

联合国 粮食及 农业组织

Food and Agriculture Organization of the United Nations Organisation des Nations Unies pour l'alimentation et l'agriculture Продовольственная и сельскохозяйственная организация Объединенных Наций Organización de las Naciones Unidas para la Alimentación y la Agricultura منظمة الأغذية والزراعة للأمم المتحدة

## JOINT MEETING

Joint Meeting of the Hundred and Twentieth Session of the Programme Committee and Hundred and Sixty-fourth Session of the Finance Committee

Rome, 7 November 2016

Roadmap for the independent assessment of technical capacity of the Organization

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## A. Introduction

- 1. The Council at its 153<sup>rd</sup> session in December 2015 "urged the FAO Secretariat to undertake an independent assessment of the technical capacity of the Organization, both at headquarters and in the decentralized offices, to be presented to the Conference in 2017". The Joint Meeting of the Programme and Finance Committees received an update on the process in May 2016. The Joint Meeting and the Council "noted the complexity of assessing the technical capacity of FAO, including in terms of definition, location and context of the Organization's mandate and objectives." <sup>1</sup>
- 2. As announced by the Director-General at the 154<sup>th</sup> session of the Council in June 2016, this document presents a roadmap for the independent assessment of technical capacity of the Organization being undertaken by the Secretariat, including the scope, methodology, type of indicators, and timeline.
- 3. The Committees are requested to take note of the roadmap.

#### **B.** Scope of the assessment

- 4. As requested by the Council, the independent assessment is being undertaken by the FAO Secretariat. The assessment will analyse the evolution of the technical capacity of the Organization during the 2012-2016 period, defined as "the Organization's capacity to mobilize the knowledge, skills, and expertise that are necessary to meet its strategic objectives and the needs and priorities of its Members."
- 5. The assessment takes into account the availability, quality and institutional and geographic location of staff and non-staff human resources provided through all sources of funding, and the products and services delivered, in the context in which the Organization operates: its mandate and strategic focus, core functions, structure and available resources.
- 6. The Secretariat has developed a methodology for the assessment, which has benefitted from the advice sought by the Director-General of a Panel of distinguished external experts.<sup>2</sup> Data and information have been gathered during July-October 2016. A team of three independent external experts has been engaged to prepare the analysis and interpret the results by the end of 2016.

#### C. Methodology

7. The methodology comprises the context in which FAO operates, the Organization's core functions and areas of work, the sources of information for the assessment, and the type indicators used to measure technical capacity.

#### Context

- 8. The assessment takes account of the trends faced by the Organization in terms of financial flows and priorities over time. These trends have influenced the performance of the Organization and the strategic allocation of resources.
- 9. From 2002 to 2016, FAO's approved regular budget (financed from assessed contributions) declined by 20% in real terms. It has remained at the same nominal level since 2012. This had an effect on human resources, with an overall decline of 15.7% in budgeted positions, from 3,492 to 2,945 positions, entirely due to abolition of 558 general service positions.
- 10. More specifically, from 2002 to 2011, the number of budgeted professional and above positions declined by 2.3% (34 positions) reaching a total of 1,434 positions, mitigated by a much steeper decline of 19.2% (389 positions) in general service positions during this period. Starting in 2012, action was taken by FAO management to reverse the decline in professional positions. From 2012 to 2016, the number of budgeted professional and above positions was increased by 3.1% (45 positions) achieving 1,479 positions in 2016, due in part to a further reduction of 10.3% (169) in

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<sup>&</sup>lt;sup>1</sup> CL 153/REP paragraph 7m, CL 154/4 paragraph 6, CL 154/REP paragraph 13

<sup>&</sup>lt;sup>2</sup> Strategy Experts Panel for Implementation: Alain de Janvry, Ismahane Elouafi, Shenggen Fan, Gustavo Gordillo, Marion Guillou, Mulu Ketsela, Martin Piñeiro

general service positions. In addition, within the professional category 63 administrative positions were converted to technical positions through administrative streamlining and efficiency measures.

- 11. Staff costs make up a significant and increasing portion of FAO's regular budget. In a period of declining budgets from 2002 to 2016, the proportion of staff costs in the FAO regular budget increased from 71% to 74%, thus reducing the operating resources available. This effect has been partially mitigated by the increase in voluntary contributions for the field programme, which increased from 49% of total resources available to the Organization in 2002-03 to 61% of total resources in the 2016-17 biennium.
- 12. During 2012-13, an internal process of prioritization was implemented. In June 2013, the FAO Conference approved the reviewed Strategic Framework, which was the outcome of a strategic thinking process started in 2012 to guide the review of the strategic direction of the Organization. The reviewed Strategic Framework refined FAO's Global Goals, defined a new set of five Strategic Objectives, a sixth Objective on technical quality and services, and four Functional Objectives providing the enabling environment, as set out in *Figure 1*. Concrete results are measured by targets and indicators set out in a four-year Medium Term Plan 2014-17. The new direction took account of emerging priority areas of work, such as nutrition, climate change, South-South Cooperation and partnerships, which required adjustments in the organizational structure and allocation of staff and resources.
- 13. In line with the established programme planning process, the quadrennial review of the Strategic Framework and preparation of a new Medium Term Plan 2018-21 is taking place during 2016-17.<sup>3</sup>

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<sup>&</sup>lt;sup>3</sup> CL 155/3 Reviewed Strategic Framework and Outline of Medium Term Plan 2018-21

## Figure 1: FAO Strategic Framework

#### FAO's vision

A world free from hunger and malnutrition where food and agriculture contributes to improving the living standards of all, especially the poorest, in an economically, socially and environmentally sustainable manner.

#### The three Global Goals of Members:

- eradication of hunger, food insecurity and malnutrition, progressively ensuring a world in which people at all times have sufficient safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life;
- elimination of poverty and the driving forward of economic and social progress for all, with increased food production, enhanced rural development and sustainable livelihoods; and
- sustainable management and utilization of natural resources, including land, water, air, climate and genetic resources for the benefit of present and future generations.

### **Strategic Objectives**

- 1) Contribute to the eradication of hunger, food insecurity and malnutrition
- 2) Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner
- 3) Reduce rural poverty
- 4) Enable more inclusive and efficient agricultural and food systems
- 5) Increase the resilience of livelihoods to threats and crises

## Additional objective

Technical quality, knowledge and services

#### **Cross-cutting themes**

- Gender
- Governance
- Nutrition
- Climate Change

## **Core Functions**

- 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) Assemble, analyse, monitor and improve access to data and information, in areas related to FAO's mandate
- 3) Facilitate, promote and support policy dialogue at global, regional and country levels
- 4) Advise and support capacity development at country and regional level to prepare, implement, monitor and evaluate evidence-based policies, investments and programmes
- 5) Advise and support activities that assemble, disseminate and improve the uptake of knowledge, technologies and good practices in the areas of FAO's mandate
- 6) Facilitate partnerships for food security and nutrition, agriculture and rural development, between governments, development partners, civil society and the private sector
- 7) Advocate and communicate at national, regional and global levels, in areas of FAO's mandate

## **Functional Objectives**

- Outreach
- Information Technology
- FAO Governance, oversight and direction
- Efficient and effective administration

#### Core functions and areas of work

- 14. FAO mobilizes the capacity (knowledge, skills and expertise) necessary to achieve results (meet its Strategic Objectives and the needs and priorities of its Members) through its agreed means of action. The Strategic Framework defines a set of *seven core functions* (*Figure 1*) as the critical means of action to achieve results: norms and standards, data and information, policy dialogue, capacity development, knowledge and technologies, partnerships, and advocacy and communications. These functions contribute to, and enable the technical work of the Organization.
- 15. The methodology considers three categories of functional capacity needed to achieve results, in terms of the human resources employed through budgeted and unbudgeted staff positions, consultancies and other personnel service arrangements.
- 16. Core technical capacity, which is included in the assessment, comprises all categories of human resources engaged to deliver high-quality products and services that contribute directly through the core functions to the Strategic Objectives and Objective 6. Core technical capacity is provided by all departments and divisions reporting to the Deputy Director-General (Natural Resources); the Economic and Social Development Department; the Technical Cooperation and Programme Management Department; all regional offices, subregional offices, country offices and liaison offices; the Development Law Service; and parts of the Office for Corporate Communication and the Partnerships, Advocacy and Capacity Development Division.
- 17. Enabling technical capacity, which is included in the assessment, comprises all categories of human resources engaged to delivery high-quality services that contribute indirectly through the core functions to the Strategic Objectives and Objective 6. Enabling technical capacity is provided by Apex units (Office of Strategy, Planning and Resources Management, Office of Evaluation, Office of the Inspector-General, and parts of the Office for Corporate Communication and the Legal and Ethics Office) and divisions reporting to the Deputy Director-General, Operations (Conference, Council and Protocol Affairs Division, Information Technology Division, Office of Support to Decentralized Offices, part of the Partnerships, Advocacy and Capacity Development Division).
- 18. *Administrative capacity*, which is not included in the assessment, comprises all employees in the general service category, and employees in the professional category providing corporate administrative, finance, human resources management and security services in the Corporate Services Department and Office of Human Resources.
- 19. A representation of these three categories of functional capacity is provided in *Annex 1: Organigramme 2016*.

## D. Type of indicators

20. Two types of indicators of technical capacity will be developed: human resources, and products and services.

#### Human resources

21. All employees will be classified by main area of work, employment type, and institutional and geographic location. Available quantitative and qualitative information will be used to develop a set of seven indicators of human resources technical capacity for use in the assessment.

Figure 2: Indicators of technical capacity – Human Resources

#### **Indicator**

Number of staff on budgeted and unbudgeted posts by type of funding (Regular and extrabudgetary)

Number of non-staff consultants, visiting experts, secondments, personal service agreements, by type of funding (regular and extrabudgetary)

Age range – staff and non-staff

Area of expertise of staff and non-staff, based on position title

Education – top degree –for staff recruits between 2012-2016 and for current staff

Experience - range of years of professional experience for staff

Geographic location of employees

#### **Products and Services**

22. The human and other resources of the Organization are used to deliver products and services related to the core functions contributing to the Strategic Objectives and Objective 6. A set of 19 indicators has been developed to measure the delivery of technical products and services, which contribute to the Outputs in the results framework as reported in the Programme Implementation Report 2014-15.<sup>4</sup>

Figure 3: Indicators of technical capacity – Products and Services (grouped by core function)

## **Standard-setting instruments**

- international agreements
- codes of conduct agreed
- voluntary guidelines agreed and promoted
- technical standards put in place

## Knowledge, data and information produced

- corporate publications issued
- statistical systems created and maintained
- core knowledge management systems

## Policy dialogue and capacity development at global, regional and country levels

- Technical missions conducted;
- Technical Workshops/Conferences/Symposium organized
- External technical networks/platforms supported

## Knowledge, technologies and good practices

- Analytical reports prepared and disseminated

#### **Partnerships**

- Number of agreements (e.g. LOA, MoUs etc.) signed with a work plan (including Project Agreement; Memorandum of Understanding; General Agreement and Other Cooperative Agreement (incl. Letters of Agreement)
- Number of professionals seconded to the Organization
- Number of training activities and participants involved

## **South-South Cooperation:**

- Number of beneficiaries countries of SSC
- Number of agreements signed with a work plan
- Number of professional staff seconded from the donor and that could be considered as supplementing FAO's technical capacity
- Number of staff that received training as part of the SSC agreements

#### Advocate and communicate at national, regional and global levels

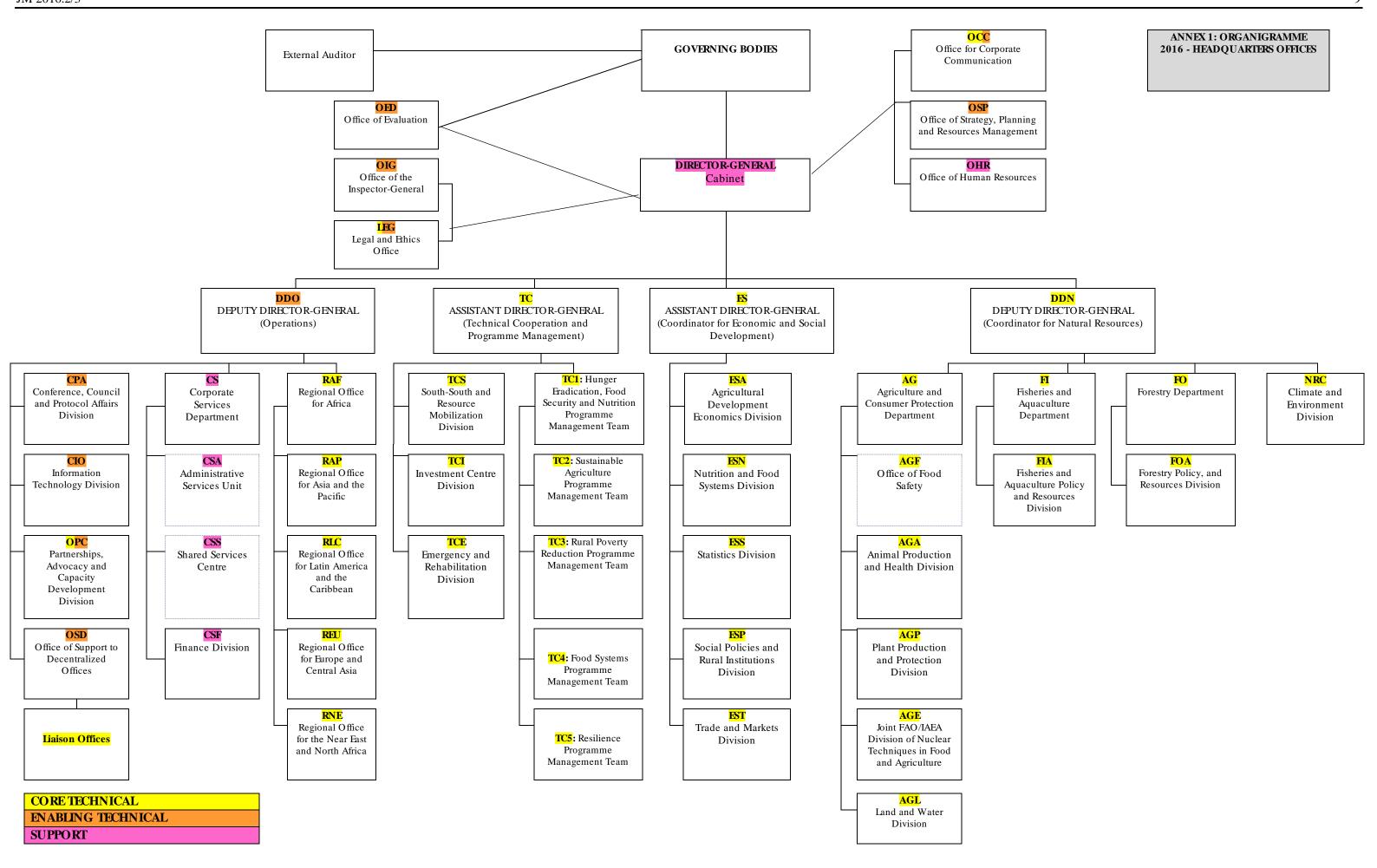
- Communication products

<sup>&</sup>lt;sup>4</sup> C 2017-8

## E. Timeline

23. The assessment is being carried out by the Secretariat according to the following timeline. The first four milestones have been completed, the fifth milestone is underway and this document represents the sixth milestone.

Time Period	Milestone
July-August 2016	Preparation of methodology
September 2016	2. Consultation with Strategy Experts Panel on methodology
September 2016	3. Selection and hiring of independent consultants
August-October 2016	4. Collection of data and information
October-December 2016	5. Analysis of information by independent consultants
November 2016	6. Presentation of roadmap to Joint Meeting of Programme and Finance Committees
January-February 2017	7. Informal briefing by Secretariat for Members
March 2017	8. Presentation of assessment to Joint Meeting of Programme and Finance Committees
April 2017	9. Presentation of assessment to Council
June 2017	10. Presentation of assessment to the Conference



# ANNEX 1: ORGANIGRAMME 2016 - DECENTRALIZED STRUCTURE

