agricultural statistics system. The only outputs discussed are those related to the investigative activities undertaken by the joint FAO-USDA mission. While in Tanzania, the mission conducted an in-depth assessment of the capacity of key statistical units at NBS and line ministries; assessed the needs of key data users; performed a data gaps analysis; prepared a preliminary technical report on needs and gaps and proposed priorities for methodological support and capacity building; organised a stakeholder meeting; organised meetings with high level officials and resource partners; and prepared a funding proposal.
C5	Support national planning processes through DP (development partners) co-ordinating mechanisms.	4.81	13%	No data on results available for document review.
C6	Support fisheries development.	3.89	38%	No data on results available for document review.
D	Evidence of FAO's contribution to national goals and priorities, including the Millennium Development Goals			
D1	The MO contributes to development results that support the achievement of national priorities.	4.32	4%	Lack of documentary evidence of the extent to which FAO's projects have contributed to broader impact beyond the immediate project beneficiaries (including the extent to which pilot or demonstration projects have been brought to scale)
D2	The MO is making effective contributions to relevant MDGs.	4.30	12%	The 2013 FAOR report for Tanzania does comment on Tanzania's progress towards the MDGs but does not describe FAO's contributions to this MDG area.
D3	The MO programming has resulted in positive benefits for Tanzania.	4.32	12%	Limited documentary evidence available.

5. Endnotes

ⁱThis criterion is considered ‘partially met’ if the organisation has a theory of change, and ‘met’ if the organisation reports according to its theory of change. ‘Theory of change’ is understood in the sense

ⁱⁱ This refers to the existence of reports on outputs as defined by the OECD (i.e. lower level results). Some MOs use different terminology for the various levels of results.

ⁱⁱⁱ This refers to the existence of reports on outcomes as defined by the OECD (i.e. higher level results). Some MOs use different terminology for the various levels of results.

^{iv}Quality of data refers to accuracy and credibility of the data used for the report, particularly considering the extent to which data used to substantiate contributions to results was derived from or validated by an external and/or independent source.

^v According to Vogel, 2012, a theory of change should as a minimum encompass a discussion of the following elements:

- Context for the initiative, including social, political and environmental conditions and other actors able to influence change;
- Long-term change that the initiative seeks to support and for whose ultimate benefit;
- Process/sequence of change that is anticipated in order to create the conditions for the desired long-term outcome;
- Assumptions about how these changes might happen, as a check on whether the activities and outputs are appropriate for influencing change in the desired direction in this context;
- Diagram and narrative summary that captures the outcomes of the discussion.
- For more detail see “Review of the Use of Theory of Change in International Development”, Isabel Vogel, 2012

^{vi} This criterion is considered ‘partially met’ if the organisation has a theory of change, and ‘met’ if the organisation reports according to its theory of change.

^{vii} This refers to the existence of reports on outputs as defined by the OECD (i.e. lower level results).

^{viii} This refers to the existence of reports on outcomes as defined by the OECD (i.e. higher level results).

^{ix}Quality of data refers to accuracy and credibility of the data used for the report, particularly considering the extent to which data used to substantiate contributions to results was derived from or validated by an external and/or independent source.

^x For more detail see the Final Evaluation of the project “Protecting and Promoting Food Security and Nutrition for Families and Children in Bangladesh-Final Evaluation”, June 2013.

^{xi} The spending figures represent delivery against the 5 NMTPF outputs from 2011 to 2013, i.e. the amounts that were actually spent on each one of the outputs. However, the figures should be interpreted with caution as some projects that contribute to several outcomes, have only been associated with the outcome to which they contribute the most. For example, a project with a large component related to food security and a smaller component on disaster risk reduction would have been counted only under outcome 3 and not at all under outcome 5.

^{xii} Important national strategies and policies cited in the NMTPF include the Rectangular Strategy for Growth, Employment, Equity and Efficiency (RS) launched in 2004, the National Strategic Development Plan (NSDP) for the period 2006-2010, Phase II of the Rectangular Strategy (RS II) launched on 28 September 2008, and the extension of the current NSDP until 2013. Other relevant government strategies and plans are to be found in specific sectors, including the Strategy for Agriculture and Water – 2006-2010, the Strategic Framework on Food Security and Nutrition 2008-2012, the National Forestry Programme and the Law on Forestry, and the Law on Fisheries and corresponding fisheries sector policy.

^{xiii} CIA World Factbook: <https://www.cia.gov/library/publications/the-world-factbook/geos/cg.html>

^{xiv} An Agriculture Production Unit is an area of land used wholly or partly for agricultural production. It has a surface area greater than or equal to 500m².

^{xv} The United Nations Development Assistance Plan (UNDAP) is based on experiences from previous UNDAF and Delivering as One experiences. Tanzania was the first country to develop a UNDAP.