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An Independent Assessment of FAO's Technical Capacity

AN INDEPENDENT ASSESSMENT OF FAO'S TECHNICAL CAPACITY

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List of Acronyms

BMZ	Germany's Federal Ministry for Economic Cooperation and Development
CPF	Country Programming Framework
D	Director
DFID	Department for International Development (UK)
DMs	Delivery Managers
DO	Decentralized Office
FAORs	FAO Representatives
FTE	Full-time equivalent
GF	General Fund
GS	General Service
HQ	Headquarters
HR	Human Resources
IFAD	International Fund for Agricultural Development
MOPAN	Multilateral Organization Performance Assessment Network
MTR	Mid Term Review Synthesis Report
N	National Professional Officer
NPP	National Project Personnel
NSHR	Non-Staff Human Resources
P	Professional
P+	Professional and Director-level
PIR	Programme Implementation Report
PSAs	Personal Service Agreements
PWB	Programme of Work and Budget
RBAs	Rome-Based Agencies
SDGs	Sustainable Development Goals
SO	Strategic Objective
SP	Strategic Programme
SPLs	Strategic Objective Programme Leaders
TC	Technical Cooperation
TCP	Technical Cooperation Programme
TF	Trust Fund
WFP	World Food Programme

Assessment of FAO's Technical Capacity

Executive Summary

The FAO Conference approved the Programme of Work and Budget (PWB) for the 2016-17 biennium in July 2015. The Council, at its session of November-December of the same year, endorsed adjustments to the 2016-17 PWB. In doing so, it urged the Secretariat to undertake an independent assessment of the technical capacity of the Organization. The Secretariat has subsequently commissioned this assessment by a team of independent experts. Its purpose is to address the question of how FAO's technical capacity has evolved between 2012 and 2016.

The methodology used for the assessment is rooted in the definition of technical capacity as FAO's "capacity to mobilize the knowledge, and expertise that are necessary to meet its strategic objectives and the needs and priorities of its Members." The assessment covers technical capacity at FAO Headquarters (HQ) and in decentralized offices (DOs), provided through all sources of funding, including consultants, national project personnel, and other technical non-staff human resources (NSHR). FAO classifies its staff into three categories of functional capacity: core technical capacity, enabling technical capacity, and administrative or support capacity. The methodology of this assessment considers the first two categories: core technical capacity and enabling technical capacity. In line with the definition of technical capacity, in addition to the human resources dimension, the assessment seeks to cover the delivery of FAO products, services, and outputs in support of its strategic objectives.

In 2012, FAO launched a process of "transformational change" consisting of reorientation of the strategic direction of the Organization, undertaking targeted institutional strengthening in an evolutionary fashion, and pursuing greater efficiency and value-for-money. Five new strategic objectives, and a sixth objective on technical quality, knowledge, and services, were approved by the Membership of FAO following a consultative Strategic Thinking Process. Iterative organizational changes aimed at enhancing delivery of the Organization's objectives were brought in during 2012-16; capacity for work in nutrition, food safety and standard-setting expertise was enhanced; and a matrix management set-up was introduced. The latter was consolidated following endorsement of the Council in 2015 of internal management arrangements aimed at strengthening programme delivery.

Recognizing the critical importance of technical capacity, the transformational changes were "proposed within the context of full preservation of the expertise and capacity at headquarters for technical work on norms, standards, and global public goods."[1] The broad range of FAO's normative work and its relation to programme delivery was outlined in November 2015 in an information note[2] to the Council. Efficiency gains and savings were pursued, centered around the principle of reducing administrative burden and increasing technical expertise within the PWB, to enable delivery of the normative work and related programme within the context of a flat nominal budget. Specific efficiency measures included an increase in the ratio of professional and director-level positions (P+) to general service (GS) positions, and a shift of positions from the administrative support and enabling technical categories to core technical positions.

In line with the Roadmap, the assessment's analysis of technical capacity is quantitative. It should be noted that data availability is uneven across different categories of staff and non-staff human resources.

[1] CL 144/3 Further Adjustments to the Programme of Work and Budget 2012-13, pp. 12
[2] CL 153/3, Information Note no. 3, *FAO's Normative work and its relation to programme delivery*, Nov 2015.

Similarly, consistent information is not available for the different products and services. Nevertheless, the available information is adequate to assess trends in technical capacity in both the HR and delivery dimensions.

Technical Capacity—Human Resource (HR) dimension. Overall, total posts funded by the General Fund (GF) declined by 2.2 percent between 2012 and 2016 resulting from the need to absorb increases in staff costs in the context of a flat nominal budget. However, within this overall reduction, FAO has managed a strategic shift toward technical capacity in line with the principle of reduced administrative burden. Posts in the aggregated category of Director (D), Professional (P) and National Professional Officer (N) increased slightly, by 0.4 percent. Importantly, within D and P posts, core technical capacity has increased by 158 posts or 18.5 percent (see Table 1).

Table 1: Shifts in GF-funded Staff (posts)

Grade/Category	2012			2016			Change 2012-2016 (Percent)
	PWB	**Non-PWB**	**Total**	**PWB**	**Non-PWB**	**Total**	**Total**
D	136	8	144	125	9	134	-10 (-6.9%)
P	1134	143	1277	1147	125	1272	-5 (-0.4%)
D+P Subtotal	*1270*	*151*	*1421*	*1272*	*134*	*1406*	*-15 (-1.1%)*
N[3]	186	0	186	207	0	207	21 (11.3%)
D+P+N Subtotal	***1456***	***151***	***1607***	***1479***	***134***	***1613***	***6 (0.4%)***
GS	1661	142	1803	1466	255	1721	-82 (-4.5%)
Total	***3117***	***293***	***3410***	***2945***	***389***	***3334***	***-76 (-2.2%)***
Of D+P:							
Core Technical	**810**	**43**	**853**	**934**	**77**	**1011**	**158 (18.5%)**
Enabling Technical	304	54	358	208	27	235	-123 (-34.4%)
Total Technical	***1114***	***97***	***1211***	***1142***	*104*	***1246***	***35 (2.9%)***
Administrative Support	155	54	209	129	30	159	-50 (-23.9%)

In line with the intent of the Reviewed Strategic Framework, PWB 2014-15, and PWB 2016-17, there has also been a shift in technical posts funded by the budget (GF) across different technical areas and enabling functions. Within technical areas, the biggest gains were in Technical Cooperation, Technical Management, Information & Knowledge Management, and Economics, with gains of 35, 26, 21, and 21, respectively. Next were Environment & Natural Resources (16), Nutrition & Food Safety (11), and Fisheries (10). The number of posts in Land & Water Management, Livestock, and Land Tenure declined by total of 4.

These changes in posts, however, cover only a part of the GF-funded technical resources engaged in FAO activities. As shown in Table 2, technical NSHR posts, including GF-funded consultants, holders of personal service agreements (PSAs), and UN pensioners added up to the equivalent of 706 FTEs[4] in 2014 and have increased to 939 FTEs in 2016. Overall, the NSHR category shows a substantial increase of 33

[3] All N-level staff are PWB, so there is no change when Non-PWB GF figures are added.
[4] Full-time equivalents (FTEs) are calculated by treating 220 person-days as 1 staff-year.

percent. The increase is accounted for by the engagement of consultants for technical work, which grew by 55.7 percent.[5]

Table 2: Growth in GF-funded NSHR (FTEs)

Category	2014	2016	Change 2014-2016 (percent)
Total Technical Staff	1211	1246	35 (2.9%)
Consultants	**465**	**724**	**259 (55.7%)**
Holders of PSAs	201	181	-20 (-10.0%)
UN Pensioners	40	34	-6 (-15.0%)
NSHR Subtotal	***706***	***939***	***233 (33.0%)***
Total Technical HR	***1917***	***2185***	***268 (14.0%)***

Trust Fund (TF) resources provide for a further supplement to FAO's technical capacity in response to donor priorities and particularly for projects in member countries. The total technical capacity, taking these into account shows an increase of 8.2 percent between 2014 and 2016. (See Table 3)

Table 3: Overall growth in technical posts (GF- & TF-funded)

Category	2014	2016	Change 2014-2016 (percent)
Headquarters			
Staff	1056	1070	14 (1.3%)
NSHR	766	996	230 (30.0%)
Subtotal	*1822*	*2066*	*244 (13.4%)*
Decentralized Offices			
Staff	632	703	71 (11.2%)
NSHR	3141	3283	142 (4.5%)
Subtotal	*3773*	*3986*	*213 (5.6%)*
Total	***5595***	***6052***	***457 (8.2%)***

As shown in Table 3, overall GF- and TF-funded technical staff capacity has increased at HQ and at DOs. NSHR capacity has increased significantly by 230 (30 percent) at HQ compared to a more moderate increase of 142 (4.5 percent) in DOs.

Technical Capacity—Delivery dimension. The assessment also looked at FAO's normative work and related programme delivery.[6] While there are no clear trends, data shows that FAO has broadly improved its delivery of the key products and services that drive its normative work between 2012 and 2016. For example, FAO doubled its delivery of standard-setting instruments like international agreements and codes of conduct. Technical workshops organized by FAO increased 55 percent, and the number of South-South cooperation beneficiary countries by 73 percent.

[5] Systematic tracking of technical NSHR posts (including consultants, PSA holders, and NPPs) did not begin until 2014, and hence the tracking of changes between 2014 and 2016 rather than using the 2012-2016 period.

[6] FAO's normative work and its relation to programme delivery was outlined in November 2015 in an information note to the Council, CL 153/3, Information Note no. 3.

FAO also made moderate progress in meeting the output targets set in support of its Strategic Objectives. FAO met or exceeded 86 percent of its output targets in 2016 (Table 4), an improvement from 2014, when only 82 percent of targets were met. Significantly, this improvement occurred under a more rigorous standard for "objective met/exceeded" in 2016 (100% of target) than in 2014 (75% of target). In addition, with respect to the sixth cross-cutting objective related to technical quality, knowledge, and services, FAO met or exceeded all targets.

Table 4: Delivery of Strategic Objectives 2016

Strategic Objective	**Outputs Exceeded/met, 2016**
SO 1: Eradication of hunger, food insecurity and malnutrition	88%
SO 2: Increase sustainable agriculture, forestry, and fisheries	69%
SO 3: Reduce rural poverty	80%
SO 4: Inclusive & efficient agricultural & food systems	100%
SO 5: Resilience to threats and crises	100%
Total	***86%***

The assessment also considered two other aspects related to delivery. First, in the area of publications, the 2015 evaluation report[7] indicates positive results with respect to FAO's contribution to global and country knowledge on food and agriculture. FAO publications, especially the "State of the World" flagships (Agriculture, Fisheries and Aquaculture, Forestry, Commodities), are widely read. Three-quarters of the users surveyed by the evaluation indicated that they would not have been able to achieve the same results without FAO publications. The report did, however, suggest that there is room for better identification and inclusion of users' needs in the process of developing publications.

Second, the assessment considered several reviews of FAO which cover the 2012-2016 period. The Multilateral Organization Performance Assessment Network (MOPAN) assessed FAO in 2011 and again in 2014, and noted an improvement in virtually every performance indicator. In four important areas linked to delivery – corporate strategy based on a clear mandate, country focus on results, supporting national plans, and contributing to policy dialogue – the rating was raised from 'inadequate or below' to 'strong or above.' MOPAN 2014 did cite two areas of continued concern – Results-based budgeting and management of human resources. The Germany's Federal Ministry for Economic Cooperation and Development (BMZ) also completed a review of FAO in 2015 as part of its overall review of development aid. The BMZ based its findings on the MOPAN reports, among others, and found that FAO's new organizational structure created "clear lines of accountability for monitoring and reporting" and that FAO "has made significant efforts to break the silo culture that had previously resulted in some duplication of effort and poor knowledge sharing." The UK Department for International Development (DFID) 2016 Multilateral Development Review (MDR) reiterated the findings of MOPAN, and noted that FAO has turned its performance around. The MDR credited the organization's leadership, modernized management structure, and efficiency savings for the positive outcome. The MDR rated FAO as "good", on a four-step scale of weak, adequate, good, or very good.

Looking ahead. FAO's Medium-term Plan for 2018-21 places emphasis on continuity in strategic direction and alignment between its Strategic Objectives and the Sustainable Development Goals (SDGs),

[7] "Evaluation of FAO's contribution to Knowledge on Food and Agriculture," *Thematic Evaluation Series*, FAO Office of Evaluation, September 2015.

with a planned contribution to 15 of the 17 SDGs. The Plan seeks to strengthen programme delivery on several fronts: enhancing the recently-introduced internal management arrangements for leadership of the Strategic Programmes; upgrading the monitoring system for programme delivery and results; and rationalizing and streamlining the organizational capacity at headquarters to ensure optimal use of the Organization's expertise while retaining the integrity of the overall technical capacity at headquarters.

The institutional strengthening achieved through implementation of the matrix presents the challenge of continuing to simultaneously strengthen both programme delivery capacity and technical capacity, and will require continued attention.

Data challenges encountered in this assessment point to several opportunities for improved monitoring. With respect to the HR dimension of capacity, it is important that FAO develop an integrated perspective of all human resources deployed to deliver its programmes, with much greater attention to the large complement of non-staff human resources. Further, FAO should consider institutionalizing internally the assessment of technical capacity through regular strategic workforce planning exercises linked to the Biennial Programme of Work. This should include specific attention to the appropriate balance between staff on posts and consultants (and other non-staff) to provide for the flexibility needed to meet specific specialized needs and changing priorities.

With respect to the delivery dimension, there is a need to more effectively monitor the full range of FAO outputs, products, and services at all levels – global, regional and country. In this regard, FAO may wish to consider a system of tracking the quality of its products and services in terms of their relevance, effectiveness and impact, and efficiency. This would add a qualitative dimension to the assessment of technical capacity. Effective management of programme delivery would also benefit from the ability to plan, allocate, and monitor the use of human and operational resources to specific programmes. In that context, FAO should consider the introduction of a system to track the time spent by staff and non-staff on different programmes and other activities. Such a time recording system would also help with results-based budgeting. Experience at other organizations has shown that despite some initial cost and possible staff resistance to the introduction of such a system, the potential benefits far outweigh these initial teething difficulties.

On the efficiency front, FAO may want to revisit the matter of sharing administrative services and decentralized offices with IFAD and WFP, with the objective of both reducing costs and improving efficiency. Finally, given the preeminence of FAO as the repository of technical capacity, a model of services being shared across the Rome-based agencies (RBAs) could bring substantial synergies and efficiency gains, with FAO taking the lead on technical expertise, and the other RBAs leveraging this expertise more systematically. In light of the likely continued pressures on contributions and the budget, this could be an important means of bolstering further the technical capacity at FAO.

Chapter 1: Introduction

The FAO Conference approved the Programme of Work and Budget (PWB) for the 2016-17 biennium in July 2015. The Council, at its session of November-December of the same year endorsed adjustments to the 2016-17 PWB. In doing so, it "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." The Secretariat has subsequently commissioned this assessment by a team of independent experts. Its purpose is to address the question of how FAO's technical capacity has evolved between 2012 and 2016. A Roadmap for the independent assessment, including the scope, methodology, type of indicators, and timeline, was discussed at the joint meeting of the Programme and Finance Committees in early November 2016[8] (see Annex 1).

The independent assessment looks at: the availability, quality, and institutional and geographic location of staff and non-staff human resources provided through all sources of funding; and the outputs, products, and services delivered, in the context in which the FAO operates – its mandate and strategic focus, core functions, structure, and available resources.

Technical capacity is 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." The methodology used for the assessment is rooted in this definition. Accordingly, it assesses both the human resources dimension of capacity as well the additional dimension of delivery of products and services that drive FAO's normative work.

In line with the Roadmap, the assessment treats these aspects of technical capacity through a quantitative lens, with particular focus on the change in staffing levels over the period, delivery against quantitative indicators of outputs, products and services delivered.

With respect to the human resources (HR) dimension, the assessment covers technical capacity at FAO Headquarters (HQ) and in decentralized offices (DOs), provided through all sources of funding and including non-staff human resources (NSHR) engaged in technical work.

The assessment divides FAO staff by grade-level into professional and director-level staff (P+) and general service (GS) staff. Apart from a brief overview at the beginning of the human resources chapter, the assessment team has focused only on P+ staff, dividing them into three categories of functional capacity: core technical capacity, enabling technical capacity, and administrative or support capacity. Core technical capacity 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. Enabling technical capacity, which is also included in the assessment, comprises all categories of human resources engaged to deliver high-quality services that contribute indirectly through the core functions to the Strategic Objectives and Objective 6. Administrative capacity, which is not included in the assessment, comprises all employees in the GS category, and employees in the P+

[8] JM 2016.2/3 *Roadmap for the independent assessment of the technical capacity of the Organization*, Rome, 7 November 2016

category providing corporate administrative, finance, human resources management, and security services.

In addition to staff, FAO also hires NSHR for both technical and non-technical work. Technical NSHR fall into three broad categories: consultants, holders of Personal Services Agreements (PSAs), and National Project Personnel (NPP); UN retirees are also considered and included in NSHR. This assessment includes NSHR that function in a technical capacity. As indicated in the Roadmap, it also seeks to cover the areas of expertise of the staff, as well as their qualifications, experience and age.

FAO funds its employees either through assessed contributions (i.e. the general fund – GF) or voluntary contributions (i.e. trust funds – TF). All posts accounted for in the biennial PWB, hereafter referred to as "PWB posts", fall into the first category, receiving their funding through the GF. In contrast, the funding for "non-PWB" posts and NSHR is diversified, with funding coming from both sources. (See Section 1.2 of Annex 1 for a schematic of this "architecture" of FAO human resources)

With respect to the delivery dimension, the assessment focuses on FAO's normative work and related programme delivery.[9] It covers the delivery of outputs in support of FAO's strategic objectives, and the following underlying products and services:

- Standard-setting instruments
- Knowledge, data and information produced
- Policy dialogue and capacity development at global, regional and country levels
- Knowledge, technologies and good practices
- Partnerships
- South-South Cooperation
- Advocacy and communication at national, regional and global levels

It should be noted that data availability is uneven. In the human resources dimension, staff-related data are far more concrete than the data available for non-staff; the latter has been tracked systematically only since 2014. Data availability also varies by sources of funding. Similarly, consistent information is not available for the different products and services. Nevertheless, the available information is adequate to assess trends in technical capacity in both the HR and delivery dimensions.

[9] FAO's normative work and its relation to programme delivery was outlined in November 2015 in an information note to the Council, CL 153/3, Information Note no. 3.

Chapter 2: Context

In 2012, under new leadership, FAO initiated a consultative strategic thinking process to review and update Strategic Framework 2010-19. The process continued through 2012-2013 and led to the launching of "transformational change" consisting of reorientation of the strategic direction of the Organization, undertaking targeted institutional strengthening, and pursuing greater efficiency and value-for-money. A brief chronology is shown in Annex 2.

Transformational changes introduced in 2012 included: an enhancement of the Technical Cooperation Programme (TCP); and Country Programming Frameworks (CPFs) to identify country priorities and guide the use of TCP resources under the management of Regional Representatives. FAO Representatives (FAORs) were empowered to negotiate the CPF and the associated country work plan. The functions of the Technical Cooperation Department were refocused to offer cross-cutting support to FAO programmes, technical departments and DOs; and DOs were strengthened.

Following from the strategic thinking process, five new strategic objectives, and a sixth objective on technical quality, knowledge, and services were approved by the 38th Conference in June 2013 as part of the *Reviewed Strategic Framework*. The framework also identified four cross-cutting themes: Gender, Governance, Nutrition, and Climate Change. It also reiterated FAO's core functions and four functional objectives. The framework is shown in Box 2.1 on the following page.

FAO has implemented iterative organizational changes aimed at enhancing delivery of the Organization's five strategic objectives. Capacity for work in selected areas emphasized in the strategic framework such as nutrition, food safety, and standard-setting expertise was enhanced. Importantly, a *matrix management* set-up was introduced to improve the delivery of the strategic objectives on a multi-sectoral basis. The set-up, which started with managers in the technical departments being tasked with the coordination of strategic programs supporting the five strategic objectives, has evolved over time and has been iteratively improved. In 2015, following endorsement of the Council, the coordinators were designated as full-time Strategic Objective Programme Leaders (SPLs), each supported by a Deputy and a small team of four to six technical officers seconded from the technical departments/offices; service agreements were established between SPLs and Regional Representatives; and more effective coordination and accountability were put in place between SPLs and technical departments. These changes have implied a redeployment of some 40 D and P-level staff (and 10 GS staff) into this function (see Box 2.2).

Recognizing the critical importance of technical capacity, the transformational changes were "proposed within the context of full preservation of the expertise and capacity at headquarters for technical work on norms, standards and global public goods."[10] The broad range of FAO's normative work and its relation to programme delivery was outlined in November 2015 in an information note[11] to the Council.

[10] CL 144/3 *Further Adjustments to the Programme of Work and Budget 2012-13*, pp. 12
[11] CL 153/3, Information Note no. 3, *FAO's Normative work and its relation to programme delivery*, Nov 2015

Box 2.1: 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

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. Assemble, analyze, 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

Box 2.2: Strategic Programme Teams

One of the most significant aspects of the transformational change process was the creation of five new Strategic Programme Management Teams (SP teams) in late 2015, located in the Technical Cooperation and Programme Management (TC) Department. The teams are headed by Strategic Objective Programme Leaders (SPLs), each supported by a Deputy and a small team of technical officers. Each team is responsible for the design and strategic management of one of FAO's five Strategic Objectives, and the technical departments ensure technical excellence of the contributions made by their staff to SO programmes and corporate technical activities, as set forth in the Medium Term Plan (Reviewed) 2014-17 and the Adjustments to the Programme of Work and Budget 2016-17 of October 2015.

The SP teams at headquarters consist of D, P, and GS-level staff, with most of the P+ team members belonging to the core technical category. The teams have drawn staff from a variety of departments or divisions in FAO under DDN (11), DDO (6), ES (15) and OSP (3). The staffing levels of the SP teams on a broader level can be found in the table below.

Staffing of SP Teams

Strategic Programme Management Team	**D**	**P**	**GS**	**Total**
SP1: Hunger Eradication, Food Security, and Nutrition	1	8	2	11
SP2: Sustainable Agriculture	2	7	2	11
SP3: Rural Poverty Reduction	1	6	2	9
SP4: Food Systems	2	5	2	9
SP5: Resilience	1	7	2	10
Total	***7***	***33***	***10***	***50***

It is important to note that only a small number of staff (11) in the SP teams came from the technical departments under DDN. The Agriculture Department supplied six team members from its animal, land & water, and plant production divisions. The Fisheries and Forestry Departments supplied two team members each, and the Natural Resources arm supplied a single team member. These staff continue to function in a core technical capacity, with a focus on delivering FAO's strategic objectives.

Efficiency gains and savings were pursued throughout this period, centered around the principle of reducing administrative burden and increasing technical expertise within the Programme of Work and Budget. These were essential to enable delivery of the normative work and related programme within the context of a flat nominal budget. A number of measures aimed at reducing the administrative burden of the Organization have been introduced since 2012. These include the modernization of management systems, streamlining of administrative and managerial processes and procedures, and the re-engineering of information technology and transaction processing units (see Box 2.3). These measures have enabled the Organization to reduce the burden of performing administrative tasks, increase the ratio of P+ to GS positions and, importantly, shift resources to its technical capacity.

These changes provide the context for this assessment.

Box 2.3: Measures to Reduce Administrative Burden and Enhance Efficiency

In 2013, the deployment of the Global Resources Management System (GRMS) connected for the first time all FAO offices worldwide, providing for standardization and automation of transaction processing with a major reduction of manual inputs and monitoring. This led to significant efficiency and savings in staff time, especially in former administrative registries.

Similarly, continued efforts at increasing the efficiency of administrative processes in the areas of human resources management, finance, procurement, and information technology have led to the abrogation or streamlining of numerous processes and procedures.

The adjustments to the Programme of Work and Budget 2014-15 saw the re-engineering of the Information Technology Division (CIO), allowing for a reduction of 20% of its budget, and 40% of its positions. Since then, CIO has continued to provide ever more modern and efficient IT and digital support and products.

In 2016, a new business model for the Shared Services Centre consolidated high volume transaction processing in a layered manner that has led to reduction in the required General Service capacity, which along with similar streamlining of the Conference, Council and Protocol Affairs Division (CPA) has led to abolition of 46 mainly administrative positions, available for re-profiling to priority technical areas.

Chapter 3: Technical Capacity – Human Resource (HR) Dimension

Following a discussion of the budgetary context of the 2012-16 period and its impact on overall staffing of FAO (Section A), this chapter discusses the evolution of the organization's technical capacity. The following sections discuss technical capacity along the lines of the FAO HR architecture described in Section 1.2 of Annex 1. Section B covers GF-funded staff and non-staff human resources (NSHR), and includes staff headcount in some tables, but mainly focuses on posts. Section C brings in TF-funded staff and NSHR. Section D covers the location – Headquarters (HQ) and decentralized offices (DOs) – of FAO's total technical capacity.[12] Other indicators associated with capacity – qualifications, experience and age of FAO staff – are discussed in section E. Detailed data is provided in Annex 3.

A. Context of a "Flat" Budget

The transformational changes have been carried out in the context of rising staff costs within a budget that has remained flat in nominal terms at US$1,005.6 million since 2012-13 – a decline of 4.3 percent, in constant 2010-11 terms.

The need to absorb rising staff costs within this budgetary context has resulted in a corresponding reduction in overall staff posts. As shown in Table 3.1a, overall posts established by and funded from the Programme of Work and Budget (PWB) have declined from 3,117 to 2,945, a reduction of 172 posts (5.5 percent), over the 2012-16 period. When GF-funded Non-PWB posts are added to the picture, the decline in overall posts moderates to 76 posts (2.2 percent).

However, within this overall reduction, FAO has managed a shift toward professional posts. FAO has managed to increase posts slightly by 0.4 percent in the aggregated category of D (Director), P (Professional) and N (National Professional Officer). The proportion of PWB posts in this aggregated category has increased from 46.7 percent of all PWB posts in 2012 to 50.2 percent in 2016, with a corresponding reduction in the proportion of GS (General Service) posts. With Non-PWB GF posts added, the proportion of D+P+N posts has risen from 47.1 percent in 2012 to 48.4 percent in 2016.

Table 3.1a: GF Staff Shifts by Grade (posts)

Grade	2012			2016			Change 2012-2016 (Percent)
	PWB	Non-PWB	Total	PWB	Non-PWB	Total	Total
D	136	8	144	125	9	134	-10 (-6.9%)
P	1134	143	1277	1147	125	1272	-5 (-0.4%)
D+P Subtotal	*1270*	*151*	*1421*	*1272*	*134*	*1406*	*-15 (-1.1%)*
D+P (% of total)	*40.7%*	*51.5%*	*41.7%*	*43.2%*	*34.4%*	*42.2%*	-
N	186	0	186	207	0	207	21 (11.3%)
D+P+N Subtotal	*1456*	*151*	*1607*	*1479*	*134*	*1613*	*6 (0.4%)*
D+P+N (% of total)	***46.7%***	***51.5%***	***47.1%***	***50.2%***	***34.4%***	***48.4%***	-
GS	1661	142	1803	1466	255	1721	-82 (-4.5%)
Total	***3117***	***293***	***3410***	***2945***	***389***	***3334***	***-76 (-2.2%)***

[12] In this chapter, PWB headcount and Non-PWB GF headcount have been updated through the end of December 2016.

With respect to headcount (staff in posts or posts less vacancies), the proportion of staff in the D+P+N category shows similar increases between 2012 and 2016 (Table 3.1b).[13]

Table 3.1b: GF Staff Shifts by Grade (headcount)

Grade	2012			2016			Change 2012-2016 (Percent)
	PWB	**Non-PWB**	**Total**	**PWB**	**Non-PWB**	**Total**	**Total**
D	114	8	122	114	9	123	1 (0.8%)
P	894	143	1037	907	125	1032	-5 (-0.5%)
D+P Subtotal	*1008*	*151*	*1159*	*1021*	*134*	*1155*	*-4 (-0.3%)*
D+P (% of total)	*38.7%*	*51.5%*	*40.0%*	*42.8%*	*34.4%*	*41.6%*	-
N[14]	157	0	157	188	0	188	31 (19.7%)
D+P+N Subtotal	*1165*	*151*	*1316*	*1209*	*134*	*1343*	*27 (2.1%)*
D+P+N (% of total)	*44.8%*	*51.5%*	*45.5%*	*50.6%*	*34.4%*	*48.4%*	-
GS	1437	142	1579	1178	255	1433	-146 (-9.2%)
Total	***2602***	***293***	***2895***	***2387***	***389***	***2776***	***-119 (-4.1%)***

B. Technical Capacity – General Fund (GF) Resources

Within the D+P category, FAO has managed a strategic shift from the administrative to the technical categories, in line with the objective of reducing administrative burden. As shown in Table 3.2a, while total D+P posts (PWB and Non-PWB GF) have declined slightly between 2012 and 2016, technical posts have increased by 2.9 percent through a reduction in the administrative category. Importantly, core technical capacity has increased by 158 posts (18.5 percent), through a reduction also in the enabling technical category. Headcount also shows growth of 139 core technical staff (20.0 percent) (see Table 3.2b).

Table 3.2a: Staff Shifts from Administrative and Enabling Technical to Core Technical (posts)

Category	2012			2016			Change 2012-2016 (Percent)
	PWB	**Non-PWB**	**Total**	**PWB**	**Non-PWB**	**Total**	**Total**
Core Technical	*810*	**43**	**853**	**934**	**77**	**1011**	**158 (18.5%)**
Enabling Technical	304	54	358	208	27	235	-123 (-34.4%)
Total Technical	***1114***	***97***	***1211***	***1142***	*104*	***1246***	***35 (2.9%)***
Administrative Support	155	54	209	129	30	159	-50 (-23.9%)
Total	***1270***	***151***	***1421***	***1272***	***134***	***1405***	***-16 (-1.1%)***

[13] Headcount was measured on April 1st of 2012 and December 31st of 2016.
[14] All N-level staff are PWB, so there is no change when Non-PWB GF figures are added.

Table 3.2b: Staff Shifts from Administrative and Enabling Technical to Core Technical (headcount)

Category	2012			2016			Change 2012-2016 (Percent)
	PWB	Non-PWB	Total	PWB	Non-PWB	Total	Total
Core Technical	**653**	**43**	**696**	**758**	**77**	**835**	**139 (20.0%)**
Enabling Technical	243	54	297	160	27	187	-110 (-37.0%)
Total Technical	*896*	*97*	*993*	*918*	*104*	*1022*	*29 (2.9%)*
Administrative Support	112	54	166	103	30	133	-33 (19.9%)
Total	***1008***	***151***	***1159***	***1021***	***134***	***1155***	***-4 (-0.3%)***

Specialization/Area of expertise. In line with the intent of the Reviewed Strategic Framework and the PWB 2014-15, the increase in core technical capacity has benefitted the areas of emphasis highlighted in the framework (see Annex 3, Table 3.1.9 for definitions of these areas). The largest percentage increases are evident in Advocacy and Capacity Development, Economic and Social Development, Economics, Environment, Information and Knowledge Management, Nutrition, Technical Cooperation, and Technical Management.[15] In line with the intent of the reviewed strategic framework, a significant gain of 11 posts occurred in Nutrition and Food Safety, while there were reductions of 1-2 posts each in Land and Water Management, Land Tenure, and Livestock. See Table 3.3.

Table 3.3: Growth in Core Technical Capacity by Staff Specialty (PWB and non-PWB GF,)

Specialty	2012		2016		Change 2012-2016 (Percent)	
	Posts	Headcount	Posts	Headcount	Posts	Headcount
Advocacy & Capacity Dev.	1	1	11	8	10 (1000.0%)	7 (700.0%)
Agriculture	94	82	100	82	6 (6.4%)	0 (0.0%)
Development Law	11	8	13	21	2 (18.2%)	13 (162.5%)
Economic & Social Development	21	18	27	21	6 (28.6%)	3 (16.7%)
Economics	141	109	162	124	21 (14.9%)	15 (13.8%)
Environment, Natural Resources, and Climate Change	42	35	58	47	16 (38.1%)	12 (34.3%)
Fishery and Aquaculture	76	62	86	63	10 (13.2%)	1 (1.6%)
Forestry	59	52	64	59	5 (8.5%)	7 (13.5%)
Info and Knowledge Management	32	27	53	41	21 (65.6%)	14 (51.9%)
Land and Water Mgmt.	35	26	34	25	-1 (-2.9%)	-1 (-3.8%)

[15] 'Technical Cooperation' is a function and most of the posts in this category are in the Technical Cooperation (TC) Department and the Regional Offices. 'Technical Management' refers to Managers in technical departments.

Land Tenure	10	10	9	9	-1 (-10.0%)	-1 (-10.0%)
Livestock	46	40	44	32	-2 (-4.3%)	-8 (-20.0%)
Nutrition and Food Safety	36	27	47	40	11 (30.6%)	13 (48.1%)
Statistics	41	35	38	33	-3 (-7.3%)	-2 (-5.7%)
Technical Cooperation	67	50	102	81	35 (52.2%)	31 (62.0%)
Technical Management	141	114	167	159	26 (18.4%)	45 (39.5%)
Total	***853***	***696***	***1015***	***845***	***162 (19.0%)***	***149 (21.4%)***

Non-Staff Human Resources (NSHR) – GF. FAO also engages professional-level NSHR employed by FAO in a technical capacity using GF resources. This category of NSHR includes consultants, those covered by personal service agreements (PSAs), National Project Personnel (NPP), and UN pensioners, who are mostly FAO retirees.

Monitoring of the NSHR category has traditionally received far less attention than staff. This has changed with the introduction of more systematic tracking of NSHR data in 2014; consistent NSHR data is thus available only from 2014 (and not for 2012, the start of the transformational changes period). Table 3.4 compares 2014 and 2016 NSHR data to the post counts for PWB/Non-PWB GF staff. There has been a significant increase (33 percent) in the use of GF-funded NSHR in this period, reflecting in part the flexible use of resources released through vacancies. This has contributed to an increase in total GF-funded technical capacity by 268 posts or 14 percent between 2014 and 2016.

Table 3.4: All GF-funded Technical Human Resources

Category	**2014**		**2016**		**Change 2014-2016 (Percent)**	
	Posts	**Headcount**	**Posts**	**Headcount**	**Posts**	**Headcount**
Total Technical Staff	*1211*	*959*	*1246*	*1022*	*35 (2.9%)*	*29 (2.9%)*
Consultants	465	465	724	724	259 (55.7%)	259 (55.7%)
PSA Holders	201	201	181	181	-20 (-10.0%)	-20 (-10.0%)
UN Pensioners	40	40	34	34	-6 (-15.0%)	-6 (-15.0%)
NSHR Subtotal	***706***	***706***	***939***	***939***	***233 (33.0%)***	***233 (33.0%)***
Total Technical Human Resources	***1917***	***1665***	***2185***	***1961***	***268 (14.0%)***	***296 (17.8%)***

C. Technical Capacity – Impact of Trust Fund (TF) Resources

In addition to the staff and NSHR funded through its General Fund, FAO maintains other Non-PWB staff and NSHR funded through various Trust Funds (TF) to respond to the priorities of the respective donors. Table 3.5 adds TF-funded Non-PWB staff to the GF totals from Table 3.1. As shown in the Table, the addition of TF Non-PWB staff increases the total number of staff in each category but the trends are similar to those discussed for GF-funded staff. Within a reduction of 3.9 percent in total posts, the reduction in the D+P+N category is contained at 1.2 percent, while GS posts show a larger reduction of 6.8 percent.

Table 3.5: GF- & TF-funded Staff Shifts by Grade (posts)[16]

Grade	2012			2016			Change 2012-2016 (Percent)
	Total GF Staff	**Non-PWB TF Staff**	**Total**	**Total GF Staff**	**Non-PWB TF Staff**	**Total**	**Total**
D	144	14	158	134	11	145	-13 (-8.2%)
P	1277	511	1788	1272	482	1754	-34 (-1.9%)
D+P Subtotal	*1421*	*525*	*1946*	*1406*	*493*	*1899*	*-47 (-2.4%)*
D+P (% of total)	*41.7%*	*72.0%*	*47.0%*	*42.2%*	*76.8%*	*47.8%*	-
N[17]	186	0	186	207	0	207	21 (11.3%)
D+P+N Subtotal	*1607*	*525*	*2132*	*1613*	*493*	*2106*	*-26 (-1.2%)*
D+P+N (% total)	*47.1%*	*72.0%*	*51.5%*	*48.4%*	*76.8%*	*53.0%*	-
GS	1803	204	2007	1721	149	1870	-137 (-6.8%)
Total	***3410***	***729***	***4139***	***3334***	***642***	***3976***	***-163 (-3.9%)***

The addition of TF posts to the analysis (Table 3.6) moderates some of the trends in technical capacity discussed earlier in this chapter. For example, core technical capacity shows an increase of 10.2 percent as against 18.5 percent.

Table 3.6: Staff Shifts from Administrative and Enabling Technical to Core Technical (posts)

Category	2012			2016			Change 2012-2016 (Percent)
	Total GF Staff	**Non-PWB TF Staff**	**Total**	**Total GF Staff**	**Non-PWB TF Staff**	**Total**	**Total**
Core Technical	**853**	**398**	**1251**	**1011**	**368**	**1379**	**128 (10.2%)**
Enabling Technical	358	92	450	235	108	343	-107 (-23.8%)
Total Technical	*1211*	*490*	*1701*	***1246***	*476*	*1722*	*21 (1.2%)*
Administrative Support	209	35	244	159	17	176	-68 (27.9%)
Total	***1421***	***525***	***1946***	***1405***	***493***	***1898***	***-48 (-2.4%)***

An analysis of the distribution by staff specialty shows similar shifts as with GF-funded staff, but with much larger absolute numbers (Table 3.7). When GF- and TF- funded posts are aggregated, the largest increase (42 posts) is in Nutrition and Food Safety, with a shift away from Agriculture and Livestock of 36 posts. In light of the concern about a decline in staff capacity in the technical departments, these changes are separately summarized in Box 3.1.

[16] For all further headcount data, see Annex 3.
[17] All N-level staff are PWB, so there is no change when Non-PWB GF figures are added.

Table 3.7: Growth in Core Technical Staff by Specialty (GF & TF)

Specialty	2012		2016		Change 2012-2016 (Percent)	
	Posts	**Headcount**	**Posts**	**Headcount**	**Posts**	**Headcount**
Advocacy & Capacity Dev.	1	1	18	15	17 (1700.0%)	14 (1400.0%)
Agriculture	145	133	128	110	-17 (-11.7%)	-23 (-17.3%)
Development Law	14	11	14	22	0 (0.0%)	11 (100.0%)
Economic & Social Development	31	28	41	35	10 (32.3%)	7 (25.0%)
Economics	177	145	203	165	26 (14.7%)	20 (13.8%)
Environment, Natural Resources, and Climate Change	69	62	91	80	22 (31.9%)	18 (29.0%)
Fishery and Aquaculture	105	91	116	93	11 (10.5%)	2 (2.2%)
Forestry	103	96	116	111	13 (12.6%)	15 (15.6%)
Info and Knowledge Management	32	27	53	41	21 (65.6%)	14 (51.9%)
Land and Water Management	44	35	45	36	1 (2.3%)	1 (2.9%)
Land Tenure	14	14	11	11	-3 (-21.4%)	-3 (-21.4%)
Livestock	77	71	58	46	-19 (-24.7%)	-25 (-35.2%)
Nutrition and Food Safety	48	39	90	83	42 (87.5%)	44 (112.8%)
Statistics	47	41	54	49	7 (14.9%)	8 (19.5%)
Technical Cooperation	183	166	147	126	-36 (-19.7%)	-40 (-24.1%)
Technical Management	161	134	198	190	37 (23.0%)	56 (41.8%)
Total	***1251***	***1094***	**1383**	**1213**	**132 (10.6%)**	**119 (10.9%)**

Box 3.1: Capacity in Technical Departments - Headquarters

There has been some concern about a decline in staff capacity in the Technical Departments at FAO headquarters from 2012 to 2016. In addition to the secondment of staff from Technical Departments to the Strategic Programme teams, some of the major changes in the number of technical PWB posts in individual departments have been the result of iterative structural changes, endorsed at each stage by FAO membership. As a result, the integrity of the overall technical capacity within the Technical Departments has been by and large retained since 2012, while the number of posts in individual departments have, in some cases, been reduced.

These structural changes have consolidated expertise in specific areas of work to maximize their impact, such as policy work and nutrition. Following implementation in 2013 of the evaluation of FAO's role and work in food and agriculture policy, 27 positions relating to policy work were shifted into the Economic and Social Development Department (ES). Similarly, implementation of the recommendations of the evaluation on FAO's work on nutrition in the same year led to the transfer of the former Nutrition Division in the Agriculture and Consumer Protection Department (AG) to ES, as the Nutrition and Food Systems Division. This resulted in a headline loss of 30 posts in the AG. Both these sets of transfers, however, did not lead to a reduction in FAO's technical capacity in nutrition or policy work.

The transformational changes since 2012 also enabled improved delivery in some sectors, such as fisheries and forestry, by dismantling the silos between policy and technical work. This led to merger in the 2014 of the respective divisions in Forestry and Fisheries departments. In turn, these mergers led to the abolition of one Director position in each department at the top level, offset subsequently during implementation of the 2016-17 PWB by the creation of two D-level positions in each department to strengthen horizontal managerial capacity.

Other transfers and adjustments necessary to support improved delivery of services by the Organization were also undertaken since 2012, including: (i) dismantling of the Rural Infrastructure and Agro-Industries in 2016, and transfer of posts to ES, resulting in a reduction of 24 positions in AG (ii) creation of the Office of Food Safety in AG in 2016 with 17 PWB positions; and (iii) consolidation of ES by transfer of specific capacities in 2016, leading to an increase of 20 positions.

The table below depicts all P+ PWB staff in these departments at headquarters in 2012 and 2016.

Table: All P+ Staff by Selected Organizational Units (PWB)

Department	***Category***	***2012***	***2016***	***Change (percent)***
Agriculture	Total Technical	142	120	-22 (-15%)
Natural Resources	Total Technical	48	16	-32 (67%)
Economic and Social	Total Technical	108	157	49 (45%)
Fisheries	Total Technical	75	73	-2 (-3%)
Forestry	Total Technical	49	46	-3 (-6%)
	Core Technical	*413*	*407*	*-6 (-1%)*
Grand Total	*Enabling Technical*	*9*	*5*	*-4 (-44%)*

NSHR – Trust Fund (TF). There is one final component – TF-funded NSHR – that needs to be added to complete the picture of technical human resources at FAO (see Table 3.8). The complete picture shows a growth in technical capacity, with a total post increase of 455 or 8.1 percent.

Table 3.8: All Technical Human Resources

Category	2014		2016		Change 2014-2016 (Percent)	
	Posts	**Headcount**	**Posts**	**Headcount**	**Posts**	**Headcount**
Total Technical Staff	1688	1436	1773	1489	85 (5.0%)	53 (3.7%)
Consultants	1064	1064	1438	1438	374 (35.2%)	374 (35.2%)
PSA Holders	362	362	303	303	-59 (-16.3%)	-59 (-16.3%)
UN Pensioners	62	62	57	57	-5 (-8.1%)	-5 (-8.1%)
NPP	2419	2419	2481	2481	62 (2.6%)	62 (2.6%)
Total Technical NHRS	*3907*	*3907*	*4279*	*4279*	*372 (9.5%)*	*372 (9.5%)*
Total Technical Human Resources	***5597***	***5345***	***6052***	***5768***	***455 (8.1%)***	***423 (7.9%)***

D. Location of Technical Capacity

The trends in technical staff capacity at HQ and DOs between 2012 and 2016 are shown in Table 3.9a. In this period, core technical posts increased by 6.2 percent at HQ but much faster (31 percent) at DOs. Enabling technical capacity fell by 37.4 percent at HQ and increased by 22.2 percent at DOs. The bulk of this change occurred between 2012 and 2014.

Table 3.9a: Location –HQ and DOs– of technical staff

Category and Location	*2012*		*2016*[18]		*Change 2012-2016 (Percent)*	
	Posts	**Headcount**	**Posts**	**Headcount**	**Posts**	**Headcount**
Headquarters						
Core Technical	790	699	839	702	49 (6.2%)	3 (0.4%)
Enabling Technical	369	317	231	183	-138 (-37.4%)	-134 (-42.3%)
Total Technical Staff	*1159*	*1016*	*1070*	*885*	*-89 (-7.7%)*	*-131 (-12.9%)*
Decentralized Offices						
Core Technical	461	395	604	571	143 (31.0%)	176 (44.6%)
Enabling Technical	81	72	99	33	18 (22.2%)	-39 (-54.2%)
Total Technical Staff	*542*	*467*	*703*	*604*	*161 (29.7%)*	*137 (29.3%)*
Total	***1701***	***1483***	***1773***	***1489***	***72 (4.2%)***	***6 (0.4%)***

[18] Measurements in this table are current as of December 31, 2016

Table 3.9b adds NSHR to the technical capacity. As shown in the Table, overall technical capacity at HQ has grown by 13.4 percent between 2014 and 2016, much more than the 5.6 percent increase at DOs. As a result, the proportion of overall technical capacity at HQ has increased from 32.5 percent in 2014 to 34.1 percent in 2016.

Table 3.9b: Location –HQ and DOs – of overall technical capacity

Category and Location	2014		2016[19]		Change 2014-2016 (Percent)	
	Posts	**Headcount**	**Posts**	**Headcount**	**Posts**	**Headcount**
Headquarters						
Core Technical	799	693	839	702	40 (5.0%)	9 (1.3%)
Enabling Technical	257	225	231	183	-26 (-10.1%)	-42 (-18.7%)
Total Technical Staff	*1056*	*918*	*1070*	*885*	*14 (1.3%)*	*-33 (-3.6%)*
NSHR	766	766	996	996	230 (30.0%)	230 (30.0%)
Subtotal	***1822***	***1684***	***2066***	***1881***	***244 (13.4%)***	***197 (11.7%)***
Decentralized Offices						
Core Technical	538	430	604	571	66 (12.3%)	141 (32.8%)
Enabling Technical	94	88	99	33	5 (5.3%)	-55 (-62.5%)
Total Technical Staff	*632*	*518*	*703*	*604*	*71 (11.2%)*	*86 (16.6%)*
NSHR	3141	3141	3283	3283	142 (4.5%)	142 (4.5%)
Subtotal	***3773***	***3659***	***3986***	***3887***	***213 (5.6%)***	***228 (6.2%)***
Total	***5595***	***5343***	***6052***	***5768***	***457 (8.2%)***	***425 (8.0%)***
Proportion at HQ	***32.5%***	***31.5%***	***34.1%***	***32.6%***	**-**	**-**

E. Qualifications and Experience of Staff & NSHR

Recruitment. Over the past several years, FAO has broadly improved on most indicators of staff qualifications and experience. There has been an increase in the proportion of new recruits holding masters or doctoral and post-doctoral degrees. Starting from an already-high figure of 91 percent entering with a Master's or higher degree in 2010, the proportion remained flat through 2013 and rose to 98 percent by 2015, in line with the implementation of the transformational changes. Narrowing the focus even further to only those recruits with a PhD degree (or higher), there was an increase from 42 percent to 47 percent over the period (Table 3.10).

[19] Ibid.

Table 3.10: Educational Qualifications and Experience of new FAO recruits by year

Qualification	2010	2013	2015
BA/BSc or BBA	6	4	1
MA/M.Sc. or MBA	34	20	30
PhD	29	22	28
Total	*69*	*46*	*59*
Percent Master's or higher	91%	91%	98%
Percent PhD or higher	42%	47%	47%
Average Years of Professional Experience per Recruit	***16***	***20***	***18***

These new recruits have contributed to the breakdown of FAO's current staff shown in Table 3.11 below. In the core technical category, 96 percent of staff have a Master's degree or higher, and 46 percent have a doctoral degree or higher qualifications.

Years of Experience. With respect to another indicator of qualification, years of experience, the breakdown is relatively consistent across staff categories, with all three showing an average of 24 or 25 years of experience, 11 to 15 years at FAO and 10 to 14 years of those outside the organization (Table 3.11).

Table 3.11: Educational Qualifications and Experience of FAO staff - 2016

Category	Number of Staff Attaining Degree							Avg. yrs. of experience since first degree		
	BA/BSc or BBA	MA/MSc or MBA	PhD	Post Doc	Total	% Master's & above	% PhD & above	At FAO	Non-FAO	Total
Core Technical	25	347	301	20	693	96%	46%	11	14	25
Enabling Technical	31	117	9	1	158	80%	6%	15	10	25
Admin. Support	21	69	5	0	95	78%	5%	12	11	24
Total	***77***	***533***	***315***	***21***	***946***	***92%***	***36%***	***12***	***13***	***25***

Age profile. There has been an increase in the proportion of staff in the older age categories between 2012 and 2016, while non-PWB staff are younger on average than PWB-staff. The table below examines the percentage of PWB and non-PWB core technical staff accounted for by each age bracket in 2012 and 2016. The breakdown for PWB staff remained largely unchanged over the period with 59.6 percent of staff over age 50 in 2012 and 60.1 percent in 2016. Non-PWB staff were significantly younger throughout the period, with only 32.2 percent over age 50 by 2016; there was some aging of these staff, with staff below age 40 decreasing from 36.5 percent to 32 percent (See Table 3.12).

Table 3.12: Age Breakdown of Core Technical Staff only

Age	2012		2016	
	PWB	Non-PWB	PWB	Non-PWB
Age 29 and below	0.9%	2.8%	0.8%	2.9%
Age 30 to 39	10.7%	33.7%	11.3%	29.1%
Age 40 to 49	28.8%	32.9%	27.7%	35.7%
Age 50 to 61	59.6%	30.3%	59.3%	31.2%
Age 62 and above	0.0%	0.3%	0.8%	1.0%

Technical Training. FAO staff members take part in external training to improve their individual knowledge and contribute to the overall technical capacity of the organization. The number of staff who participated in external training was around 112 in 2014 and rose to 136 in 2016, representing 1,062 and 1,258 days of training, respectively (Table 3.13). The proportion of participants benefitting from training in technical areas, such as agriculture, livestock, fisheries, forestry, economics, food security, information technology, and climate change, increased from 40 percent in 2014 to 57 percent in 2016.

Table 3.13: Technical Training at FAO

Training Participants & Days	2014	2015	2016	Change 2014-2016 (Percent)
No. of Participants, all courses	112	102	136	24 (21%)
No. of Participants, technical courses only	45	51	78	33 (73%)
Participants who took technical trainings, % out of total	**40%**	**50%**	**57%**	-
No. of External Training days	1062	1040	1258	196 (18%)
No. of External Training days, technical courses only	489	390	663	174 (36%)
Technical External Training days, % out of total	**46%**	**38%**	**53%**	-

NSHR Experience. Some questions have been raised about the level of experience of NSHR and whether they reflect and contribute to FAO institutional memory. While experience and qualification data is not as readily available for NSHR as it is for staff, a breakdown of FAO consultants and holders of PSAs by number of years at the organization was provided to the Finance Committee at its 164th session.[20] As of November 1, 2016, a total of 2,350 consultants and PSA holders were under contract with FAO, equally balanced between headquarters and decentralized offices. Half of them have over three years of experience with FAO, more than a third have over five years, and close to 20 percent have over 10 years (see Table 3.14). Furthermore, this table does not include UN pensioners who have come back to FAO as NSHR to lend their expertise to specific projects. As retirees, their experience at FAO is significant.

[20] FC 164/7 Add. 1 *Human Resources Management, Additional Information*

Table 3.14: FAO Experience of Consultants and PSA Holders

Location	*Years of Service with FAO*, **percent**				*Total*
	0-3	**4-5**	**6-9**	**10+**	
HQ	52.3	13.2	17.5	16.9	1170
DOs	48.6	15.6	14.2	21.6	1180
Total	***50.4***	***14.4***	***15.9***	***19.3***	***2350***

Chapter 4: Technical Capacity – Delivery Dimension

A. Products and Services

The transformational changes agreed to by the Secretariat were "proposed within the context of full preservation of the expertise and capacity at headquarters for technical work on norms, standards and global public goods."[21] The broad range of FAO's normative work and its relation to programme delivery was outlined in November 2015 in an information note[22] to the Council. It included seven primary categories aligned with FAO's core functions: standard-setting instruments; knowledge, data and information produced; policy dialogue; capacity development; knowledge, technologies and good practice; partnerships; and communication and advocacy. Support to South-South cooperation is another important service provided at country level. This assessment uses the delivery of the products and services in these categories and the outputs that they contribute to as an important measure of technical capacity.

Trends in delivery of products and services between 2012 and 2016, which are detailed in Annex 4 (Section 4.1), show considerable variation between years. Table 4.1 shows the change between 2012 and 2016.

Table 4.1: Selected Products and Services

Category	Indicator	2012	2013	2014	2015	2016[23]	Change 2012-16 (Percent)
Standard-setting instruments	Standard-setting instruments	78	90	101	138	160	82 (105%)
Knowledge, data and information produced	Publications & Brochures	962	996	2172	1083	1923 (actual)	961 (100%)
	Access to data websites (thousands)	154	209	196	165	219	65 (42%)
	Countries in which statistical capacity development is undertaken	52	49	59	51	55	3 (6%)
Policy dialogue and capacity development at global, regional and country levels	Travel authorizations (thousands)	n/a	12.2	13.2	16.1	15	2.8 (23%)[24]
	Technical Workshops/ Conferences/Symposia organized	253	250	275	305	391	138 (55%)
	External technical platforms supported	280 over period					n/a
Knowledge,	Flagship reports	3	2	5	8	4	1 (33%)

[21] CL 144/3 *Further Adjustments to the Programme of Work and Budget 2012-13*, May 2012, pp. 12
[22] CL 153/3 Information Note no. 3, *FAO's Normative work and its relation to programme delivery*, Nov 2015
[23] Unless marked otherwise, 2016 figures are extrapolated from October to the end of the year.
[24] Measured from 2013.

technologies and good practices	Flagship views (thousands)	n/a	173	1146	590	951 (actual)	778 (450%)[25]
Partnerships	Agreements signed per year	36	51	52	53	30	-6 (-17%)
South-South Cooperation	SSC beneficiary countries	44	46	30	30	76	32 (73%)
	Agreements signed with work plan	27	29	40	28	38	11 (41%)
	Professional staff seconded from donor organizations	222	113	138	60	100	-122 (-55%)
	Total staff that received training as part of the SSC agreements	350	350	350	350	350[26]	0
Advocacy and communication at national, regional and global levels	Number of Media Articles Initiatives (SOMIs)	n/a	1061	1919	2270	2213 (actual)	1152 (109%)[28]

With the exception of partnership agreements signed per year and professional staff seconded from donors, all products and services increased during this period.

B. Outputs Supporting the Strategic Objectives

The Strategic Objective outputs targeted in FAO's 2014-15 results framework were agreed by the Council. The delivery of outputs over the past three years is summarized in Table 4.2. FAO made progress between 2014 and 2016 in meeting the output targets set in support of its Strategic Objectives. FAO met or exceeded 86 percent of its output targets in 2016, an improvement from 2014, when only 82 percent of targets were met. Significantly, this improvement occurred under a more rigorous standard for "objective met/exceeded" in 2016 (100% of target) than in 2014 and 2015 (75% of target). In addition, with respect to the sixth cross-cutting objective related to technical quality, knowledge, and services, FAO met or exceeded all targets. See Annex 4, Section 4.2 for more detailed information.

With respect to the objective of improving FAO's technical quality, knowledge and services, one-half of the respondents surveyed by FAO saw progress. In 2015, 62 percent of respondents to the survey considered FAO technical capacity to be adequate or better,[27] and this improved to 68.5 percent in 2016.[28]

[25] Measured from 2013.
[26] Estimate based on maintenance of trend, rather than extrapolation.
[27] C 2017/8 *Programme Implementation Report 2014-15*, April 2016, paragraph 182
[28] PC 121/3 *Mid Term Review Synthesis Report, 2016,* paragraph 25.

Table 4.2: Delivery of targeted outputs 2014-15

Objective	Number of indicators	Exceeded/met 2014 target	Exceeded/met 2015 target	Exceeded/met 2016 target
SO 1: Eradication of hunger, food insecurity and malnutrition	8	75%	100%	88%
SO 2: Increase sustainable agriculture, forestry, and fisheries	13	77%	85%	69%
SO 3: Reduce rural poverty	10	70%	90%	80%
SO 4: Inclusive & efficient agricultural & food systems	10	100%	100%	100%
SO 5: Resilience to threats and crisis	10/9[29]	90%	80%	100%
Total	***51/50[30]***	***82%***	***90%***	***86%***
O 6: Technical quality	6	No 2014 targets	100%	100%

C. Additional Dimensions of Delivery

The assessment also considered two other dimensions related to delivery.

First, the assessment team considers a report covering publications that was released in September 2015 by the Office of Evaluation. The report examined a sample of 236 FAO publications with the aid of independent external reviewers, and found their technical quality to be Moderately Satisfactory (with an average rating of 4.3 on a 6-point scale). The findings were positive with respect to FAO's contribution to global and country knowledge on food and agriculture and the report notes that "FAO corporate publications are generally consistent with the Organization's goals" and that the "publications, especially the State of the World flagships, are widely read." Users contacted during the review noted that generally FAO publications were of high quality in terms of presentation and technical content. Nevertheless, the review concluded that "other quality criteria, such as the integration of environmental and sustainability concepts, social inclusion and gender issues, appeared to be less satisfactorily addressed."

An interesting finding from this review was that users from low and medium income countries gave a more favorable assessment of FAO publications than users from high income countries. Poorer countries find FAO publications influential, though the lack of adequate partnerships and resources often impede the adoption of the key messages conveyed in FAO's flagship reports. According to users surveyed, FAO publications have primarily contributed to providing technical excellence (97%), raising awareness about critical issues (97%), and improving research, practices, and performance (95%). Furthermore, 74% of users indicated that they would not have been able to achieve the same results without FAO publications, suggesting that for many the FAO resources are critical to their work. The lowest rated contribution was "influencing gender and human rights issues."

At the same time, the report contained the two key recommendations for improvement. First, FAO needs better identification and inclusion of users' needs in the publication-development process. Second, FAO should conduct more robust needs-assessments before developing publications.

[29] As part of revisions to the output targets between the publication of the 2014-15 PIR and 2016 MTR, the number of indicators for SO5 was reduced by one, from ten to nine.
[30] Ibid.

Second, in addition to the report by the Office of Evaluation, this assessment considers several external reviews of FAO. Two Multilateral Organization Performance Assessment Network (MOPAN)[31] reviews of FAO conducted in 2011 and 2014. These assessments were based on information collected through a survey of key stakeholders, document review, and interviews with FAO staff. Survey respondents included FAO's direct partners and MOPAN donors based in-country and at headquarters. Six countries were included in the 2014 MOPAN survey, while 8 were in the 2011 survey.

The 2014 assessment noted an improvement on virtually every performance indicator. In four important areas – corporate strategy based on clear mandate, country focus on results, supporting national plans and contributing to policy dialogue – the ratings improved from 'inadequate or below' to 'strong or above'. Compared with five areas of shortcomings identified by the 2011 MOPAN (country focus on results, aid allocation decisions, linking aid management to performance, managing human resources, and presenting performance information), only two shortcomings were identified in 2014 (results based budgeting, and managing human resources). In terms of technical capacity specifically, the relatively low rating in managing human resources indicated that progress still needed to be made, but positive findings in relation to FAO's normative work (e.g. supporting national plans, contributing to policy dialogue) demonstrated that the organization was building its capacity to deliver on results. Further information, including detailed ratings, is provided in Annex 4, Section 4.3.

In 2015, Germany's Federal Ministry for Economic Cooperation and Development (BMZ) completed a review of FAO.[32] Its findings were aggregated from the 2011 and 2014 MOPAN reviews, the 2012 Australian Multilateral Assessment, and the 2011 UK Multilateral Assessment Review and its 2013 update. While the report noted that some member countries had expressed worries about reduced technical capacity, it was broadly supportive of the changes. In particular, it noted that decentralization at FAO has led to strengthened country leadership for work in emergencies. It also argued that the improvement of IT installations, the establishment of technical networks and the re-organisation of technical departments under the Reviewed Strategic Framework has enabled FAO to create "clear lines of accountability for monitoring and reporting" and that FAO "has made significant efforts to break the silo culture that had previously resulted in some duplication of effort and poor knowledge sharing". See Annex 4, Section 4.4 for more information.

The most recent assessment of FAO was conducted by the UK Department for International Development (DFID) and was published in 2016 as the Multilateral Development Review (MDR). It evaluated the organizational effectiveness of a large number of multilateral development institutions. Consistent with the findings of the MOPAN analysis, DFID concluded that FAO has "stepped up to the challenge and turned their performance around. FAO now has a clearer strategic vision and reports on results. It has modernized its management structure and delivered significant efficiency savings of over $100 million between 2011 and 2015."[33] The MDR credited the organization's leadership, modernized management structure, and efficiency savings for the positive outcome. Its overall rating for FAO was "good", on a four-step scale of weak, adequate, good, or very good (Annex 4, Section 4.5).

D. Conclusion

Several conclusions can be drawn from information presented in this chapter:

[31] MOPAN is a network of governments with a common interest in the effectiveness of multilateral organizations.
[32] BMZ *BMZ Mapping of Multilateral Organisations Engaged in Development*, Adelphi, January 2015.
[33] DFID. *Raising the standard: The Multilateral Development Review 2016*, December 2016.

- There has been an expansion in several key categories of products and services while levels have remained constant for others.
- Compared to the targets set in the strategic framework, the outputs associated with the strategic framework are mostly on track – 86 percent of the targets were met or exceeded in 2016.
- There has been some improvement in the quality and impact of publications and knowledge products up to 2015.
- Furthermore, a number of external reviews found overall improvement in FAO delivery and impact over the 2012-2016 period.

On balance, the above suggests that the shifts in staffing and budget within FAO have not had a detrimental effect on the quantity and quality of products. On the contrary, the shifts are likely to have contributed to the positive overall results with respect to quality and to the efficient achievement of FAO's strategic objectives.

Chapter 5: Looking Ahead

The Medium-term Plan for 2018-21 places emphasis on continuity in the strategic direction of FAO and on alignment between its Strategic Objectives and the Sustainable Development Goals (SDGs), with a planned contribution to 15 of the 17 SDGs. It also continues the focus on country priorities during implementation of the work programme. The overall direction and priorities represent a deepening of initiatives started during the previous Medium-term Plan. The Plan seeks to strengthen programme delivery on several fronts. In that respect, it will:

- Enhance the recently introduced internal management arrangements for leadership of the Strategic Programmes, accountability and oversight.
- Strengthen the linkages between HQ and DOs, and strengthen the coverage of the latter.
- Upgrade the monitoring system for programme delivery and results.
- Rationalize and streamline organizational capacity at HQ, taking into account areas of emphasis and de-emphasis in the PWB 2016-17, so as to ensure optimal use of the Organization's expertise while retaining the integrity of the overall technical capacity at headquarters.

The institutional strengthening achieved through implementation of the matrix will require continued attention. FAO has adopted an evolutionary, "learning by doing" approach, adjusting management arrangements to improve performance. Effective functioning of the matrix presents the challenge of continuing to simultaneously strengthen both programme delivery capacity and technical capacity. Recent actions have focused on the former, contributing to the impression that the latter has been undermined. Additional measures are required to enhance the effectiveness of Strategic Programme Management to ensure that it adds value without creating additional bureaucracy. While the matrix has improved FAO's ability to address crosscutting issues and coordinate work across organizational units, it has also introduced some uncertainties in terms of reporting channels, managerial responsibilities and accountabilities.

Consequently, further refinements are required to clarify the reporting relationships within the matrix at HQ (i.e. between managers in Technical Departments and those in the SPs), between HQ and DOs, between Regional and sub-Regional Offices and Country Offices, and between technical experts in the Regional Offices and Technical Departments in Rome. Furthermore, there is scope for strengthening and possibly formalizing the professional networks. Effectiveness would also require clarity of reporting relationships –beyond the current network link – of staff and non-staff in decentralized offices to the corresponding technical divisions.

Data challenges encountered in this assessment point to a number of opportunities for improved monitoring. With respect to the HR dimension of capacity, it is important that FAO develop an integrated perspective of all human resources deployed to deliver FAO's programmes – PWB and non-PWB staff as well as all categories of NSHR. In light of the significant work performed by NSHR, it is important that their recruitment and training be given attention more in line with that accorded to staff. Further, FAO should consider internally assessing technical capacity in the form of strategic workforce planning exercises aligned to the biennial Programme of Work. As part of these efforts to structure FAO's staff for the future, the organization should give specific attention to the appropriate balance between staff on posts and consultants and other non-staff to retain the flexibility needed to meet specific specialized needs and changing priorities.

With respect to the delivery dimension, there is a need to more effectively monitor the full range of FAO outputs, products, and services at all levels – global, regional and country. In this regard, FAO may wish to introduce a system of tracking the quality of FAO products and services in terms of their relevance, effectiveness and impact, and efficiency. Such a system, effectively implemented, would enable FAO to add a quality dimension to the assessment of technical capacity. Importantly, the organization could monitor trends in quality and identify measures to be taken toward continuous improvement.

Effective management of programme delivery would also benefit from the ability to plan, allocate, and monitor the use of HR and operational resources to specific programmes. In that context, FAO should consider the introduction of a system to track the time spent by staff and non-staff (and the associated costs) on different programmes and other activities. In the absence of such a system it is difficult to monitor the cost of different activities, to monitor their implementation efficiency and to track improvements in delivering products and implementing projects over time. Experience at other organizations has shown that despite some initial cost and possible staff resistance to the introduction of such a Time Recording system, the potential benefits far outweigh these initial teething difficulties.

On the efficiency front, FAO may want to revisit the matter of sharing administrative services and decentralized offices with IFAD and WFP, with the objective of both reducing costs and improving efficiency. The several instances of combined field offices are positively received in all three institutions. Expanding on these efforts in a systematic manner, with the ultimate objective of creating shared services, would constitute the radical path for cutting administrative costs and increasing efficiency.

Finally, given the preeminence of FAO as the repository of technical capacity, a model of services being shared across the Rome-based agencies (RBAs) could bring substantial synergies and efficiency gains, with FAO taking the lead on technical expertise, and the two other RBAs leveraging this expertise more systematically. In light of the likely continued pressures on contributions and the budget this could be an important means of bolstering further the technical capacity at FAO.

Annexes

Annex 1: Roadmap and FAO Human Resources Architecture

Section 1.1: Roadmap for the Assessment

October 2016 JM 2016.2/3 E

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

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

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Tel. +39 06570-52060

A. Introduction

1. The Council at its 153rd 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." [1]

2. As announced by the Director-General at the 154th 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.[2] 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

[1] CL 153/REP paragraph 7m, CL 154/4 paragraph 6, CL 154/REP paragraph 13
[2] 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.[3]

[3] 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

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) 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.[4]

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

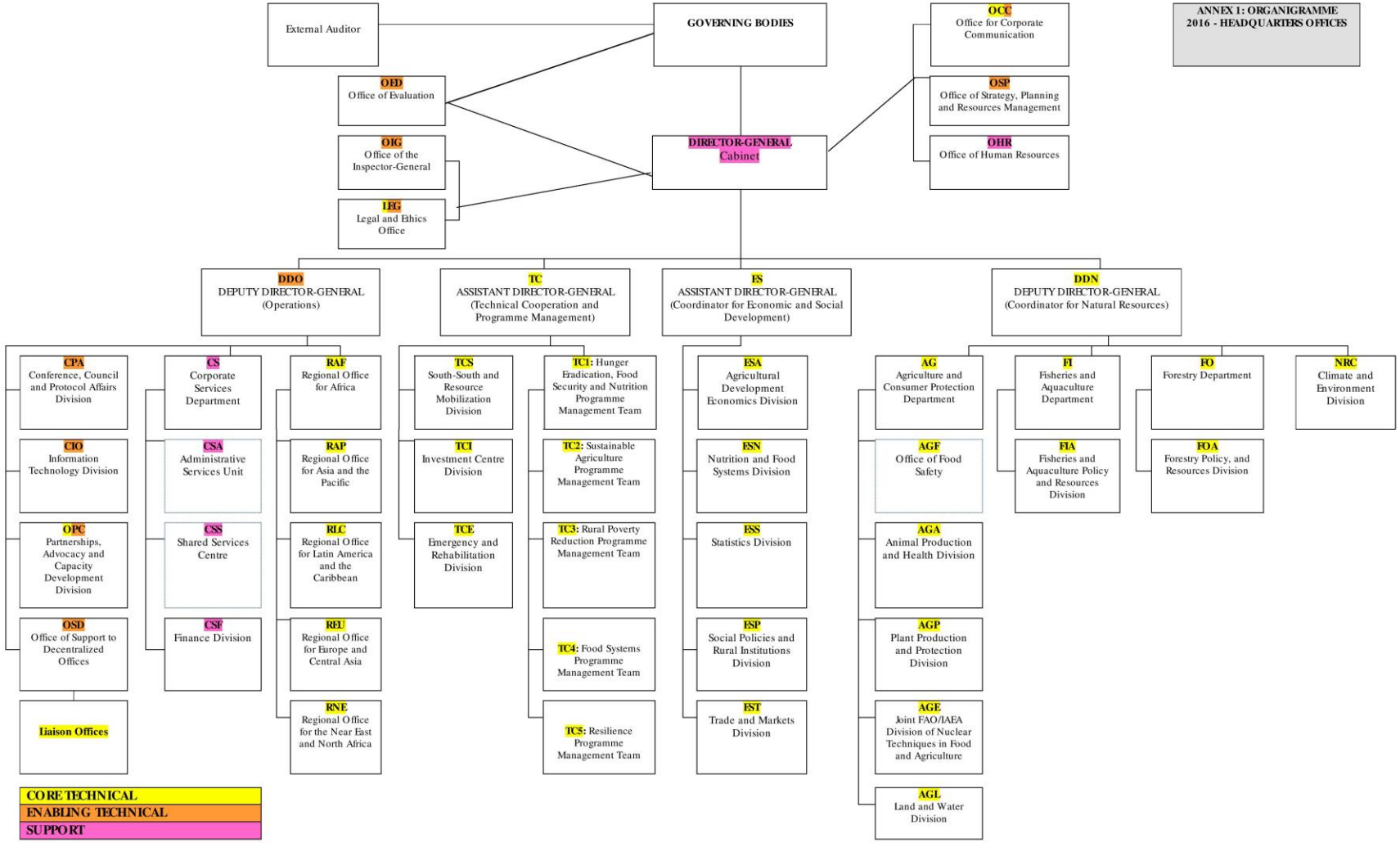
[4] C 2017-8

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.

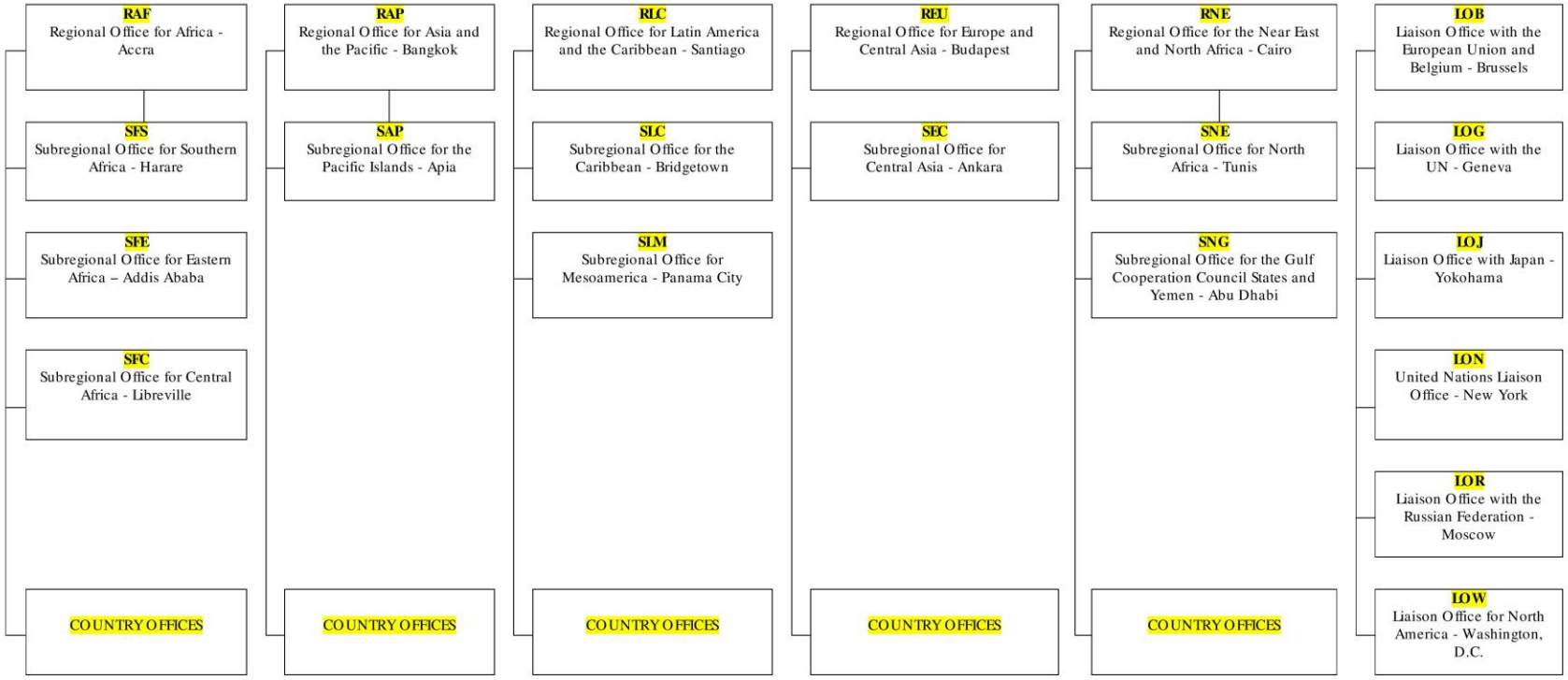
Time Period	Milestone
July-August 2016	1. Preparation of methodology
September 2016	2. Consultation with Strategy Experts Panel on methodology
September 2016	3. Selection and hiring of independent consultants
August-October 2016	4. Collection of data and information
October-December 2016	5. Analysis 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

Organigramme 2016: HQ Offices

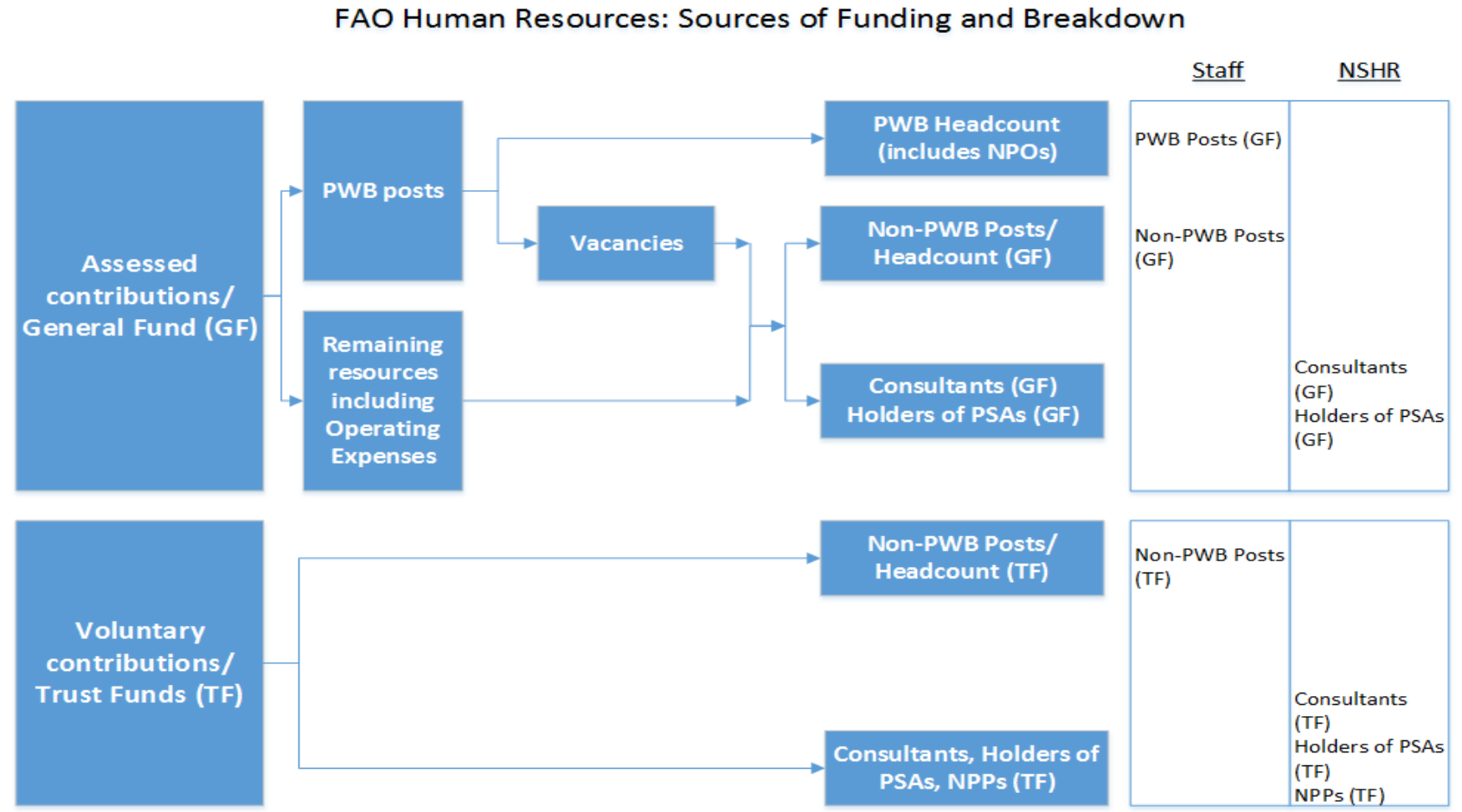


Organigramme 2016 – Decentralized Structure

ANNEX 1: ORGANIGRAMME 2016 - DECENTRALIZED STRUCTURE



Section 1.2: FAO Human Resources Architecture



JPs, APOs and seconded technical experts are staff.
Interns are non-staff, as well as editors, translators, interpreters, volunteers, casual labor, national correspondents, Government-provided resources, etc.

Annex 2: Chronology of Transformation

This annex provides a chronology of the FAO transformation process (text below and Figure 2.1).

The key milestones shown below and illustrated in Figure 2.1 on the following page have been drawn from the documents prepared for the 144th, 145th, and 153rd sessions of the Council and the 38th and 39th Conference.

- New Director-General Arrives January 2012

144th Council Session, June 11-15, 2012

- Consultative Strategic Thinking Process launched to review and update Strategic Framework 2010-19 and continues through 2012-13.
- Savings from abolition of 88 HQ posts reallocated towards decentralized office network (31 posts at DOs and 3 at HQ)

145th Council, December 3-7, 2012

- Enhancement of the Technical Cooperation Programme (TCP)- CPFs established and to be negotiated by FAORs; and TCPs to be managed by Regional Representatives
- Transformational Changes in the 2012-13 Biennium – Shift from HQ to DOs and from GS to P within existing post count; and functions of the Technical Cooperation Department (TC) are refocused to offer crosscutting support to FAO programmes, technical departments and decentralized offices.

38th Conference, June 15-22, 2013

- Reviewed Strategic Framework identified 5 new SOs and a sixth objective related to technical quality, knowledge, and services; technical department charged with enhancing FAO technical capacities and managing professional matters and needs of technical staff in all locations.
- Medium Term Plan 2014-17 and Programme of Work and Budget 2014-15 Proposed further transformational change adjustments to the organization's structure to better align it with the reoriented strategic direction

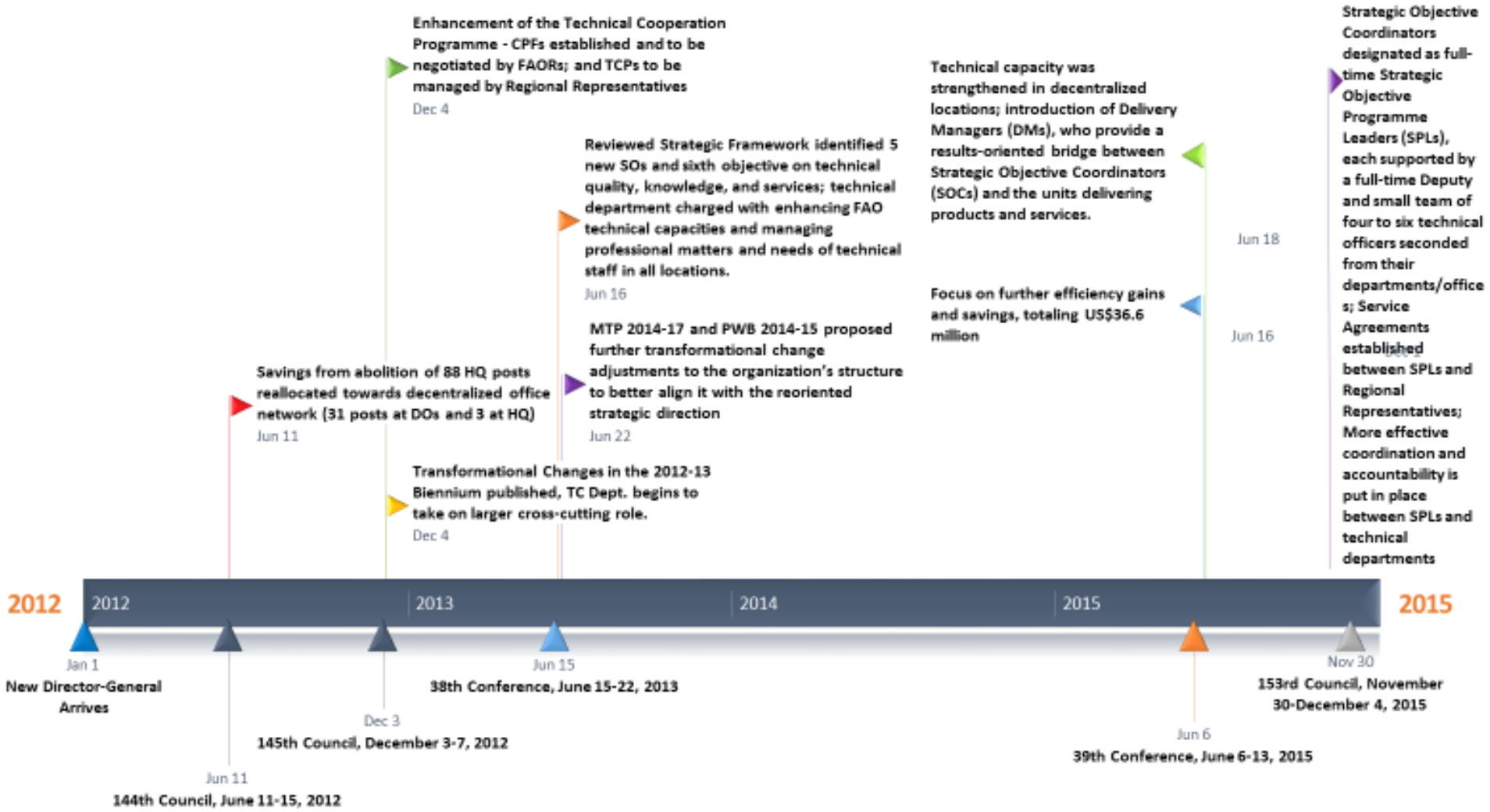
39th Conference, June 6-13, 2015

- Focus on further efficiency gains and savings, totaling US$36.6 million
- Technical capacity was strengthened in decentralized locations; introduction of Delivery Managers (DMs), who provide a results-oriented bridge between Strategic Objective Coordinators and the units delivering products and services.

153rd Council November 30 – December 4, 2015

- Strategic Objective Coordinators designated as full-time Strategic Objective Programme Leaders (SPLs), each supported by a full-time Deputy and small team of four to six technical officers seconded from their departments/offices; Service Agreements established between SPLs and Regional Representatives; More effective coordination and accountability is put in place between SPLs and technical departments

Figure 2.1: Chronology of the FAO Reforms



Annex 3: Human Resource Capacity

This annex provides an overview of FAO's staff numbers during the period covered by this study. It begins with Section 3.1, discussing staffing levels. Section 3.1 contains six summary tables. Tables 3.1.1, 3.1.2, and 3.1.3 provide the number of posts and headcount for PWB staff for HQ, DO, and in Total. Tables 3.1.4, 3.1.5, and 3.1.6 provide the same data for Non-PWB positions, though without the post/headcount distinction, which only applies to PWB positions. Those three tables also break down Non-PWB funding into General Fund and Trust Fund categories. After the six initial tables, a brief section of text and Tables 3.1.7 and 3.1.8 focus on changes within key organizational units. Finally, Table 3.1.9 defines the specialization categories referenced in Tables 3.3 and 3.7 of Chapter 3.

For each year, headcount was measured on and is shown in this annex as of April 1st. For the purposes of the tables in the text of the report, the data for 2016 has been updated to include changes in headcount through December 31, 2016. This gives rise to a divergence between the updated text of the report and these annex tables in some cases.

Next, Section 3.2 deals with the age, educational qualifications, and experience of FAO staff. Tables 3.2.1 and 3.2.2 deal with age, Table 3.2.3 with recruitment, Table 3.2.4 with educational qualifications, and Table 3.2.5 with experience.

Section 3.3 of the annex covers non-staff human resource (NSHR) capacity, and contains Tables 3.3.1, 3.3.2, and 3.3.3 which give an overview of NSHR by HQ, DO, and in Total.

All data in this annex was provided to the consultants by the FAO Secretariat.

Section 3.1: Technical Staff Capacity

Table 3.1.1: PWB Staff at HQ

Grade-level												
Category	**Headquarters**								**HQ Change 2012-2016**			
	PWB 2012		Trans. Change 12		PWB 2014		PWB 2016		Count		Percent	
	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount
D	80	67	79	66	72	61	71	58	-9	-9	-11.3%	-13.4%
P	882	689	867	691	841	620	850	563	-32	-126	-3.6%	-18.3%
D and P level simple addition	962	756	946	757	913	681	921	621	-41	-135	-4.3%	-17.9%
D and P level outposting and CSS	932	756	906	757	836	681	835	621	-97	-135	-10.4%	-17.9%
N	13	0	5	0	1	0	1	0	-12	0	-92.3%	-
D+P+N subtotal	975	756	951	757	914	681	922	621	-53	-135	-5.4%	-17.9%
GS	883	677	783	677	728	573	703	496	-180	-181	-20.4%	-26.7%
TOTAL	1858	1433	1734	1434	1642	1254	1625	1117	-233	-316	-12.5%	-22.1%
Category												
Category	**Headquarters**								**HQ Change 2012-2016**			
	PWB 2012		Trans. Change 12		PWB 2014		PWB 2016		Count		Percent	
	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount
Core Technical	533	442	551	457	550	444	556	408	23	-34	4.3%	-7.7%
Enabling Technical	276	224	245	212	192	160	185	143	-91	-81	-33.0%	-36.2%
Core + Enabling Technical	809	666	796	669	742	604	741	551	-68	-115	-8.4%	-17.3%
Administrative Support	122	90	109	88	93	77	93	70	-29	-20	-23.8%	-22.2%
TOTAL	932	756	906	757	836	681	835	621	-97	-135	-10.4%	-17.9%
Of Core Technical												
Advocacy & Capacity Dev.	1	1	2	1	5	3	10	7	9	6	900.0%	600.0%
Agriculture	66	58	68	58	69	51	56	43	-10	-15	-15.2%	-25.9%
Development Law	8	5	7	5	7	6	8	6	0	1	0.0%	20.0%
Economic & Social Development	19	18	22	20	16	14	19	14	0	-4	0.0%	-22.2%
Economics	102	80	101	79	92	75	96	66	-6	-14	-5.9%	-17.5%
Environment, Natural Resources, and Climate Change	26	21	28	23	28	24	25	16	-1	-5	-3.8%	-23.8%

Fishery and Aquaculture	58	50	60	51	59	44	61	43	3	-7	5.2%	-14.0%
Forestry	40	36	42	37	42	31	43	37	3	1	7.5%	2.8%
Info and Knowledge Management	24	20	28	25	46	37	46	32	22	12	91.7%	60.0%
Land and Water Management	22	18	24	19	23	19	21	17	-1	-1	-4.5%	-5.6%
Land Tenure	4	4	5	4	4	2	4	4	0	0	0.0%	0.0%
Livestock	27	23	26	23	26	24	23	16	-4	-7	-14.8%	-30.4%
Nutrition and Food Safety	28	22	31	24	28	24	34	26	6	4	21.4%	18.2%
Statistics	30	24	30	24	29	25	29	22	-1	-2	-3.3%	-8.3%
Technical Cooperation	31	22	29	23	29	23	37	24	6	2	19.4%	9.1%
Technical Management	47	40	48	41	47	42	44	35	-3	-5	-6.4%	-12.5%
TOTAL	533	442	551	457	550	444	556	408	23	-34	4.3%	-7.7%

Table 3.1.2: PWB Staff at DOs

Grade-level												
Category	**Decentralized Offices**								**DO Change 2012-2016**			
	PWB 2012		Trans. Change 12		PWB 2014		PWB 2016		Count		Percent	
	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount
D	56	47	56	46	54	51	54	51	-2	4	-3.6%	8.5%
P	252	205	290	220	281	236	297	293	45	88	17.9%	42.9%
D and P level simple addition	308	252	346	266	335	287	351	344	43	92	14.0%	36.5%
D and P level outposting and CSS	338	252	336	266	412	287	437	344	99	92	29.3%	36.5%
N	173	157	189	157	197	174	206	172	33	15	19.1%	9.6%
D+P+N subtotal	481	409	535	423	532	461	557	516	76	107	15.8%	26.2%
GS	778	760	781	760	772	735	764	691	-14	-69	-1.8%	-9.1%
TOTAL	1259	1169	1316	1183	1304	1196	1321	1207	62	38	4.9%	3.3%
Category												
Category	**Decentralized Offices**								**DO Change 2012-2016**			
	PWB 2012		Trans. Change 12		PWB 2014		PWB 2016		Count		Percent	
	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount
Core Technical	277	211	321	226	356	248	378	299	101	88	36.5%	41.7%
Enabling Technical	28	19	34	20	21	15	23	20	-5	1	-17.9%	5.3%
Core + Enabling Technical	305	230	355	246	377	263	401	319	96	89	31.5%	38.7%
Administrative Support	33	22	31	20	35	24	36	25	3	3	9.1%	13.6%
TOTAL	338	252	336	266	412	287	437	344	99	92	29.3%	36.5%
Of Core Technical												
Advocacy & Capacity Dev.	0	0	1	0	0	0	0	0	0	0	-	-
Agriculture	19	15	19	16	29	21	30	23	11	8	57.9%	53.3%
Development Law	0	0	0	0	2	0	3	3	3	3	-	-
Economic & Social Development	2	0	2	0	6	2	6	5	4	5	200.0%	-
Economics	25	15	25	15	38	19	48	36	23	21	92.0%	140.0%
Environment, Natural Resources, and Climate Change	15	13	17	14	20	13	21	18	6	5	40.0%	38.5%
Fishery and Aquaculture	17	11	18	12	23	14	23	16	6	5	35.3%	45.5%
Forestry	19	16	20	17	18	18	19	18	0	2	0.0%	12.5%

Info and Knowledge Management	8	7	10	7	12	8	6	5	-2	-2	-25.0%	-28.6%
Land and Water Management	13	8	14	8	13	9	13	9	0	1	0.0%	12.5%
Land Tenure	3	3	3	3	4	2	4	4	1	1	33.3%	33.3%
Livestock	17	15	17	15	17	12	19	14	2	-1	11.8%	-6.7%
Nutrition and Food Safety	7	4	13	6	9	7	12	11	5	7	71.4%	175.0%
Statistics	5	5	4	4	6	5	8	6	3	1	60.0%	20.0%
Technical Cooperation	36	28	57	33	56	28	58	35	22	7	61.1%	25.0%
Technical Management	91	71	101	76	103	90	108	96	17	25	18.7%	35.2%
TOTAL	277	211	321	226	356	248	378	299	101	88	36.5%	41.7%

Table 3.1.3: PWB Staff - TOTAL

Grade-level												
Category	**TOTAL**								**TOTAL Change 2012-2016**			
	PWB 2012		Trans. Change 12		PWB 2014		PWB 2016		Count		Percent	
	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount
D	136	114	135	112	126	112	125	109	-11	-5	-8.1%	-4.4%
P	1134	894	1157	911	1122	856	1147	856	13	-38	1.1%	-4.3%
D and P level simple addition	1270	1008	1292	1023	1248	968	1272	965	2	-43	0.2%	-4.3%
D and P level outposting and CSS	1270	1008	1242	1023	1248	968	1272	965	2	-43	0.2%	-4.3%
N	186	157	194	157	198	174	207	172	21	15	11.3%	9.6%
D+P+N subtotal	1456	1165	1486	1180	1446	1142	1479	1137	23	-28	1.6%	-2.4%
GS	1661	1437	1564	1437	1500	1308	1466	1187	-195	-250	-11.7%	-17.4%
TOTAL	3117	2602	3050	2617	2946	2450	2945	2324	-172	-278	-5.5%	-10.7%
Category												
Category	**TOTAL**								**TOTAL Change 2012-2016**			
	PWB 2012		Trans. Change 12		PWB 2014		PWB 2016		Count		Percent	
	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount	Posts	Headcount
Core Technical	810	653	872	683	906	692	934	707	124	54	15.3%	8.3%
Enabling Technical	304	243	279	232	213	175	208	163	-96	-80	-31.6%	-32.9%
Core + Enabling Technical	1114	896	1151	915	1119	867	1142	870	28	-26	2.5%	-2.9%
Administrative Support	155	112	140	108	128	101	129	95	-26	-17	-16.8%	-15.2%
TOTAL	1270	1008	**1242**	**1023**	**1248**	**968**	1272	965	2	-43	0.2%	-4.3%
Of Core Technical												
Advocacy & Capacity Dev.	1	1	3	1	5	3	10	7	9	6	900.0%	600.0%
Agriculture	85	73	87	74	98	72	86	66	1	-7	1.2%	-9.6%
Development Law	8	5	7	5	9	6	11	9	3	4	37.5%	80.0%
Economic & Social Development	21	18	24	20	22	16	25	19	4	1	19.0%	5.6%
Economics	127	95	126	94	130	94	144	102	17	7	13.4%	7.4%
Environment, Natural Resources, and Climate Change	41	34	45	37	48	37	46	34	5	0	12.2%	0.0%
Fishery and Aquaculture	75	61	78	63	82	58	84	59	9	-2	12.0%	-3.3%
Forestry	59	52	62	54	60	49	62	55	3	3	5.1%	5.8%
Info and Knowledge Management	32	27	38	32	58	45	52	37	20	10	62.5%	37.0%

Land and Water Management	35	26	38	27	36	28	34	26	-1	0	-2.9%	0.0%
Land Tenure	7	7	8	7	8	4	8	8	1	1	14.3%	14.3%
Livestock	44	38	43	38	43	36	42	30	-2	-8	-4.5%	-21.1%
Nutrition and Food Safety	35	26	44	30	37	31	46	37	11	11	31.4%	42.3%
Statistics	35	29	34	28	35	30	37	28	2	-1	5.7%	-3.4%
Technical Cooperation	67	50	86	56	85	51	95	59	28	9	41.8%	18.0%
Technical Management	138	111	149	117	150	132	152	131	14	20	10.1%	18.0%
TOTAL	810	653	872	683	906	692	934	707	124	54	15.3%	8.3%

Table 3.1.4: Non-PWB Staff at HQ

Grade-level																					
Category	**Headquarters**															**HQ Change 2012-2016**					
	2012			2013			2014			2015			2016			Count			Percent		
	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All
D	7	9	16	4	9	13	4	10	14	4	8	12	3	9	12	-4	0	-4	-57%	0%	-25%
P	128	275	403	117	271	388	88	246	334	92	257	349	81	275	356	-47	0	-47	-37%	0%	-12%
D and P level	135	284	419	121	280	401	92	256	348	96	265	361	84	284	368	-51	0	-51	-38%	0%	-12%
GS	92	92	184	99	70	169	89	63	152	82	69	151	72	81	153	-20	-11	-31	-22%	-12%	-17%
TOTAL	227	376	603	220	350	570	181	319	500	178	334	512	156	365	521	-71	-11	-82	-31%	-3%	-14%
Category																					
Category	**Headquarters**															**HQ Change 2012-2016**					
	2012			2013			2014			2015			2016			Count			Percent		
	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All
Core Technical	38	219	257	30	230	260	41	208	249	45	223	268	37	240	277	-1	21	20	-3%	10%	8%
Enabling Technical	45	48	93	45	41	86	25	40	65	28	35	63	28	37	65	-17	-11	-28	-38%	-23%	-30%
Core + Enabling Technical	83	267	350	75	271	346	66	248	314	73	258	331	65	277	342	-18	10	-8	-22%	4%	-2%
Administrative Support	52	17	69	46	9	55	26	8	34	23	7	30	19	7	26	-33	-10	-43	-63%	-59%	-62%
TOTAL	135	284	**419**	**121**	**280**	**401**	**92**	**256**	**348**	**96**	**265**	**361**	84	284	**368**	-51	0	-51	-38%	0%	-12%
Of Core Technical																					
Advocacy & Capacity Dev.	0	0	0	0	0	0	2	3	5	0	1	1	1	5	6	1	5	6	-	-	-
Agriculture	6	35	41	3	36	39	5	22	27	2	23	25	4	19	23	-2	-16	-18	-33%	-46%	-44%
Development Law	3	3	6	5	2	7	6	1	7	5	1	6	0	1	1	-3	-2	-5	-100%	-67%	-83%
Economic & Social Development	0	4	4	0	4	4	3	6	9	2	6	8	2	12	14	2	8	10	-	200%	250%
Economics	14	17	31	10	27	37	10	27	37	15	34	49	14	27	41	0	10	10	0%	59%	32%
Environment, Natural Resources, and Climate Change	1	21	22	0	27	27	1	38	39	3	34	37	5	26	31	4	5	9	400%	24%	41%

Fishery and Aquaculture	1	16	17	2	18	20	5	16	21	5	14	19	3	20	23	2	4	6	200%	25%	35%
Forestry	0	32	32	0	35	35	1	27	28	1	34	35	2	32	34	2	0	2	-	0%	6%
Info and Knowledge Management	0	0	0	2	2	4	0	0	0	3	0	3	1	0	1	1	0	1	-	-	-
Land and Water Management	0	4	4	0	4	4	0	4	4	1	2	3	0	9	9	0	5	5	-	125%	125%
Land Tenure	3	4	7	0	5	5	1	5	6	1	7	8	0	0	0	-3	-4	-7	-100%	-100%	-100%
Livestock	2	18	20	2	11	13	1	11	12	0	9	9	1	10	11	-1	-8	-9	-50%	-44%	-45%
Nutrition and Food Safety	0	6	6	1	5	6	2	8	10	2	17	19	1	33	34	1	27	28	-	450%	467%
Statistics	6	5	11	3	12	15	2	13	15	1	15	16	0	15	15	-6	10	4	-100%	200%	36%
Technical Cooperation	0	46	46	0	33	33	0	22	22	0	22	22	0	23	23	0	-23	-23	-	-50%	-50%
Technical Management	2	8	10	2	9	11	2	5	7	4	4	8	3	8	11	1	0	1	50%	0%	10%
TOTAL	38	219	257	30	230	260	41	208	249	45	223	268	37	240	277	-1	21	20	-3%	10%	8%

Table 3.1.5: Non-PWB Staff at DOs

Grade-level																					
Category	**Decentralized Offices**															**DO Change 2012-2016**					
	2012			2013			2014			2015			2016			Count			Percent		
	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All
D	1	5	6	1	7	8		5	5		5	5	3	2	5	2	-3	-1	200%	-60%	-17%
P	15	236	251	23	225	248	32	243	275	50	232	282	56	207	263	41	-29	12	273%	-12%	5%
D and P level	16	241	257	24	232	256	32	248	280	50	237	287	59	209	268	43	-32	11	269%	-13%	4%
GS	50	112	162	57	89	146	44	89	133	45	77	122	43	68	111	-7	-44	-51	-14%	-39%	-31%
TOTAL	66	353	419	81	321	402	76	337	413	95	314	409	102	277	379	36	-76	-40	55%	-22%	-10%
Category																					
Category	**Decentralized Offices**															**DO Change 2012-2016**					
	2012			2013			2014			2015			2016			Count			Percent		
	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All
Core Technical	5	179	184	13	164	177	12	170	182	24	142	166	28	128	156	23	-51	-28	460%	-28%	-15%
Enabling Technical	9	44	53	7	52	59	14	59	73	16	74	90	18	71	89	9	27	36	100%	61%	68%
Core + Enabling Technical	14	223	237	20	216	236	26	229	255	40	216	256	46	199	245	32	-24	8	229%	-11%	3%
Administrative Support	2	18	20	4	16	20	6	19	25	10	21	31	13	10	23	11	-8	3	550%	-44%	15%
TOTAL	16	241	**257**	**24**	**232**	**256**	**32**	**248**	**280**	**50**	**237**	**287**	59	209	**268**	43	-32	11	269%	-13%	4%
Of Core Technical																					
Advocacy & Capacity Dev.	0	0	0	0	0	0	0	0	0	0	0	0	0	2	2	0	2	2	-	-	-
Agriculture	3	16	19	1	11	12	1	11	12	2	8	10	3	9	12	0	-7	-7	0%	-44%	-37%
Development Law	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	-	-	-
Economic & Social Development	0	6	6	0	5	5	1	3	4	1	2	3	0	2	2	0	-4	-4	-	-67%	-67%
Economics	0	19	19	2	12	14	1	10	11	2	7	9	2	14	16	2	-5	-3	-	-26%	-16%
Environment, Natural Resources, and Climate Change	0	6	6	0	9	9	0	8	8	0	6	6	3	7	10	3	1	4	-	17%	67%

Fishery and Aquaculture	0	13	13	0	16	16	0	12	12	0	12	12	1	10	11	1	-3	-2	-	-23%	-15%
Forestry	0	12	12	1	9	10	1	17	18	2	17	19	0	20	20	0	8	8	-	67%	67%
Info and Knowledge Management	0	0	0	1	0	1	0	1	1	0	0	0	0	0	0	0	0	0	-	-	-
Land and Water Management	0	5	5	1	4	5	0	4	4	0	6	6	0	2	2	0	-3	-3	-	-60%	-60%
Land Tenure	0	0	0	0	0	0	0	0	0	0	4	4	0	2	2	0	2	2	-	-	-
Livestock	0	13	13	0	9	9	0	6	6	1	5	6	1	4	5	1	-9	-8	-	-69%	-62%
Nutrition and Food Safety	1	6	7	2	11	13	1	15	16	1	13	14	1	10	11	0	4	4	0%	67%	57%
Statistics	0	1	1	1	0	1	1	0	1	0	3	3	0	1	1	0	0	0	-	0%	0%
Technical Cooperation	0	70	70	1	56	57	2	43	45	4	25	29	5	22	27	5	-48	-43	-	-69%	-61%
Technical Management	1	12	13	3	22	25	4	40	44	11	34	45	12	23	35	11	11	22	1100%	92%	169%
TOTAL	5	179	184	13	164	177	12	170	182	24	142	166	28	128	156	23	-51	-28	460%	-28%	-15%

Table 3.1.6: Non-PWB Staff - TOTAL

Grade-level																					
Category	**TOTAL**															**TOTAL Change 2012-2016**					
	2012			2013			2014			2015			2016			Count			Percent		
	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All
D	8	14	22	5	16	21	4	15	19	4	13	17	6	11	19	-2	-3	-3	-25%	-21%	-14%
P	143	511	654	140	496	636	120	489	609	142	489	631	137	482	617	-6	-29	-37	-4%	-6%	-6%
D and P level	151	525	676	145	512	657	124	504	628	146	502	648	143	493	636	-8	-32	-40	-5%	-6%	-6%
GS	142	204	346	156	159	315	133	152	285	127	146	273	115	149	264	-27	-55	-82	-19%	-27%	-24%
TOTAL	293	729	1022	301	671	972	257	656	913	273	648	921	258	642	900	-35	-87	-122	-12%	-12%	-12%
Category																					
Category	**TOTAL**															**TOTAL Change 2012-2016**					
	2012			2013			2014			2015			2016			Count			Percent		
	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All
Core Technical	43	398	441	43	394	437	53	378	431	69	365	434	65	368	433	22	-30	-8	51%	-8%	-2%
Enabling Technical	54	92	146	52	93	145	39	99	138	44	109	153	46	108	154	-8	16	8	-15%	17%	5%
Core + Enabling Technical	97	490	587	95	487	582	92	477	569	113	474	587	111	476	587	14	-14	0	14%	-3%	0%
Administrative Support	54	35	89	50	25	75	32	27	59	33	28	61	32	17	49	-22	-18	-40	-41%	-51%	-45%
TOTAL	151	525	**676**	**145**	**512**	**657**	**124**	**504**	**628**	**146**	**502**	**648**	143	493	**636**	-8	-32	-40	-5%	-6%	-6%
Of Core Technical																					
Advocacy & Capacity Dev.	0	0	0	0	0	0	2	3	5	0	1	1	1	7	8	1	7	8	-	-	-
Agriculture	9	51	60	4	47	51	6	33	39	4	31	35	7	28	35	-2	-23	-25	-22%	-45%	-42%
Development Law	3	3	6	5	2	7	6	1	7	5	1	6	0	1	1	-3	-2	-5	-100%	-67%	-83%
Economic & Social Development	0	10	10	0	9	9	4	9	13	3	8	11	2	14	16	2	4	6	-	40%	60%
Economics	14	36	50	12	39	51	11	37	48	17	41	58	16	41	57	2	5	7	14%	14%	14%
Environment, Natural Resources, and Climate Change	1	27	28	0	36	36	1	46	47	3	40	43	8	33	41	7	6	13	700%	22%	46%

Fishery and Aquaculture	1	29	30	2	34	36	5	28	33	5	26	31	4	30	34	3	1	4	300%	3%	13%
Forestry	0	44	44	1	44	45	2	44	46	3	51	54	2	52	54	2	8	10	-	18%	23%
Info and Knowledge Management	0	0	0	3	2	5	0	1	1	3	0	3	1	0	1	1	0	1	-	-	-
Land and Water Management	0	9	9	1	8	9	0	8	8	1	8	9	0	11	11	0	2	2	-	22%	22%
Land Tenure	3	4	7	0	5	5	1	5	6	1	11	12	0	2	2	-3	-2	-5	-100%	-50%	-71%
Livestock	2	31	33	2	20	22	1	17	18	1	14	15	2	14	16	0	-17	-17	0%	-55%	-52%
Nutrition and Food Safety	1	12	13	3	16	19	3	23	26	3	30	33	2	43	45	1	31	32	100%	258%	246%
Statistics	6	6	12	4	12	16	3	13	16	1	18	19	0	16	16	-6	10	4	-100%	167%	33%
Technical Cooperation	0	116	116	1	89	90	2	65	67	4	47	51	5	45	50	5	-71	-66	-	-61%	-57%
Technical Management	3	20	23	5	31	36	6	45	51	15	38	53	15	31	46	12	11	23	400%	55%	100%
TOTAL	43	398	441	43	394	437	53	378	431	69	365	434	65	368	433	22	-30	-8	51%	-8%	-2%

Technical Departments. This assessment is focused on technical capacity. To that end, the next two tables take a closer look at the departments that are mainly technical in nature: Agriculture, Natural Resources, Economic and Social Development, Fisheries, and Forestry. The first table provides an overview of the entire staff of each department, including Director, Professional, National, and General Service staff. The second table is more specific, only taking into account P+ level staff and breaking them down by role – core technical, enabling technical, and administrative support.[34]

[34] Due to organizational changes during the assessment period, there are data gaps in the Natural Resources Department.

Table 3.1.7: Technical Departments, all PWB

		PWB 2012-13 (Conference June 2011, C2011/3)	PWB 2012-13 (Adjustments and Transformational Changes CL 143/3, CL 144/3, CL 145/3)	PWB 2014-15 (C 2013/3 and CL 148/3)	PWB 2016-17 (CL 153/3)	Change #	Change %
Agriculture	**D**	**11**	**9**	**10**	**10**	**-1**	**-9%**
	P	132	117	116	110	-22	-17%
	N	0	0	0	0	0	n/a
	G	83	74	71	72	-11	-13%
	Total	**226**	**200**	**197**	**192**	**-34**	**-15%**
Natural Resources	**D**	**6**	**6**	**6**	**4**	**-2**	**-33%**
	P	42	53	54	21	-21	-50%
	N	0	0	0	0	0	n/a
	G	30	37	36	17	-13	-43%
	Total	**78**	**96**	**96**	**42**	**-36**	**-46%**
Agriculture & Natural Resources	**D**	**17**	**15**	**16**	**14**	**-3**	**-18%**
	P	174	170	170	131	-43	-25%
	N	0	0	0	0	0	n/a
	G	113	111	107	89	-24	-21%
	Total	**304**	**296**	**293**	**234**	**-70**	**-23%**
Economic and Social	**D**	**9**	**12**	**11**	**12**	**3**	**33%**
	P	99	120	119	144	45	45%
	N	0	0	0	0	0	n/a
	G	76	81	85	86	10	13%
	Total	**184**	**213**	**215**	**242**	**58**	**32%**
Fisheries	**D**	**6**	**6**	**5**	**4**	**-2**	**-33%**
	P	69	68	68	69	0	0%
	N	0	0	0	0	0	n/a
	G	54	51	52	51	-3	-6%
	Total	**129**	**125**	**125**	**124**	**-5**	**-4%**
Forestry	**D**	**5**	**5**	**4**	**3**	**-2**	**-40%**
	P	44	43	44	43	-1	-2%
	N	0	0	0	0	0	n/a
	G	25	23	23	23	-2	-8%
	Total	**74**	**71**	**71**	**69**	**-5**	**-7%**
Grand Total	**D**	**37**	**38**	**30**	**33**	**-4**	**-11%**
	P	386	401	347	387	1	0%
	N	0	0	0	0	0	n/a
	G	268	266	231	249	-19	-7%
	Total	**691**	**705**	**608**	**669**	**-22**	**-3%**

Table 3.1.8: Technical Departments, D+P Staff

		PWB 2012-13 (Conference June 2011, C2011/3)	PWB 2012-13 (Adjustments and Transformational Changes CL 143/3, CL 144/3, CL 145/3)	PWB 2014-15 (CL 148/3)	PWB 2016-17 (CL 153/3)	Change #	Change %
Agriculture & Natural Resources	**1. Core Technical**	**186**	**181**	**124**	**134**	**-52**	**-28%**
	2. Enabling Technical	4	4	2	2	-2	-50%
	3. Administrative Support	1	0	0	0	-1	-100%
	Total	**191**	**185**	**126**	**136**	**-55**	**-29%**
Economic and Social	**1. Core Technical**	**106**	**131**	**128**	**156**	**50**	**47%**
	2. Enabling Technical	2	1	1	1	-1	-50%
	3. Administrative Support					0	n/a
	Total	**108**	**132**	**129**	**157**	**49**	**45%**
Fisheries	**1. Core Technical**	**73**	**72**	**72**	**72**	**-1**	**-1%**
	2. Enabling Technical	2	2	1	1	-1	-50%
	3. Administrative Support					0	n/a
	Total	**75**	**74**	**73**	**73**	**-2**	**-3%**
Forestry	**1. Core Technical**	**48**	**46**	**47**	**45**	**-3**	**-6%**
	2. Enabling Technical	1	2	1	1	0	0%
	3. Administrative Support					0	n/a
	Total	**49**	**48**	**48**	**46**	**-3**	**-6%**
Grand Total	**1. Core Technical**	**413**	**430**	**371**	**407**	**-6**	**-1%**
	2. Enabling Technical	9	9	5	5	-4	-44%
	3. Administrative Support	1	0	0	0	-1	-100%
	Total	**423**	**439**	**376**	**412**	**-11**	**-3%**

Table 3.1.9: Aggregation of technical areas and enabling functions per main specialties

In terms of technical areas of work, the technical staff are classified by position title, aggregated into standard groups based on main areas of work, as shown in Table 1. These aggregated categories offer the possibility to uniquely assign staff to a single category, to simplify analysis.

Main technical area or enabling function	Specialties (as per the position title)
Advocacy and Capacity Development	Advocacy; capacity development; communication for development; partnerships
Agriculture	Agribusiness; agri-food systems; agricultural engineering, extension, finance, planning, policy support, research; agronomy; crop assessment, production, protection, irrigation; farming systems; IPM; locusts; plant production; plant protection; post-harvest
Developmental Law	Legal counsel, legal matters
Economic and Social Development	Gender; planning; policy analysis; population policy; rural credit, development, employment, finance, institutions, livelihoods, sociology; social protection; socio-economics
Economics	Economics of agribusiness, agriculture, agro-food, agro-industry, commodities and trade, environment, food security, food systems, infrastructure, irrigation; natural resources; enterprise development; finance and credit; investment; marketing; markets; policy; value chain
Environment, Natural Resources and Climate Change	Bio-energy; climate change; environment; natural resources management
Fishery and Aquaculture	Aquaculture; fisheries; fishery liaison, industry, planning, resources inland and marine; post-harvest
Forestry	Forestry; forest resources management, tenure, timber
Info and Knowledge Management	Communication; documentation; information resources; knowledge management; publishing
Land and Water Management	Land and water development; irrigation engineering; land and natural resources tenure; land management; water resources management; soil resources
Land Tenure	Land management and tenure
Livestock	Animal health, production; livestock development, industry, policy; veterinary health, epidemiologist
Nutrition and Food Safety	Consumer protection; food quality, safety, security, standards, systems; Nutrition
Statistics	Statistics
Technical cooperation	Emergency operations; emergency rehabilitation; humanitarian policy; investment; policy support; resilience; partnership; programme coordination, development, monitoring; project analysis; resource mobilization; south-south cooperation

Main technical area or enabling function	**Specialties (as per the position title)**
Technical management	Deputy Director-General; Assistant Director–General; Director; Deputy Director; Chief; Subregional Coordinator; FAO Representative; Deputy FAO Representative, Technical Advisor, Coordinator; Manager; Team Leader

Section 3.2: Age, Education, and Experience of Staff

Table 3.2.1: Age of Staff, actual

	2012		2013		2014		2015		2016		Change	
	PWB	Non-PWB	PWB	Non-PWB	PWB	Non-PWB	PWB	Non-PWB	PWB	Non-PWB	PWB	Non-PWB
Age 29 and less	**6**	**21**	**3**	**15**	**4**	**15**	**9**	**21**	**7**	**20**	**1**	**-1**
Core Technical	6	16	3	11	4	12	9	17	6	17		
Enabling Technical				3		2		3	1	2		
Support		5		1		1		1		1		
Age 30 to 39	**130**	**227**	**114**	**211**	**104**	**186**	**103**	**185**	**111**	**181**	**-19**	**-46**
Core Technical	73	194	69	181	65	163	69	169	80	169		
Enabling Technical	39	11	32	10	23	9	21	6	19	7		
Support	18	22	13	20	16	14	13	10	12	5		
Age 40 to 49	**326**	**230**	**304**	**242**	**286**	**227**	**278**	**239**	**299**	**232**	**-27**	**2**
Core Technical	197	189	172	201	182	208	177	215	196	207		
Enabling Technical	84	20	82	19	64	6	61	8	64	8		
Support	45	21	50	22	40	13	40	16	39	17		
Age 50 to 61	**559**	**195**	**576**	**189**	**572**	**200**	**567**	**201**	**541**	**196**	**-18**	**1**
Core Technical	407	174	422	172	439	185	434	189	419	181		
Enabling Technical	107	6	109	6	88	5	86	3	78	5		
Support	45	15	45	11	45	10	47	9	44	10		
Age 62 and more	**2**	**3**	**1**		**2**		**4**	**2**	**7**	**7**	**5**	**4**
Core Technical		2			2		4	2	6	6		
Enabling Technical	2		1						1	1		
Support		1										

Table 3.2.2: Age of Staff, percent

	2012		2013		2014		2015		2016		Change	
	PWB	Non-PWB	PWB	Non-PWB	PWB	Non-PWB	PWB	Non-PWB	PWB	Non-PWB	PWB	Non-PWB
Age 29 and less	**0.6%**	**3.1%**	**0.3%**	**2.3%**	**0.4%**	**2.4%**	**0.9%**	**3.2%**	**0.7%**	**3.1%**	**17%**	**-4.8%**
Core Technical	0.6%	2.4%	0.3%	1.7%	0.4%	1.9%	0.9%	2.6%	0.6%	2.7%		
Enabling Technical	0.0%	0.0%	0.0%	0.5%	0.0%	0.3%	0.0%	0.5%	0.1%	0.3%		
Support	0.0%	0.7%	0.0%	0.2%	0.0%	0.2%	0.0%	0.2%	0.0%	0.2%		
Age 30 to 39	**12.7%**	**33.6%**	**11.4%**	**32.1%**	**10.7%**	**29.6%**	**10.7%**	**28.5%**	**11.5%**	**28.5%**	**-15%**	**-20.3%**
Core Technical	7.1%	28.7%	6.9%	27.5%	6.7%	26.0%	7.2%	26.1%	8.3%	26.6%		
Enabling Technical	3.8%	1.6%	3.2%	1.5%	2.4%	1.4%	2.2%	0.9%	2.0%	1.1%		
Support	1.8%	3.3%	1.3%	3.0%	1.7%	2.2%	1.4%	1.5%	1.2%	0.8%		
Age 40 to 49	**31.9%**	**34.0%**	**30.5%**	**36.8%**	**29.5%**	**36.1%**	**28.9%**	**36.9%**	**31.0%**	**36.5%**	**-8%**	**0.9%**
Core Technical	19.3%	28.0%	17.2%	30.6%	18.8%	33.1%	18.4%	33.2%	20.3%	32.5%		
Enabling Technical	8.2%	3.0%	8.2%	2.9%	6.6%	1.0%	6.3%	1.2%	6.6%	1.3%		
Support	4.4%	3.1%	5.0%	3.3%	4.1%	2.1%	4.2%	2.5%	4.0%	2.7%		
Age 50 to 61	**54.6%**	**28.8%**	**57.7%**	**28.8%**	**59.1%**	**31.8%**	**59.0%**	**31.0%**	**56.1%**	**30.8%**	**-3%**	**0.5%**
Core Technical	39.8%	25.7%	42.3%	26.2%	45.4%	29.5%	45.2%	29.2%	43.4%	28.5%		
Enabling Technical	10.5%	0.9%	10.9%	0.9%	9.1%	0.8%	8.9%	0.5%	8.1%	0.8%		
Support	4.4%	2.2%	4.5%	1.7%	4.6%	1.6%	4.9%	1.4%	4.6%	1.6%		
Age 62 and more	**0.2%**	**0.4%**	**0.1%**	**0.0%**	**0.2%**	**0.0%**	**0.4%**	**0.3%**	**0.7%**	**1.1%**	**250%**	**133.3%**
Core Technical	0.0%	0.3%	0.0%	0.0%	0.2%	0.0%	0.4%	0.3%	0.6%	0.9%		
Enabling Technical	0.2%	0.0%	0.1%	0.0%	0.0%	0.0%	0.0%	0.0%	0.1%	0.2%		
Support	0.0%	0.1%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%		

Table 3.2.3: Education and Experience of new FAO recruits by year

Qualification	2010	2013	2015
BA/B.Sc or BBA	6	4	1
MA/M.Sc. or MBA	34	20	30
PhD	29	22	28
Grand Total	***69***	***46***	***59***
Percent above bachelor's	*91%*	*91%*	*98%*
Percent above master's	*42%*	*47%*	*47%*
Average Years of Professional Experience per Recruit	16	20	18

Table 3.2.4: Education of current FAO staff

Category	BA or equivalent	BBA or equivalent	BSc or equivalent	MA or equivalent	MBA or equivalent	MSc or equivalent	PhD or equivalent	PostDoc or equivalent	Grand Total
Core Technical	8	1	16	61	20	266	301	20	693
Enabling Technical	18	3	10	39	26	52	9	1	158
Administrative Support	11	7	3	21	30	18	5	0	95
Grand Total	***37***	***11***	***29***	***121***	***76***	***336***	***315***	***21***	***946***

Table 3.2.5: Experience of current FAO staff

Category	Average years of experience at FAO	Average years of experience outside FAO	Average years of experience total
Core Technical	11	14	25
Enabling Technical	15	10	25
Administrative Support	12	11	24
Grand Total	12	13	25

Section 3.3: Non-Staff Human Resource (NSHR) Capacity

In addition to its PWB and Non-PWB staff, FAO makes use of Non-Staff Human Resources (NSHR). NSHR fall into several categories. This analysis only considers consultants (COF), holders of Personal Service Agreements, and National Project Personnel falling under "core technical" and "enabling technical" services. NSHR who work in non-technical roles, such as translators, editors, volunteers, or national correspondents are not included. UN retirees who work on individual projects with FAO are also classified as NSHR, as either consultants or holders of Personal Service Agreements. However, this annex places UN pensioners in their own category because they are paid differently (see tables).

Table 3.3.1: Technical NSHR at HQ (FTEs)

Category	Headquarters									HQ Change 2014-2016					
	2014			2015			2016			Count			Percent		
	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All
Consultants (non pensioner)	308	237	545	418	237	655	512	281	793	204	44	248	66%	19%	46%
A	12	16	28	20	14	34	22	14	36	10	-2	8	83%	-13%	29%
B	82	58	140	131	79	210	145	88	233	63	30	93	77%	52%	66%
C	157	100	257	267	144	411	345	179	524	188	79	267	120%	79%	104%
Uncategorized	57	63	120	0	0	0	0	0	0	-57	-63	-120	-100%	-100%	-100%
Holders of PSAs (non pensioner)	110	81	191	122	58	180	121	53	174	11	-28	-17	10%	-35%	-9%
A	2	0	2	1	0	1	0	0	0	-2	0	-2	-100%	-	-100%
B	4	3	7	5	0	5	4	1	5	0	-2	-2	0%	-67%	-29%
C	78	59	137	116	57	173	117	52	169	39	-7	32	50%	-12%	23%
Uncategorized	26	19	45	0	1	1	0	0	0	-26	-19	-45	-100%	-100%	-100%
Consultants (pensioner)	12	8	20	21	6	27	15	7	22	3	-1	2	25%	-13%	10%
1	2	3	5	8	2	10	5	3	8	3	0	3	150%	0%	60%
2	3	1	4	4	2	6	5	1	6	2	0	2	67%	0%	50%
3	1	1	2	2	1	3	1	1	2	0	0	0	0%	0%	0%
Uncategorized	6	3	9	7	1	8	4	2	6	-2	-1	-3	-33%	-33%	-33%
Holders of PSAs (pensioner)	6	4	10	6	3	9	4	3	7	-2	-1	-3	-33%	-25%	-30%
1	0	0	0	0	0	0	0	0	0	0	0	0	-	-	-
2	0	0	0	0	1	1	0	1	1	0	1	1	-	-	-
3	3	1	4	4	0	4	3	0	3	0	-1	-1	0%	-100%	-25%
Uncategorized	3	3	6	2	2	4	1	2	3	-2	-1	-3	-67%	-33%	-50%
All pensioners	18	12	30	27	9	36	19	10	29	1	-2	-1	6%	-17%	-3%
TOTAL	436	330	766	567	304	871	652	344	996	216	14	230	50%	4%	30%

Table 3.3.2: Technical NSHR at DOs (FTEs)

Category	Decentralized Offices									DO Change 2014-2016					
	2014			2015			2016			Count			Percent		
	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All
Consultants (non pensioner)	157	362	519	195	387	582	212	433	645	55	71	126	35%	20%	24%
A	39	44	83	57	78	135	48	84	132	9	40	49	23%	91%	59%
B	52	142	194	87	212	299	99	228	327	47	86	133	90%	61%	69%
C	33	88	121	49	97	146	65	121	186	32	33	65	97%	38%	54%
Uncategorized	33	88	121	2	0	2	0	0	0	-33	-88	-121	-100%	-100%	-100%
Holders of PSAs (non pensioner)	91	80	171	85	80	165	60	69	129	-31	-11	-42	-34%	-14%	-25%
A	8	6	14	5	5	10	2	2	4	-6	-4	-10	-75%	-67%	-71%
B	17	16	33	23	26	49	21	22	43	4	6	10	24%	38%	30%
C	36	36	72	53	45	98	36	42	78	0	6	6	0%	17%	8%
Uncategorized	30	22	52	4	4	8	1	3	4	-29	-19	-48	-97%	-86%	-92%
Consultants (pensioner)	18	8	26	14	11	25	11	13	24	-7	5	-2	-39%	63%	-8%
1	4	1	5	5	4	9	5	4	9	1	3	4	25%	300%	80%
2	2	1	3	2	3	5	2	2	4	0	1	1	0%	100%	33%
3	2	1	3	2	3	5	1	5	6	-1	4	3	-50%	400%	100%
Uncategorized	10	5	15	5	1	6	3	2	5	-7	-3	-10	-70%	-60%	-67%
Holders of PSAs (pensioner)	4	2	6	3	2	5	4	0	4	0	-2	-2	0%	-100%	-33%
1	1	0	1	0	1	1	0	0	0	-1	0	-1	-100%	-	-100%
2	0	0	0	1	0	1	1	0	1	1	0	1	-	-	-
3	1	0	1	0	0	0	1	0	1	0	0	0	0%	-	0%
Uncategorized	2	2	4	2	1	3	2	0	2	0	-2	-2	0%	-100%	-50%
All pensioners	22	10	32	17	13	30	15	13	28	-7	3	-4	-32%	30%	-13%
National Project Personnel	-	2419	2419	-	2428	2428	-	2481	2481	-	62	62	-	3%	3%
TOTAL	270	2871	3141	297	2908	3205	287	2996	3283	17	125	142	6%	4%	5%

Table 3.3.3: Technical NSHR, TOTAL (FTEs)

Category	TOTAL									TOTAL Change 2014-2016					
	2014			2015			2016			Count			Percent		
	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All	GF	TF	All
Consultants (non pensioner)	465	599	1064	613	624	1237	724	714	1438	259	115	374	56%	19%	35%
A	51	60	111	77	92	169	70	98	168	19	38	57	37%	63%	51%
B	134	200	334	218	291	509	244	316	560	110	116	226	82%	58%	68%
C	190	188	378	316	241	557	410	300	710	220	112	332	116%	60%	88%
Uncategorized	90	151	241	2	0	2	0	0	0	-90	-151	-241	-100%	-100%	-100%
Holders of PSAs (non pensioner)	201	161	362	207	138	345	181	122	303	-20	-39	-59	-10%	-24%	-16%
A	10	6	16	6	5	11	2	2	4	-8	-4	-12	-80%	-67%	-75%
B	21	19	40	28	26	54	25	23	48	4	4	8	19%	21%	20%
C	114	95	209	169	102	271	153	94	247	39	-1	38	34%	-1%	18%
Uncategorized	56	41	97	4	5	9	1	3	4	-55	-38	-93	-98%	-93%	-96%
Consultants (pensioner)	30	16	46	35	17	52	26	20	46	-4	4	0	-13%	25%	0%
1	6	4	10	13	6	19	10	7	17	4	3	7	67%	75%	70%
2	5	2	7	6	5	11	7	3	10	2	1	3	40%	50%	43%
3	3	2	5	4	4	8	2	6	8	-1	4	3	-33%	200%	60%
Uncategorized	16	8	24	12	2	14	7	4	11	-9	-4	-13	-56%	-50%	-54%
Holders of PSAs (pensioner)	10	6	16	9	5	14	8	3	11	-2	-3	-5	-20%	-50%	-31%
1	1	0	1	0	1	1	0	0	0	-1	0	-1	-100%	-	-100%
2	0	0	0	1	1	2	1	1	2	1	1	2	-	-	-
3	4	1	5	4	0	4	4	0	4	0	-1	-1	0%	-100%	-20%
Uncategorized	5	5	10	4	3	7	3	2	5	-2	-3	-5	-40%	-60%	-50%
All pensioners	40	22	62	44	22	66	34	23	57	-6	1	-5	-15%	5%	-8%
National Project Personnel	0	2419	2419	0	2428	2428	0	2481	2481	0	62	62	-	3%	3%
TOTAL	706	3201	3907	864	3212	4076	939	3340	4279	233	139	372	33%	4%	10%

Methodology note:

The data provided to the assessment team tracked NSHR in terms of total person-days and total cost by year. The data in the tables presented on the previous pages were derived by dividing the figures for total person-days by 220 and rounding to the nearest whole number, thereby achieving an estimate for full-time equivalents. Additionally, 2016 data were only available to October 31st. The 2016 numbers above were extrapolated by multiplying the actual figure by 1.2.

Further Information on Categories of NSHR:

Consultants and Holders of PSAs

There are three categories of Consultants and Holders of PSAs: A, B and C levels.

The A-level consultancy is reserved for a task requiring top level expertise in a particular specialty. The A-level consultant has to deliver high-level cutting edge expertise in the relevant area. The assignment may result in operational activities involving large commitments of human and/or financial resources. This level is typically used for assignments with an equivalence to work that would be carried out at the professional grades P-5 and above. An A-level consultant can have significant visibility outside the organization and may be called upon to shape perceptions of stakeholders and motivate partners.

The B-level consultancy is typically used for assignments with an equivalence to work that would be carried out at the professional grades P3-P4. The task at this level provides specialized expertise to FAO in an area where in-house expertise is not available. Assignments at this level should require seasoned professionals, specialist advisors or experts with complete knowledge of the subject area and the ability to adapt concepts to emerging needs.

The C-level consultant is typically used for assignments requiring less experience, for example, the university graduate with one to four years of relevant experience post-graduation (equivalent to P-1/P2 level). The assignment requires basic professional inputs such as descriptive or analytical assignments, identifying problems, etc., with their role ending at the analytical and descriptive level. The C-level consultant is typically closely supervised by more experienced staff members or senior consultants.

Anyone who does not fall into one of these three categories is labeled “U” for unclassified.

UN Pensioners

It may be noted that UN pensioners can also be employed by the Organization as NSHRs. They fall under the categories of COFs and PSAs but with different levels of honorarium.

Levels of UN Pensioners:

1. D-1 and above

2. P-1 to P-5
3. General Service

Anyone who does not fall into one of these three categories is labeled “U” for unclassified.

National Project Personnel (NPP)

NPP are engaged under contractual arrangements governed by local conditions of employment in order to render professional services to FAO field projects and whose salary, determined in accordance with the local conditions, is paid in local currency. That is why the cost of NPP appears to be much lower than Consultants and PSA holders, even though NPP provide professional technical services.

Annex 4: Delivery Dimension

This annex contains four sections. The first section (Section 4.1) deals with FAO's delivery of its products and services – i.e. the organization's normative work. The section includes Table 4.1, which tracks delivery of those products and services. Section 4.2 addresses delivery of outputs according to the output indicators in the Strategic Programme. It contains Tables 4.2.1, 4.2.2, and 4.2.3. The first of these tables tracks delivery against 2014 objective indicators. The second table tracks delivery against 2015 indicators. And the third compares the results from the two years side by side. The third section of the annex (Section 4.3) examines the MOPAN assessments of FAO and includes a table tracking those results (Table 4.3.1), while the fourth section of the annex (Section 4.4) discusses the BMZ Review, and the fifth (Section 4.5) discusses three assessments of FAO undertaken by DFID.

Section 4.1: FAO's Products and Services

At the 153rd Session of the FAO Council, an Information Note was approved titled "FAO's Normative work and its relation to programme delivery. That document emphasized the seven Core Functions of FAO, which are:

- normative and standard-setting instruments such as international agreements, codes of conduct, and voluntary guidelines;
- statistics, data and information on food and agriculture including fisheries, forestry, land and water;
- policy dialogue at global, regional and national levels;
- capacity development for evidence-based policies, investments, and programmes;
- advice and support for uptake of knowledge, technologies and good practices;
- facilitation of partnerships between governments, development partners, civil society and private sector; and
- advocacy and communication in areas of FAO's mandate.

The Joint Meeting of the 120th Session of the Programme Committee and 164th Session of the Finance Committee was held in Rome on November 7, 2016. At their meeting, the committees approved the "Roadmap for the independent assessment of technical capacity of the Organization," which has served as the key guiding document of this assessment. The Roadmap used the seven Core Functions (with some minor modification) to create a list of 19 products and services that FAO uses to achieve its normative goals.[35] In the table below, these products and services have been matched with indicator data provided by FAO staff to provide an overview of FAO's products and services between 2011 and 2016.

Note that most data for 2016 had only been measured through September 30, 2016 at the time this table was created. The Centennial team used a multiplying factor of 1.25 to create a 2016 year-end estimate. In some categories, the team has obtained updated year-end figures. These instances

[35] Found on page 7 of the Roadmap.

are denoted by the word “actual.”. Also, note that data was limited for some indicators. In these cases, n/a, for “not available,” has been placed in the table

Table 4.1: Key FAO Products and Services

Category	Indicator	2012	2013	2014	2015	2016 estimate
Standard-setting instruments						
International agreements	Data not available	n/a	n/a	n/a	n/a	n/a
Codes of conduct agreed	Data not available	n/a	n/a	n/a	n/a	n/a
Voluntary guidelines agreed and promoted	Data not available	n/a	n/a	n/a	n/a	n/a
Technical standards put in place	Data not available	n/a	n/a	n/a	n/a	n/a
Total	Total number of standard-setting instruments	78	90	101	138	160
Knowledge, data and information produced						
Corporate publications issued	Publications	754	891	1467	676	1120 (actual)
	Brochures	208	105	705	407	803 (actual)
	Total	962	996	2172	1083	1923 (actual)
Statistical systems created and maintained	Number of accesses to data websites (thousands)	154	209	196	165	219
	Countries in which statistical capacity development is undertaken	52	49	59	51	55
Core knowledge management systems	Data not available	n/a	n/a	n/a	n/a	n/a
Policy dialogue and capacity development at global, regional and country levels						
Technical missions conducted	Travel authorizations (thousands)	n/a	12.2	13.2	16.1	15
Technical Workshops/Conferences/Symposia organized	Events conducted	253	250	275	305	391
External technical networks/platforms supported	External technical platforms supported	Not available by year. Total = 280 over 2011-2016				
Knowledge, technologies and good practices						
Analytical reports prepared and	Number of flagship reports	3	2	5	8	4

Category	Indicator	2012	2013	2014	2015	2016 estimate
disseminated	Number of flagship views (thousands)	n/a	173	1146	590	951 (actual)
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 agreements signed per year	36	51	52	53	30
Number of professionals seconded to the Organization	Data not available	n/a	n/a	n/a	n/a	n/a
Number of training activities and participants involved	Data not available	n/a	n/a	n/a	n/a	n/a
South-South Cooperation						
Number of beneficiaries countries of SSC	Number of beneficiaries countries of SSC	44	46	30	30	76
Number of agreements signed with a work plan	Number of agreements signed with a work plan	27	29	40	28	38
Number of professional staff seconded from the donor and that could be considered as supplementing FAO's technical capacity	Number of professional staff seconded from the donor and that could be considered as supplementing FAO's technical capacity	222	113	138	60	100
Number of staff that received training as part of the SSC agreements	FAO Staff	30	40	40	50	50
	National Staff	200	200	300	300	300
	Total staff that received training as part of the SSC agreements	350	350	350	350	350
Advocacy and communication at national, regional and global levels						
Communication products	Number of Senior Officer Media Initiative (SOMI) articles published	n/a	1061	1919	2270	2213 (actual)

Section 4.2: Outputs

The FAO results framework for 2014-17 guides the planning and monitoring of the Organization's work. At the core of the framework are the indicators that measure progress at each level of the results chain: Outputs, Outcomes and Strategic Objectives. The framework provides the basis for assessing and reporting how FAO's actions contribute to changes at national, regional and global level.

Two documents track FAO's progress in achieving the Output targets set in the results framework. The Mid-Term Review Synthesis Report 2014 and the Programme Implementation Report 2014-15, with the former tracking progress against 2014 targets and the latter against 2015 targets. The following two tables are based on data found in each report, while the third table arranges the data in manner that allows for cross-year comparisons.

It is important to note that for 2014, output targets were set only for the five Strategic Objectives (SOs), while 2015 had targets for both the SOs and the Functional Objectives.

Table 4.2.1: Achievement against 2014 targets (PC 117/5 MTR 2014)

Objective	Outputs					
	Outcome No.	Results indicators	Exceeded or fully achieved	Partially achieved	Not achieved	% Exceeded or fully achieved
Strategic Objective 1: Eradication of hunger, food insecurity, and malnutrition	1.1	4	4	0	0	100%
	1.2	1	0	1	0	0%
	1.3	3	2	1	0	67%
	SUB-TOTAL	8	6	2	0	75%
Strategic Objective 2: Increase sustainable agriculture, forestry, and fisheries	2.1	3	2	0	1	67%
	2.2	3	2	1	0	67%
	2.3	3	3	0	0	100%
	2.4	4	3	1	0	75%
	SUB-TOTAL	13	10	2	1	77%
Strategic Objective 3: Reduce rural poverty	3.1	5	3	1	1	60%
	3.2	3	3	0	0	100%
	3.3	2	1	1	0	50%
	SUB-TOTAL	10	7	2	1	70%
Strategic Objective 4: Inclusive & efficient agricultural & food systems	4.1	4	4	0	0	100%
	4.2	3	3	0	0	100%
	4.3	3	3	0	0	100%
	SUB-TOTAL	10	10	0	0	100%
Strategic Objective 5: Resilience to threats & crises	5.1	2	2	0	0	100%
	5.2	3	2	1	0	67%
	5.3	2	2	0	0	100%
	5.4	3	3	0	0	100%
	SUB-TOTAL	10	9	1	0	90%

TOTAL 1-5	***TOTAL***	***51***	***42***	***7***	***2***	***82%***
Objective 6: Technical quality, knowledge, & services	6.1	n/a	No 2014 targets set			
	6.2	2				
	6.3	2				
	6.4	2				
SUB-TOTAL 6	***SUB-TOTAL***	***6***	***n/a***	***n/a***	***n/a***	***n/a***
Chapter 7: Technical Cooperation Programme	7.1	1	No 2014 targets set			
Functional Objective 8: Outreach	8.1	2	No 2014 targets set			
	8.2	2				
	8.3	2				
Functional Objective 9: Information Technology	9.1	3	No 2014 targets set			
Functional Objective 10: FAO governance, oversight, & direction	10.1	2	No 2014 targets set			
	10.2	1				
	10.3	1				
Functional Objective 11: Efficient & effective administration	11.1	4	No 2014 targets set			
	11.2	1				
	11.3	1				
SUB-TOTAL 7-11	***SUB-TOTAL***	***20***	***n/a***	***n/a***	***n/a***	***n/a***
Chapter 12: Contingencies	n/a	n/a	n/a	n/a	n/a	n/a
Chapter 13: Capital Expenditure	13.1	2	No 2014 targets set			
Chapter 14: Security Expenditure	14.1	1	No 2014 targets set			
	14.2	4				
TOTAL 6-14	***TOTAL***	***33***	***n/a***	***n/a***	***n/a***	***n/a***

Table 4.2.2: Achievement against 2015 targets (C 2017/8 PIR 2014-15)

Objective	Outputs					
	Outcome No.	Results indicators	Exceeded or fully achieved	Partially achieved	Not achieved	% Exceeded or fully achieved
Strategic Objective 1: Eradication of hunger, food insecurity, and malnutrition	1.1	4	4	0	0	100%
	1.2	1	1	0	0	100%
	1.3	3	3	0	0	100%
	SUB-TOTAL	8	8	0	0	100%
Strategic Objective 2: Increase sustainable agriculture, forestry, and fisheries	2.1	3	3	0	1	100%
	2.2	3	2	1	0	67%
	2.3	3	3	0	0	100%
	2.4	4	3	1	0	75%
	SUB-TOTAL	13	11	2	1	85%
Strategic Objective 3: Reduce rural poverty	3.1	5	5	0	0	100%
	3.2	3	2	1	0	67%
	3.3	2	2	0	0	100%
	SUB-TOTAL	10	9	1	0	90%
Strategic Objective 4: Inclusive & efficient agricultural & food systems	4.1	4	4	0	0	100%
	4.2	3	3	0	0	100%
	4.3	3	3	0	0	100%
	SUB-TOTAL	10	10	0	0	100%
Strategic Objective 5: Resilience to threats & crises	5.1	2	2	0	0	100%
	5.2	3	2	1	0	67%
	5.3	2	2	0	0	100%
	5.4	3	2	1	0	67%
	SUB-TOTAL	10	8	2	0	80%
TOTAL 1-5	***TOTAL***	***51***	***46***	***5***	***1***	***90%***
Objective 6: Technical quality, knowledge, & services	6.1	n/a	0	0	0	n/a
	6.2	2	2	0	0	100%
	6.3	2	2	0	0	100%
	6.4	2	2	0	0	100%
SUB-TOTAL 6	***SUB-TOTAL***	***6***	***6***	***0***	***0***	***100%***
Chapter 7: Technical Cooperation Programme	7.1	1	1	0	0	100%
Functional Objective 8: Outreach	8.1	2	2	0	0	100%
	8.2	2	2	0	0	100%

	8.3	2	2	0	0	100%
Functional Objective 9: Information Technology	9.1	3	3	0	0	100%
Functional Objective 10: FAO governance, oversight, & direction	10.1	2	1	1	0	50%
	10.2	1	1	0	0	100%
	10.3	1	1	0	0	100%
Functional Objective 11: Efficient & effective administration	11.1	4	4	0	0	100%
	11.2	1	1	0	0	100%
	11.3	1	0	0	1	0%
SUB-TOTAL 7-11	***SUB-TOTAL***	***20***	***18***	***1***	***1***	***90%***
Chapter 12: Contingencies	n/a	n/a	0	n/a	n/a	n/a
Chapter 13: Capital Expenditure	13.1	2	2	0	0	100%
Chapter 14: Security Expenditure	14.1	1	0	0	1	0%
	14.2	4	4	0	0	100%
TOTAL 6-14	***TOTAL***	***33***	***30***	***1***	***2***	***91%***

Table 4.2.3: Achievement against 2016 targets (PC 121/3 MTR 2016)

Objective	Outputs					
	Outcome No.	Results indicators	Exceeded or fully achieved	Partially achieved	Not achieved	% Exceeded or fully achieved
Strategic Objective 1: Eradication of hunger, food insecurity, and malnutrition	1.1	4	4	0	0	100%
	1.2	1	1	0	0	100%
	1.3	3	2	1	0	67%
	SUB-TOTAL	8	7	1	0	88%
Strategic Objective 2: Increase sustainable agriculture, forestry, and fisheries	2.1	3	0	3	0	0%
	2.2	3	2	1	0	67%
	2.3	3	3	0	0	100%
	2.4	4	4	0	0	100%
	SUB-TOTAL	13	9	4	0	69%
Strategic Objective 3: Reduce rural poverty	3.1	5	5	0	0	100%
	3.2	3	3	0	0	100%
	3.3	2	0	2	0	0%
	SUB-TOTAL	10	8	2	0	80%
Strategic Objective 4: Inclusive & efficient agricultural & food systems	4.1	4	4	0	0	100%
	4.2	3	3	0	0	100%
	4.3	3	3	0	0	100%
	SUB-TOTAL	10	10	0	0	100%
Strategic Objective 5: Resilience to threats & crises	5.1	2	2	0	0	100%
	5.2	2	2	0	0	100%
	5.3	2	2	0	0	100%
	5.4	3	3	0	0	100%
	SUB-TOTAL	9	9	0	0	100%
TOTAL 1-5	***TOTAL***	***50***	***43***	***7***	***0***	***86%***
Objective 6: Technical quality, knowledge, & services	6.1	1	1	0	0	100%
	6.2	n/a	-	-	-	n/a
	6.3	2	2	0	0	100%
	6.4	2	2	0	0	100%
	6.5	n/a	-	-	-	n/a
	6.6	2	2	0	0	100%
SUB-TOTAL 6	***SUB-TOTAL***	***7***	***7***	***0***	***0***	***100%***
Chapter 7: Technical Cooperation Programme	7.1	1	1	0	0	100%

Functional Objective 8: Outreach	8.1	2	2	0	0	100%
	8.2	2	2	0	0	100%
	8.3	2	2	0	0	100%
Functional Objective 9: Information Technology	9.1	3	3	0	0	100%
Functional Objective 10: FAO governance, oversight, & direction	10.1	2	1	1	0	50%
	10.2	1	1	0	0	100%
	10.3	n/a	-	-	-	n/a
Functional Objective 11: Efficient & effective administration	11.1	3	3	0	0	100%
	11.2	1	1	0	0	100%
	11.3	n/a	-	-	-	n/a
SUB-TOTAL 7-11	***SUB-TOTAL***	***17***	***16***	***1***	***0***	***94%%***
Chapter 12: Contingencies	n/a	n/a	-	-	-	n/a
Chapter 13: Capital Expenditure	13.1	2	2	0	0	100%
Chapter 14: Security Expenditure	14.1	1	0	0	1	0%
	14.2	4	4	0	0	100%
TOTAL 6-14	***TOTAL***	***31***	***29***	***1***	***1***	***94%***

Table 4.2.4: Comparison between 2014 and 2015 (Source: PC 117/5 Mid Term Review 2015; C 2017/8 Programme Implementation Report 2014-15. See at www.fao.org/pwb)

Objective	Outcome No.	Results indicators	Exceeded or fully achieved		Partially achieved		Not achieved		% Exceeded or fully achieved	
			2014	2015	2014	2015	2014	2015	2014	2015
SO 1	1.1	4	4	4	0	0	0	0	100%	100%
	1.2	1	0	1	1	0	0	0	0%	100%
	1.3	3	2	3	1	0	0	0	67%	100%
	SUB-TOTAL	8	6	8	2	0	0	0	75%	100%
SO 2	2.1	3	2	3	0	0	1	1	67%	100%
	2.2	3	2	2	1	1	0	0	67%	67%
	2.3	3	3	3	0	0	0	0	100%	100%
	2.4	4	3	3	1	1	0	0	75%	75%
	SUB-TOTAL	13	10	11	2	2	1	1	77%	85%
SO 3	3.1	5	3	5	1	0	1	0	60%	100%
	3.2	3	3	2	0	1	0	0	100%	67%
	3.3	2	1	2	1	0	0	0	50%	100%
	SUB-TOTAL	10	7	9	2	1	1	0	70%	90%
SO 4	4.1	4	4	4	0	0	0	0	100%	100%
	4.2	3	3	3	0	0	0	0	100%	100%
	4.3	3	3	3	0	0	0	0	100%	100%
	SUB-TOTAL	10	10	10	0	0	0	0	100%	100%
SO 5	5.1	2	2	2	0	0	0	0	100%	100%
	5.2	3	2	2	1	1	0	0	67%	67%
	5.3	2	2	2	0	0	0	0	100%	100%
	5.4	3	3	2	0	1	0	0	100%	67%
	SUB-TOTAL	10	9	8	1	2	0	0	90%	80%
TOTAL 1-5	***TOTAL***	***51***	***42***	***46***	***7***	***5***	***2***	***1***	***82%***	***90%***

Table 4.2.5: Comparison between 2014 and 2016 (Source: PC 117/5 Mid Term Review 2015; PC 121/3 MTR 2016. See at www.fao.org/pwb)

Objective	Outcome No.	Results indicators	Exceeded or fully achieved		Partially achieved		Not achieved		% Exceeded or fully achieved	
			2014	2016	2014	2016	2014	2016	2014	2016
SO 1	1.1	4	4	4	0	0	0	0	100%	100%
	1.2	1	0	1	1	0	0	0	0%	100%
	1.3	3	2	2	1	1	0	0	67%	67%
	SUB-TOTAL	8	6	7	2	1	0	0	75%	88%
SO 2	2.1	3	2	0	0	3	1	0	67%	0%
	2.2	3	2	2	1	1	0	0	67%	67%
	2.3	3	3	3	0	0	0	0	100%	100%
	2.4	4	3	4	1	0	0	0	75%	100%
	SUB-TOTAL	13	10	9	2	4	1	0	77%	69%
SO 3	3.1	5	3	5	1	0	1	0	60%	100%
	3.2	3	3	3	0	0	0	0	100%	100%
	3.3	2	1	0	1	2	0	0	50%	0%
	SUB-TOTAL	10	7	8	2	2	1	0	70%	80%
SO 4	4.1	4	4	4	0	0	0	0	100%	100%
	4.2	3	3	3	0	0	0	0	100%	100%
	4.3	3	3	3	0	0	0	0	100%	100%
	SUB-TOTAL	10	10	10	0	0	0	0	100%	100%
SO 5	5.1	2	2	2	0	0	0	0	100%	100%
	5.2[36]	3 2	2	2	1	0	0	0	67%	100%
	5.3	2	2	2	0	0	0	0	100%	100%
	5.4	3	3	3	0	0	0	0	100%	100%
	SUB-TOTAL	10, 9	9	9	1	0	0	0	90%	100%
TOTAL 1-5	***TOTAL***	***51, 50***	***42***	***43***	***7***	***7***	***2***	***0***	***82%***	***86%***

[36] One output indicator for outcome 5.2 was eliminated for the 2016 MTR.

Section 4.3: MOPAN Assessment

The Multilateral Organization Performance Assessment Network (MOPAN) is a group of governments with a common interest in knowing more about the effectiveness of multilateral organizations. Network members carry out joint assessments of these organizations, share information, and draw on each other's expertise in monitoring and evaluation. In 2016, the countries active in the Network are: Australia, Canada, Denmark, Finland, France, Germany, Ireland, Japan, Luxembourg, the Netherlands, Norway, the Republic of Korea, Spain, Sweden, Switzerland, the United Kingdom, and the United States of America.

MOPAN assessed FAO in 2011 and again in 2014 based on information collected through a survey of key stakeholders, document review, and interviews with FAO staff. With this information, MOPAN constructed a series of 22 indicators related to the areas of strategic management, operational management, relationship management, and knowledge management.

The 2011 MOPAN report identified five areas of FAO inadequacy: country focus on results, aid allocation decisions, linking aid management to performance, managing human resources, and presenting performance information. In those areas where MOPAN judged FAO work to be adequate, most were just barely so. Among survey respondents, only one of 21 areas evaluated was regarded as a source of FAO strength: adherence to humanitarian principles. The document review was somewhat better than were the survey responses, identifying several areas of document strength including providing direction for results, focus on thematic priorities, financial accountability, and delegating decision making.

The 2014 assessment noted an improvement in virtually every performance indicator. In four important areas – corporate strategy based on clear mandate, country focus on results, supporting national plans and contributing to policy dialogue – the rating was raised from 'inadequate or below' to 'strong or above'.

By 2014, there were only two areas of inadequacy: results based budgeting, and managing human resources. MOPAN 2014 concluded that FAO "has sharpened its strategic focus", aligning it with its core mandate and comparative advantage (p. 2). FAO had improved its results based management (p.2).and "FAO has started to implement its new resilience agenda, and also strengthened its practices and systems for emergency preparedness and response…" (p.3). "FAO has made considerable progress in setting country level strategic objectives that are fully aligned with national development priorities…" (p. 4 of 2014 report). MOPAN 2014 noted that since 2013, FAO had reorganized its policy work, and created policy posts in decentralized offices. It noted that stakeholders now assessed FAO's contribution to results as adequate overall (p.5).

MOPAN 2014 also found (p.5) that: "Evidence from documents indicates that, during the period under review, FAO's projects were generally effective in delivering planned activities and outputs, but that FAO did not report adequately on its contributions at the country program level and did not provide conclusive evidence of the extent to which it had contributed to its stated country level development priorities." Finally, FAO "has made progress in sharing knowledge internally and externally since 2011" (p. 6 of 2014 report).

These results are presented in more detail in the table on the next page.

Table 4.3.1: MOPAN Results

Indicator		2011		2014	
		Survey respondents	**Document review**	**Survey respondents**	**Document review**
Strategic management					
KPI-1	Providing direction for results	3.79	6	3.95	5
KPI-2	Corporate strategy based on clear mandate	n/a	n/a	4.52	6
KPI-3	Corporate focus on results	3.66	4	n/a	5
KPI-4	Focus on cross-cutting/thematic priorities	4.16	5	4.35	5
KPI-5	Country focus on results	4.37	3	4.68	4
Operational management					
KPI-6	Transparent and predictable funding/Aid allocation decisions	3.74	3	3.96	4
KPI-7	Results-based budgeting/Linking aid management to performance	3.27	4	3.46	4
KPI-8	Financial accountability	3.80	5	4.32	5
KPI-9	Using performance information	3.74	4	3.93	5
KPI-10	Managing human resources	3.39	4	2.96	4
KPI-11	Performance-oriented programming	3.90	4	n/a	4
KPI-12	Delegating authority	4.19	5	3.78	4
KPI-13	Work in emergencies/Adherence to humanitarian principles	4.58	n/a	4.54	5
Relationship management					
KPI-14	Supporting national plans	4.37	n/a	4.63	6
KPI-15	Adjusting procedures	3.74	n/a	4.09	n/a
KPI-16	Using country systems	3.89	*	4.31	n/a
KPI-17	Contributing to policy dialogue	4.34	n/a	4.51	n/a
KPI-18	Harmonizing procedures	4.24	4	4.34	5
KPI-19	Cluster management	3.99	n/a	4.49	4
Knowledge management					
KPI-20	Evaluation results/Evaluating external results	3.99	4	4.37	5
KPI-21	Presenting performance information	3.68	3	3.97	4
KPI-22	Disseminating lessons learned	3.68	4	4.21	4

Legend	
Strong or above	4.50-6.00
Adequate	3.50-4.49
Inadequate or below	1.00-3.49
Document review data unavailable	*
Not assessed	n/a

Section 4.4: BMZ Review

The German Federal Ministry for Economic Cooperation and Development (BMZ) completed its report on FAO and shared it with the FAO Secretariat in January 2015.

The report was structured in 3 parts: Mandate and Relevance, Performance, and German engagement with FAO. The first two sections were based on pre-existing data from other reviews of FAO, including:

- MOPAN reviews of FAO published in 2011 and 2014,
- The Australian Multilateral Assessment of 2012, and
- The UK Multilateral Aid Reviews published in 2011 and 2013.

The third section of the report concerning German engagement was beyond the scope of this assessment.

The report used a 5-point scale to rate areas of FAO performance from "weak performance" to "strong performance." These ratings were then given a confidence level from a 3-point scale that used convergence or divergence between the report's key sources to determine the confidence level of the report's findings.

In terms of strategic and performance management, the report said with a high degree of confidence that FAO performs moderately. Within this area, there were several findings relevant to technical capacity. While noting some variation between countries and projects, the report was positive about recent developments in the area of decentralization, especially in terms of enhancing emergency response.

The overall rating in the area of knowledge management was "moderate with a tendency towards strong," given with a high degree of confidence. The establishment of technical networks and re-organisation of technical departments was assessed as an area of positive progress since 2012, especially in terms of breaking "the silo culture that had previously resulted in some duplication of effort and poor knowledge sharing."

However, the report also noted remaining areas that needed improvement—collaboration & synergies with IFAD, institutionalization of reforms throughout FAO, and HR management.

Section 4.5: DFID Assessment

DFID's assessments of FAO have indicated significant improvement in delivery of the organization's normative work over the 2012-2016 period, coinciding with new leadership and greater accountability.

In the 2011 Multilateral Aid Review (MAR), FAO was judged to be a weak or mediocre multilateral organization that was not effective at meeting its goals. The review did credit FAO for eradicating the devastating riderpest virus, but on a majority of indicators, ranging from transparency and accountability to financial management and cost consciousness, the organization was rated weak or unsatisfactory. Perhaps most importantly, FAO was rated as delivering "Poor Value for Money for UK Aid" and placed in Special Measures, a status that demanded urgent reform in order to continue receiving UK aid money.

In 2013, DFID updated its assessment and found that management had successfully begun to reform the organization, but much work was still needed, especially in human resources. This was the updated MAR's verdict: "FAO has introduced greater prioritisation and more focus on results through streamlined strategic objectives and new results frameworks at country and corporate levels...Recruitment processes have been improved and performance management systems introduced for all staff. However, human resource reform remains a priority. New leadership is introducing a greater sense of value for money and significant additional savings have been achieved…"

Recently, DFID completed its 2016 Multilateral Development Review (MDR). While noting that significant work remained, the MDR found that FAO had made progress since 2011: "FAO has made progress since the 2013 MAR Update, increasing its strategic focus, and strengthening internal controls." The MDR credited the organization's leadership, modernized management structure, and efficiency savings for the positive outcome. The MDR gave FAO an overall rating of "Good" on its Organisational Strengths Index, which is the second-highest rating on a scale of Weak, Adequate, Good, and Very Good (see Figure 1).

Figure 1: Components of FAO's Organisational Strengths Index