# Web Annex IX: Status of IPA Actions in original IPA sequence/format

**FAO Strategic Objectives and the New Results-Based Framework – Action Matrix**

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| IPA Action No. | Ref. IEE Rec | Action | | | |
| 1.1 | 7.5 | Decide the application of the new Results-Based Framework | Completed | Completed in 2009 | Governing Body Document |
| 1.2 | 7.1 | Decide the Vision and Global Goals of FAO | Completed | Completed in 2009 | Governing Body Document |
| 1.3 | 7.1 | Decide in principle the Strategic Objectives, Functional Objectives and Core Functions | Completed | Completed in 2009 | Governing Body Document |
| 1.4 | 7.1 | Adopt in principle the format for presentation of Strategic Objectives and Organizational Results | Completed | Completed in 2009 | Governing Body Document |
| 1.5 | 7.2 | Develop Impact Focus Areas with the purposes summarised and with a basis for further development provided by the indicative listing | Completed | Completed in 2009 | Governing Body Document |
| 1.6 | 7.5 | Develop the results-based monitoring system | Completed | Completed in 2011 | Governing Body Document |
| 1.7 | 7.1 | Develop and adopt the complete Strategic Framework, Medium Term Plan and Programme of Work and Budget applying the new model | Completed | Completed in 2009 | Project Leader Statement/ Governing Body Document |
| 1.8 | 7.5 | First report on organizational performance based on new results-based system for 2010-11 biennium | Completed | Completed in 2012 | Project Leader Statement |

## *Governance Reform*

| Governance Priorities – Action Matrix |
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| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 2.1 | 4.4 & 4.5 | **Global policy coherence and regulatory frameworks:** Systematically review the global situation to determine those issues requiring priority initiative for greater policy coherence and study current regulatory frameworks to determine areas requiring early action by FAO or in other fora. | Completed | Completed in 2009 | Governing Body Document |
| 2.2 | | As appropriate take into consideration policy issues and instruments relating to food and agriculture being developed in other fora than FAO and provide recommendations to those fora | Completed | Completed in 2011 | Governing Body Document |
| 2.3 | | See also below – for roles of the various Governing Bodies | Completed | Completed in 2011 | Governing Body Document |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 2.4 | | **Executive governance:** Strengthen roles and coverage of Governing Bodies (see below) | Completed | Completed in 2011 | Governing Body Document |
| 2.5 | 4.7a | Each session of the Conference will usually have one major theme agreed by the Conference, normally on the recommendation of the Council | Completed | Completed in 2009 | Governing Body Document |
| 2.6 | 4.7a | Conference will give more attention to global policy issues and international frameworks (including treaties, conventions and regulations), normally acting on recommendations of the Technical Committees & Regional Conferences and where appropriate, Council (it will receive directly the pertinent sections of Technical Committee and Regional Conference reports) | Completed | Completed in 2011 | Governing Body Document |
| 2.7 | 4.7c & 7.3 | Conference will meet in June of the second year of the biennium | Completed | Completed in 2009 | Governing Body Document |
| 2.8 | 4.7c | Conference will approve the Organization's Priorities, Strategy and Budget having considered the recommendations of the Council (see Programme and Budget Procedure below) | Completed | Completed in 2009 | Governing Body Document |
| 2.9 | 4.15c | The Conference report will concentrate on conclusions and decisions, which may be defined in drafting committees and "friends of the Chair" as appropriate. The verbatim will provide the detail of interventions and will be published in all FAO languages. | Completed | Completed in 2011 | Project Leader Statement |
| 2.10 | 4.7a | Formal plenary meetings will become more focused on issues of vital interest to members | Completed | Completed in 2009 | Project Leader Statement |
| 2.11 | | Side events will be developed to provide a forum for informal interchange on development of issues | Completed | Completed in 2011 | Governing Body Document |
| 2.12 | 4.15 | Changes in practice will be introduced, including ways of working and reporting lines as detailed below with respect to the various Bodies | Completed | Completed in 2011 | Governing Body Document |
| 2.13 | 4.15 | Basic Text changes for functions, reporting lines, role in making recommendations to the Conference, etc. as detailed in the Action Matrix | Completed | Completed in 2009 | Governing Body Document |
| 2.14 | 4.8 | The Council functions will be clarified as necessary in the Basic Texts and will include: <br><br> i) the major role in deciding and advising on: <br> • work-planning and performance measures for the Council itself and for other Governing Bodies excluding the Conference; <br> • monitoring and reporting performance against these measures; <br> • strategy, priorities and budget of the Organization; <br> • the overall programme of work; <br> • major organizational changes, not requiring Conference changes of Basic Texts; <br> • recommending the agenda of the Conference to the Conference; | Completed | Completed in 2009 | Governing Body Document |
| 2.15 | | ii) monitor the implementation of governance decisions; | Completed | Completed in 2009 | Project Leader Statement/ Governing Body Document |

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| 2.16 | 4.8 | iii) exercise oversight, ensuring that:<br>• the Organization operates within its financial and legal framework;<br>• there is transparent, independent and professional audit and ethics oversight;<br>• there is transparent, professional and independent evaluation of the Organization's performance in contributing to its planned outcomes and impacts;<br>• there are functioning results-based budgeting and management systems;<br>• policies and systems for human resources, information and communication technology, contracting and purchasing, etc are functional and fit for purpose;<br>• extra-budgetary resources are effectively contributing to the Organization's priority goals; and | Completed | Completed in 2009 | Project Leader Statement/ Governing Body Document |
| 2.17 | | iv) monitor the performance of management against established performance targets. | Completed | Completed in 2011 | Governing Body Document |
| 2.18 | | The Council shall make a clear recommendation to Conference on the Programme and Budget Resolution including the budget level | Open | | |
| 2.19 | | The Council will meet more flexibly and for variable lengths of session as appropriate to the agenda (normally a minimum of 5 sessions per biennium) - Section C Chart 1 Programme and Budget planning and review cycle: | Completed | Completed in 2011 | Project Leader Statement/ Governing Body Document |
| 2.20 | | i) There will be: a short meeting (minimum two days) after each session of the Programme and Finance Committees.<br>NEW- i) There will be additional short sessions or informal meetings. | Completed | Completed in 2011 | Project Leader Statement |
| 2.21 | 4.8 | ii) The meeting of the Council to prepare the Conference will be at least two months prior to the Conference, so that recommendations can be taken account of, including recommending the final agenda of the Conference to the Conference for its final approval. | Completed | Completed in 2009 | Project Leader Statement |
| 2.22 | | The Council Report will consist of conclusions, decisions and recommendations (verbatim to provide detail and be published in all languages) | Completed | Completed in 2011 | Governing Body Document |
| 2.23 | | The Council will no longer discuss global policy and regulatory issues, unless there is an urgent reason to do so (to be handled by the Technical Committees and the Conference) | Completed | Completed in 2009 | Project Leader Statement/Governing Body Document |
| 2.24 | 4.15 | Changes of practice, including ways of working and reporting lines will be introduced for the Council (see below with reference to other bodies) | Completed | Completed in 2009 | Governing Body Document |
| 2.25 | 4.15 | Introduce Basic Text changes for functions, reporting lines, etc. | Completed | Completed in 2009 | Governing Body Document |

**Independent Chairperson of the Council – Action Matrix**

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---------|---|--------|--------|-----------|-----------------|
| Ref N. | Ref. IEE Rec | Action | | | |
| 2.26 | 4.10a | Revise Basic Texts to clearly specify the proactive facilitation role of the Independent Chairperson of the Council for the Governance of FAO, eliminating any potential for conflict of roles with the managerial role of the Director-General and, including, in addition to chairing meetings of the Council: | Completed | Completed in 2009 | Governing Body Document |
| 2.27 | | a)   serve as an honest broker in arriving at consensus between members on controversial issues; | Completed | Completed in 2009 | Governing Body Document |
| 2.28 | | b)   liaise with the Chairs of the Programme and Finance Committees and CCLM on their work programmes and as appropriate with the chairs of Technical Committees and Regional Conferences, normally attending the Programme and Finance Committees and Regional Conferences; | Completed | Completed in 2009 | Governing Body Document |
| 2.29 | | c)   as and when he/she considers it useful, the Independent Chairperson of the Council may call for consultative meetings with representatives of the Regional Groups on issues of an administrative and organizational nature for the preparation and conduct of a session; | Completed | Completed in 2009 | Governing Body Document |
| 2.30 | | d)   liaise with FAO senior management on concerns of the membership, expressed through the Council and its Programme and Finance Committees and the Regional Conferences; | Completed | Completed in 2009 | Governing Body Document |
| 2.31 | | e)   ensure that the Council is kept abreast of developments in other fora of importance for FAO's mandate and that dialogue is maintained with other Governing Bodies as appropriate, in particular the Governing Bodies of the Rome based food and agriculture agencies; | Completed | Completed in 2009 | Governing Body Document |
| 2.32 | | f)   drive forward the continuous improvement of the efficiency, effectiveness and Member ownership of FAO Governance. | Completed | Completed in 2011 | Project Leader Statement/Governing Body Document |
| 2.33 | | g)   The Basic Texts will also specify: | Completed | Completed in 2009 | Governing Body Document |

| 2.34 | | i) desirable qualifications (competencies) for the Independent Chairperson to be developed by the Conference Committee with advice of the CCLM and decided by the 2009 Conference<br>ii) that the Independent Chairperson is required to be present in Rome for all sessions of the Council and will normally be expected to spend at least six to eight months of the year in Rome | Completed | Completed in 2009 | Governing Body Document |
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| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref N. | Ref IEE Rec | Action | | | |
| 2.35 | 4.9 & 4.17 | **Clarifications of functions and ways of working** will be introduced immediately in practice and followed-up by Basic Text changes, including on clarification of functions: | Completed | Completed in 2009 | Governing Body Document |
| 2.36 | | i) Programme Committee functions will emphasise programme priorities, strategy, budget and evaluation and will also include: consideration of field and decentralized work; priorities for the Organization to address in developing global policy coherence and regulation; and partnership and coordination with other organizations for technical work; | Completed | Completed in 2011 | Project Leader Statement/Governing Body Document |
| 2.37 | | ii) Finance Committee will cover all aspects of administration, services and human resources as well as finance, including the policies and budget for these areas of work – becoming a Finance and Administration Committee; | Completed | Completed in 2011 | Project Leader Statement/Governing Body Document |
| 2.38 | | iii) The Committees will meet more flexibly and for variable lengths of session as appropriate to the agenda and in line with the programme and budget planning and review cycle (see Chart 1) - (minimum number of sessions normally four per biennium); | Completed | Completed in 2011 | Project Leader Statement/Governing Body Document |
| 2.39 | | iv) The two Committees will hold more joint meetings. The discussion will be in joint session, whenever there is overlap in the discussion, or the two Committees contribution will have a strong complementarity; | Completed | Completed in 2011 | Project Leader Statement/Governing Body Document |
| 2.40 | | v) The Committees will be required to make clear recommendations and give more attention to policies, strategies and priorities in order to provide improved oversight and more dynamic guidance to the Council; and | Completed | Completed in 2011 | Project Leader Statement/Governing Body Document |
| 2.41 | | vi) The Finance Committee will agree and adopt criteria for which WFP documentation it should review. | Completed | Completed in 2011<br><br>Ongoing process of continuous improvement | Governing Body Document |
| 2.42 | 4.15 | Introduce changes in practice, including ways of working (see below) | Completed | Completed in 2009 | Governing Body Document |
| 2.43 | 4.15 | Introduce Basic Text changes for functions of the Committees | Completed | Completed in 2009 | Governing Body Document |
| 2.44 | 4.9 & 4.17 | **Programme and Finance Committees membership, chairs and observers:** - Changes will be introduced in the Basic Texts, including for the election of members. The members will be countries not individuals but in nominating their representatives countries will be expected to propose representatives with the necessary technical qualifications, and: | Completed | Completed in 2009 | Governing Body Document |

| 2.45 | | i) chairs will be elected by the Council on the basis of their individual qualifications and will not occupy seats of their electoral groups or represent a region or country (in the event of a chair falling vacant, the incumbent will be replaced by a vice-chair of the Committee elected by the Committee, until such time as a replacement can be elected by the Council); | Completed | Completed in 2009 | Governing Body Document |
|------|--|------|------|------|------|
| 2.46 | | ii) the membership of the Committees will each be increased, <u>in addition to the Chair</u>, to twelve representatives with each region having a right to up to two representatives each for Africa, Asia, Latin America and the Caribbean, the Near East and Europe and one representative each for North America and the South West Pacific nominated by the region and confirmed by the Council (countries may substitute their members for individual meetings or during the term of office, thus avoiding that a seat remains empty) | Completed | Completed in 2009 | Governing Body Document |
| 2.47 | | iii) Committees, including joint meetings will be open to non-speaking observers. | Completed | Completed in 2010<br><br>Costs in IPA Programme 2012-13 | Project Leader Statement/Governing Body Document |

**Committee on Constitutional and Legal Matters (CCLM) – Action Matrix**

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref N. | Ref IEE Rec | Action | | | |
| 2.48 | | Changes will be introduced in the Basic Texts, including for the election of members. The members will be countries not individuals but in nominating their representatives countries will be expected to propose representatives with the necessary legal qualifications; | Completed | Completed in 2009 | Governing Body Document |
| 2.49 | | The chair will be elected from amongst the CCLM members by the Council on the basis of his/her individual merit (in the event of a chair falling vacant, the incumbent will be replaced by a vice-chair of the Committee elected by the Committee, until such time as a replacement can be elected by the Council); | Completed | Completed in 2009 | Governing Body Document |
| 2.50 | | The Committee will have seven members, with each region having a right to one member nominated by the region and confirmed by the Council (countries may substitute their members for individual meetings or during the term of office, thus avoiding that a seat remains empty) | Completed | Completed in 2009 | Project Leader Statement/Governing Body Document |
| 2.51 | | The CCLM will be open to non-speaking observers | Completed | Completed in 2009 | Project Leader Statement/Governing Body Document |

**Regional Conferences – Action Matrix**

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 2.52 | 4.13 | Changes in lines of reporting, functions and ways of working will be introduced immediately in practice and followed-up by Basic Text changes, including changing the status of the Regional Conferences to Committees of the FAO Conference: | Completed | Completed in 2012 | Project Leader Statement/Governing Body Document |
| 2.53 | | a) Functions will include:<br>  i) Develop issues for regional policy coherence & regional perspective on global policy issues & regulation – presenting its report to the FAO Conference<br>  ii) Review and advise on the FAO programme for the region and the overall FAO programme as it affects the region – presenting its report to the Council through the Programme and Finance Committees | Completed | Completed in 2011 | Project Leader Statement/Governing Body Document |
| 2.54 | | b) Ways of working – Regional Conferences will:<br>  i) be convened normally once in every biennium on the decision of the Members of FAO from the region and with full consultation among members on agendas, formats, dates & duration and need for the Conference;<br>  ii) appoint a rapporteur;<br>  iii) the Chair and rapporteur will remain in office between sessions and the Chair, or if not available the rapporteur, will present the Regional Conference report to the FAO Council and Conference (with consideration also by the Programme and Finance Committees as appropriate) in line with the new cycle of governing body oversight and decision making for the programme and budget process;<br>  iv) to the extent possible, hold sessions in tandem with other inter-governmental regional bodies concerned with agriculture;<br>  v) papers for Regional Conferences will be focused with actionable recommendations. | Completed | Completed in 2011<br><br>Ongoing process of continuous improvement | Project Leader Statement/Governing Body Document |
| 2.55 | | Introduce Basic Text changes for functions, reporting lines, etc. | Completed | Completed in 2009 | Governing Body Document |

**Technical Committees – Action Matrix**

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 2.56 | 4.11 | The Committees will report to Council on FAO's budget, and the priorities and strategies for the programmes and directly to the FAO Conference on global policy and regulation becoming Committees of the Conference, and: | Completed | Completed in 2009 | Governing Body Document |
| 2.57 | | a) Chairs will remain in office between sessions and provide their reports to the Council and Conference; | Completed | Completed in 2011<br><br>Ongoing process of continuous improvement<br><br>Costs in IPA Programme 2012-13 | Project Leader Statement/Governing Body Document |
| 2.58 | | b) Ways of working –Technical Committees will:<br>i) meet more flexibly as to duration and frequency, according to needs, normally once in each biennium. They will address priority emerging issues and may be convened especially for this purpose; | Completed | Completed in 2011<br><br>Ongoing process of continuous improvement | Project Leader Statement/Governing Body Document |
| 2.59 | | ii) the Chair will facilitate full consultation with Members, on agendas, formats and duration | Completed | Completed in 2011<br><br>Ongoing process of continuous improvement | Project Leader Statement/Governing Body Document |
| 2.60 | | iii) More use will be made of parallel sessions and side events, taking care that countries with small delegations can participate (informal sessions will include NGOs and the private sector including representation from developing countries); | Completed | Completed in 2011<br><br>Ongoing process of continuous improvement | Project Leader Statement |
| 2.61 | | iv) The Committee on Agriculture (COAG) will specifically include and devote adequate time in its agenda to livestock with a livestock segment; | Completed | Completed in 2009 | Project Leader Statement/Governing Body Document |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 2.62 | | v) The Committee on Commodity Problems (CCP) will strengthen interaction with UNCTAD, WTO and the Common Fund for Commodities; | Completed | Completed in 2009 | Project Leader Statement/Governing Body Document |
| 2.63 | | vi) The Committee on World Food Security (CFS) will revitalise its role in monitoring and driving progress on the World Food Summit commitment and reviewing the State of Food Insecurity in the world. | Completed | Completed in 2009 | Governing Body Document |
| 2.64 | | Introduce changes in practice, including ways of working and reporting lines | Completed | Completed in 2009 | Governing Body Document |
| 2.65 | | Introduce Basic Text changes for functions, reporting lines, etc. | Completed | Completed in 2009 | Governing Body Document |

**Ministerial Meetings – Action Matrix**

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 2.66 | 4.12 | Basic Text Change to specify that the Conference or Council may call a Ministerial meeting when matters developed at technical level need political endorsement or more visibility. | Completed | Completed in 2011<br><br>Costs in IPA Programme 2012-13 | Governing Body Document |
| 2.67 | | The Ministerial meeting reports will normally be considered directly by the Conference. | Completed | Completed in 2011 | Project Leader Statement |

**Statutory Bodies, Conventions, Treaties, Codex, etc. – Action Matrix**

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 2.68 | 4.11g | Conferences of parties to treaties, conventions and agreements such as Codex and the IPPC (incorporated under FAO statutes) may bring issues to the attention of the Council and Conference through relevant the Technical Committee (Basic Text Change) | Completed | Completed in 2011<br><br>Ongoing process of continuous improvement | Project Leader Statement/Governing Body Document |
| 2.69 | 4.6 | Undertake a review with a view to making any necessary changes to enable those statutory bodies which wish to do so to exercise financial and administrative authority and mobilise additional funding from their members, while remaining within the framework of FAO and maintaining a reporting relationship with it. | Completed | Completed in 2012<br><br>Main-streamed in 2013 | Project Leader Statement/Governing Body Document |

**Further Actions to Improve the Effectiveness of FAO Governance – Matrix**

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | | | | | |
| 2.70 | 4.4a | The Council, Programme and Finance Committees, CCLM, Regional Conferences and Technical Committees will each: | Completed | Completed in 2012 | Governing Body Document |
| 2.71 | | a)   prepare a multiyear programme of work of at least four years duration, once per biennium which will be reviewed by the Council and/or Conference (in accordance with their respective reporting lines); | Completed | Completed in 2012 | Governing Body Document |
| 2.72 | | b)   prepare a report of their progress against the Programme of Work once every two years also for review by the Council and/or Conference. | Completed | Completed in 2012 | Governing Body Document |
| 2.73 | | The term Governing Bodies will be defined, preferably in the Basic Texts | Completed | Completed in 2009 | Governing Body Document |
| 2.74 | 4.1c | The Conference will assess the workings of the governance reforms, including the role and functioning of the Regional Conferences with an independent review as an input to this process. | Open | | |
| 2.75 | 8.6b | In order to further transparency and communication the Director-General will report to and dialogue with the Council and the Joint Meeting of the Programme and Finance Committees on the:<br>• Strategic Framework and Medium Term Plan priorities;<br>• Priority goals which senior management has established for immediate progress;<br>• annual and biennial performance. | Completed | Completed in 2009 | Project Leader Statement |
| 2.76 | | Costs of revising the Basic Texts for all Governing Bodies: Work to be carried out by Legal Office and CCLM for revisions of Basic Texts | Completed | Completed in 2009 | Project Leader Statement |

## *Evaluation, Audit and Organizational Learning*

| Evaluation - Action Matrix |
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| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 2.77 | 7.10a | **Establishment of evaluation as a separate and operationally independent office** inside the FAO secretariat structure, reporting to the Director-General and to the Council through the Programme Committee. | Completed | Completed in 2009 | Project Leader Statement |
| 2.78 | 7.11 | **Evaluation Budget:** The evaluation Regular Programme budget will be increased to 0.8-1.0% of the total Regular Programme Budget (over two biennia) and once decided upon by the Governing Bodies, as part of the Programme of Work and Budget approval process, allocated in full to the evaluation office. <br> All contributors of extra-budgetary funds will respect the Council decision that at least 1% of all extra-budgetary funds should be allocated for evaluation. | Completed | Completed in 2012 | |
| 2.79 | 7.10d | **Evaluation staffing:** <br> a) Recruitment of Evaluation Director at D2 level. A panel consisting of representatives of the Director-General and Governing Bodies, as well as evaluation specialists from other UN agencies will review the terms of reference and statement of qualifications for the post, and then participate in a panel to screen and select an appropriate candidate. The Director of evaluation will serve for a fixed term of four years with the possibility of renewal for a maximum of one further term, with no possibility for reappointment within FAO to another post or consultancy for at least one year; | Completed | Completed in 2009 | Project Leader Statement |
| 2.80 | | b) All appointments for evaluation of staff and consultants will follow transparent and professional procedures with the first criteria being technical competence but also with attention to considerations of regional and gender balance. The Director of Evaluation will have the main responsibility for the appointment of evaluation staff and the responsibility for appointment of consultants in conformity with FAO procedures. | Completed | Completed in 2009 | Project Leader Statement |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 2.81 | 7.10b | **Quality assurance and continued strengthening of the evaluation function:**<br>a) Strengthening of existing independent peer review of major reports | Completed | Completed in 2009 | Project Leader Statement |
| 2.82 | | b) Biennial review by a small group of independent peers for conformity of work to evaluation best-practice and standards – report to management and the Council together with the recommendations of the Programme Committee | Completed | Completed in 2009 | Project Leader Statement |
| 2.83 | 7.10b | c) Independent Evaluation of the evaluation function every six years – report to management and the Council together with the recommendations of the Programme Committee | Open | Initial steps completed in 2012; ongoing | |
| 2.84 | 7.10c | **Approval by the Council of a comprehensive evaluation policy incorporated in a "Charter",** including the above, and<br>a) the FAO internal evaluation committee will interact with the Programme Committee as appropriate; | Completed | Completed in 2010 | Governing Body Document |
| 2.85 | | b) the rolling evaluation plan will continue to be approved by the Governing Bodies, following consultation with the internal evaluation committee; | Completed | Completed in 2010 | Project Leader Statement |
| 2.86 | | c) the follow-up processes for evaluation will be fully institutionalised, including an independent monitoring system and reporting to the Programme Committee; | Completed | Completed in 2010 | Project Leader Statement |
| 2.87 | | d) all evaluation reports, management responses and follow-up reports will continue to be public documents, fully available to all FAO Members. Efforts to discuss and bring the reports to the attention of all concerned Governing Body members will also be further strengthened through consultative groups and workshops on individual evaluations; | Completed | Completed in 2010 | FAO Intranet |
| 2.88 | | e) the evaluation office will have an institutionalised advisory role to management on results based management and programming and budgeting, reinforcing the feed-back and learning loop; | Completed | Completed in 2010 | Governing Body Document |
| 2.89 | | f) evaluation will be well coordinated within the UN system, taking account of the work of the Joint Inspection Unit (JIU) and the evaluation office will continue to work closely with the United Nations Evaluation Group (UNEG). | Completed | Completed in 2009 | Project Leader Statement |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 2.90 | 7.10c | g) The provisions for evaluation as approved in the Charter reflected in the Basic Texts | Completed | Completed in 2010 | Governing Body Document |

## Audit - Action Matrix

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 2.91 | 7.9a | In line with current policy, the work of the Inspector-General's office will be extended to cover all major organizational risk areas, making use of external expertise as necessary | Completed | Completed in 2011<br><br>Ongoing process of continuous improvement<br><br>Costs in IPA Programme 2012-13 | Project Leader Statement/Governing Body Document |
| 2.92 | 7.9b | The Audit Committee:<br>a) will be appointed by the Director-General and have a membership which is fully external agreed by the Council on the recommendation of the Director-General and Finance Committee; | Completed | Completed in 2009 | FAO Policy Manual |
| 2.93 | | b) present an annual report to the Council through the Finance Committee | Completed | Completed in 2009 | FAO Policy Manual |
| 2.94 | 7.9f | The External Auditor will assume responsibility for audit of the immediate office of the Director-General in addition to the regular audits carried out by the Inspector-General | Completed | Completed in 2009 | Project Leader Statement |

**Appointment and Term of office of the Director-General - Action Matrix**

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---------|--|--|--------|-----------|------------------|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 2.95 | 4.20 | Introduce procedures and Basic Text changes to strengthen opportunity for the FAO membership to appraise candidates for the post of Director-General prior to the election, including: | Completed | Completed in 2011 | Governing Body Document |
| 2.96 | | a) Candidates for the post of the Director-General will address the Conference at which the election will be held. Members will have the opportunity to put questions to candidates (expenses of candidates will be covered from the FAO Budget); | Completed | Completed in 2011 | Governing Body Document |
| 2.97 | | b) Candidates for the post of the Director-General will address a session of the FAO Council not less than 60 days prior to the Conference at which the election will be held. At that session both Members and observers to the Council will have the opportunity to put questions to candidates (the meeting with candidates is for information only and no recommendation or conclusion of the discussion will be made - expenses of candidates will be covered from the FAO Budget); | Completed | Completed in 2011 | Governing Body Document |
| 2.98 | | c) Nominations by Member Governments of candidates for the post of Director-General will close at least 60 days prior to the above Council session; | Completed | Completed in 2011 | Governing Body Document |
| 2.99 | | d) When the post of Director-General is due to become vacant it will be publicised, no less than 12 months before the closure of nominations, noting that all nominations remain fully the responsibility of Member Countries; | Completed | Completed in 2009 | Governing Body Document |
| 2.100 | | e) The FAO Conference will consider for approval desirable qualifications for the post of Director-General developed by the CoC-IEE in 2009. | Open | | |
| 2.101 | 4.20 | Change Basic Texts for period of office of the Director-General to four years with possibility of renewal for one further period of four years | Completed | Completed in 2009 | Governing Body Document |

*Reform of Systems, Programming & Budgeting*
*Culture Change and organizational Restructuring*

| **Reform of Programming, Budgeting and Results Based Monitoring- Action Matrix** |
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| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.1 | 7.1, 7.2 & 3.19 | **Introduction of revised Programme and Budget Documentation** consisting of the following sections, which may be presented as a single document to avoid repetition and provide a complete picture (first full approval 2009 for 2010-2011 biennium): | Completed | Completed in 2009 | Governing Body Document |
| 3.2 | | i) **Strategic Framework** with a 10-15 year time horizon reviewed every four years and including:<br>• Analysis of the challenges facing food, agriculture and rural development and the dependent peoples, including consumers,<br>• Strategic Vision,<br>• The Goals of Member Nations, and<br>Strategic Objectives for achievement with support from FAO by Member Countries and the international community, including indicative targets and indicators of achievement (some 8-12); | Completed | Completed in 2009 | Governing Body Document |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.3 | | ii) **Medium Term Plan** with a four year time horizon and reviewed each biennium, including:<br>• Strategic Objectives for achievement with support from FAO by Member Countries and the international community, as per the Strategic Framework,<br>• Organizational Results framework (outcomes) – a maximum of some 80 inclusive of the core functions, contributing to the achievement of Strategic Objectives by Member Countries and the international community. Each Organizational Result will have specified achievement targets and indicators for verification, show FAO's contribution and indicate the budget from assessed contributions and estimated extra-budgetary resources (targets may be conditioned upon level of extra-budgetary resources) Gender will be fully integrated into the Strategic Framework and Medium Term Plan and will no longer have a separate Plan of Action,<br>• Impact Focus Areas which combine results, which focus resources as a communication tool, serving to mobilise and improve oversight of extra-budgetary resources in key impact areas,<br>• Core Functions of FAO, and<br><br>iii) Functional Objectives which ensure organizational processes and administration work towards improvements in a Results Based Framework; | Completed | Completed in 2009 | Governing Body Document |
| 3.4 | | iv) **Programme of Work and Budget,** each covering a single biennium, with the budget divided between an administrative budget and a programme budget presented in a results based framework and providing:<br>• Organizational Results framework (outcomes) as per the Medium Term Plan, including the organizational responsibility for each result;<br>• Quantification of costs for all Organizational Results and all obligations<br>• Calculation of cost increase and planned efficiency savings,<br>• Provision for long-term liabilities, under-funded obligations and reserve funds<br>• Draft Programme and Budget resolution. | Completed | Completed in 2009 | Governing Body Document |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.5 | | v) The summary Programme of Work and Budget will be eliminated in view of the ongoing interaction of the Governing Bodies in the Programme development process. | Completed | Completed in 2009 | Governing Body Document |
| 3.6 | 7.5 | **Introduction of a Revised Implementation Performance Results Based Management monitoring system and report:** Each report will cover the previous biennium and report on delivery, and targets and indicators of results as well as efficiency indicators for the functional objectives. This report will replace the current Programme Implementation Report. | Completed | Completed in 2011 | Governing Body Document |
| 3.7 | 7.3 | **Introduction of revised cycle of preparation and Governing Body decision making (see Chart 1 below for sequencing).** The **date of the FAO Conference will move to June**, starting from 2011, with a corresponding shift in the dates of all other meetings (the Council will meet in September 2009 in order to prepare the Conference – in line with the new cycle). The following full cycle will be introduced **starting 2010** (for budgetary provision for meetings – see B Governance Reform): | Completed | Completed in 2011 | Governing Body Document |
| 3.8 | | i) Year 1 of the biennium (with at least two meetings of the Council):<br>• the Technical Committees will review and make recommendations, with respect to their areas of mandate, on: FAO performance in contributing to results against performance indicators, including any pertinent evaluations, and<br>♦ priorities ad results planned under the Medium Term Plan, including in areas of global governance, and suggest adjustments for the next biennium;<br>• The Regional Conferences will with respect to their Regions, review and make recommendations on:<br>♦ FAO performance in contributing to results against performance indicators, including any pertinent evaluations;<br>♦ priorities and results planned under the Medium Term Plan, and suggest adjustments for the next biennium; and | Completed | Completed in 2011 | Governing Body Document |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| | | policy issues for the region to be considered at global level or through additional action at regional level.<br>• The Council and the Programme and Finance Committees with respect to their areas of mandate, will review and make decisions on:<br>♦ the performance implementation report for the previous biennium, including performance against indicators;<br>♦ major evaluations;<br>♦ budgetary and implementation performance in the second half of the year;<br>♦ any necessary adjustments in the agreed Programme of Work and Budget; approve in advance requested reallocations between Chapters. | | | |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.9 | | i) <u>Year 2 of the biennium</u> (with at least two and probably three main meetings of the Council): <br>• <u>Throughout the year </u>the Programme and Finance Committees and the Council will review and make decisions on any necessary adjustments in the agreed Programme of Work and Budget and approve in advance any requested reallocations between Chapters; <br>• January - March: the Programme and Finance Committees and the Council will review the proposed Medium Term Plan and Programme of Work and Budget and in every second biennium, the Strategic Framework; <br>• January –March: - not as part of the Governing Body cycle of meetings - an informal meeting will be held of interested members and other potential sources of extra-budgetary funds and partnership, to exchange information on extra-budgetary funding requirements, especially in relation to Impact Focus Areas; <br>• March/April: The Council will make explicit recommendations to the Conference for the Results Framework and budgetary aspects, including the budget level; <br>• June: The Conference will approve the Results Framework and budgetary aspects including the budget level; and <br>• September – November: the Programme and Finance Committees and the Council will if necessary consider and approve any changes in the Results Framework and budgetary allocations following the Conference decision on the budget level. | Completed | Completed in 2011 | Governing Body Document |
| 3.10 | 7.3 | Introduce necessary Basic Text changes for Programme and Budget cycle including the timing of Governing Body sessions | Completed | Completed in 2009 | Governing Body Document |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.11 | 8.17 | In addition to capital account and TCP, introduce provisions for roll-over of up to five percent of the assessed budget, between biennia, in order to smooth income and expenditure, thus reducing wasteful and inefficient transactions. | Closed | Closed in 2012 | |

## Resource Mobilization and Management Strategy

| Resource Mobilization and Management Strategy – Action Matrix |
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| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
| --- | --- | --- | --- | --- | --- |
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.12 | 7.6 | To supplement Assessed Contributions, projected extra-budgetary resources will be integrated within the programming and budgeting process, including the definition of Impact Focus Areas, while recognising that extra-budgetary funding is not fully predictable (see also paragraphs 8 and 33), and: | Completed | Completed in 2011 Ongoing process of continuous improvement Costs in IPA Programme 2012-13 | Project Leader Statement/Governing Body Document |
| 3.13 | | a)    review by the Council of the plans for, the application and results of extra-budgetary resources in an integrated framework on the basis of the findings and recommendations of the Programme and Finance Committees, ensuring that resources are mobilized to support the agreed priorities of the Organization; | Completed | Completed in 2009 | Governing Body Document |
| 3.14 | | b)    put in place a management structure for extra-budgetary resources and assessed contributions which places overall strategy, policy, management and coordination of resource mobilization, including donor relations on policy, in a central Office of Strategy, Planning and Resources Management with decentralized responsibilities at all levels within the coordinated framework for resource mobilization, in particular at regional and country levels including a small unit in the Department of the Organization dealing with Technical Cooperation which will support the decentralized offices and operations units in their liaison with donors; | Completed | Completed in 2011 Ongoing process of continuous improvement Costs in IPA Programme 2012-13 | Project Leader Statement |
| 3.15 | | c)    vigorously pursue new partnerships, including with the private foundations; | Completed | Completed in 2011   Ongoing process of continuous improvement | Project Leader Statement |
| 3.16 | | d)    keep under continuous review both efficiency measures and the cost of support services to extra-budgetarily funded work to ensure that there is no cross-subsidisation between the sources of funds. | Completed | Completed in 2009 | Project Leader Statement/Governing Body Document |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.17 | 4.6 | Review treaties conventions, agreements and similar bodies and instruments established under articles VI, XIV and XV of the FAO constitution with a view to their developing a greater degree of self-funding from their members (see also 2.69). Present report to Council and reports to the parties to the agreements. | Completed | Completed in 2011 | Governing Body Document |
| 3.18 | 8.16 | Introduce measures to encourage timely payment and the avoidance of arrears and management of resource availability, taking account of the Recommendations of the Finance Committee, including: | Completed | Completed in 2009 | Project Leader Statement/Governing Body Document |
| 3.19 | | a)    annual review by the Council on the basis of a report from the Finance Committee of the situation of late payments and arrears and its implications for the Organization's liquidity; | Completed | Completed in 2009 | Governing Body Document |
| 3.20 | | b)    prominent reporting on the main FAO public website of the situations of timely payments and delayed payments and arrears by country; | Completed | Completed in 2009 | Project Leader Statement |
| 3.21 | | c)    continuation of the present responsible borrowing policy to smooth cash flow | Completed | Completed in 2009 | Project Leader Statement |

*The Technical Cooperation Programme*

| Technical Cooperation Programme – Action Matrix |
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| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.22 | 3.2c & 7.8 | TCP resources to be allocated to regions under the authority of Regional Representatives, except for 15% retained under the authority of the Department responsible for Technical Cooperation for use in emergencies and 3% for inter-regional projects. | Completed | Completed in 2011 | FAO Intranet |
| 3.23 | | Indicative allocations to regions agreed as follows with review by the Council every four years in line with the Medium Term Planning cycle: Africa 40%; Asia and Pacific 24%; Latin America and Caribbean 18%; Europe 10%; Near East 8%. Developed countries are eligible for TCP but only on a full refund basis | Completed | Completed in 2009 | Governing Body Document |
| 3.24 | 3.2c & 7.8 | TCP project cycle and TCP approval guidelines to be reviewed in 2009, reaffirming priority to Least Developed Countries; Low-Income Food-Deficit Countries; Small Island and Land-Locked Developing States, further clarifying existing Council approved guidelines and specifying: | Completed | Completed in 2009 | Governing Body Document |
| 3.25 | | a)    approval criteria including convergence of countries' needs and the Organization's agreed Strategic Objectives and Organizational Results; | Completed | Completed in 2009 | Governing Body Document |
| 3.26 | | b)    specify minimum information required from countries for consideration of request; | Completed | Completed in 2009 | Governing Body Document |
| 3.27 | | c)    clarify the project cycle – specifying the steps and responsibilities for clearances at each stage of the process, simplifying the number of steps, and with delegations to decentralized offices at the lowest level possible; | Completed | Completed in 2009 | Governing Body Document |
| 3.28 | | d)    clearly specify timelines for each stage of the process so that managers can be held accountable; | Completed | Completed in 2009 | GB doc |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---------|---|---|--------|-----------|------------------|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.29 | | There will not be universal criteria for the proportion of TCP funding to go to Regional and sub-regional projects, as this varies from region to region. | Completed | Completed in 2009 | Project Leader Statement/FAO Intanet |

## Institutional Culture Change

### Culture Change in the FAO Secretariat – Action Matrix

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.30 | 6.2 | Develop terms of reference, and appoint, an External Facilitator and change team | Completed | Completed in 2009 | Director-General Bulletin |
| 3.31 | 6.1 & 6.2 | Development of Internal vision | Completed | Completed in 2009 | FAO Website |
| 3.32 | 6.1 & 6.2 | Implementation of the vision | Open | | |

### Ethics – Action Matrix

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.33 | 7.9g | Appointment of an Ethics Officer, functioning of the office, and training of staff | Completed | Completed in 2011<br><br>Costs in IPA Programme 2012-13 | Director-General Bulletin |
| 3.34 | 7.9g | Review of Terms of Reference and proposed membership of Ethics Committee by the CCLM and the Finance Committee | Completed | Completed in 2011 | Governing Body Document/Director-General Bulletin |
| 3.35 | 7.9g | Appointment and initiation of work by Ethics Committee | Completed | Completed in 2011 | Director-General Bulletin |
| 3.36 | 7.9g | Review of annual or biennial report of Ethics Committee by the Council on the basis of the findings and recommendations of the CCLM and Finance Committee | Completed | Completed in 2012 | Project Leader Statement |

*Reform of Administrative and Management Systems*

| Reform of Administrative and Management Systems – Action Matrix |
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| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| **Management Early Actions summary including:** | | | | | |
| 3.37 | 8.4 8.3 & | Delegations of authority from the Office of the Director-General for human resource actions; | Completed | Completed in 2010 | FAO Policy Manual |
| 3.38 | 8.10 8.10 | Delegation of authority for procurement, authority for Letters of Agreement to divisional level and in the decentralised offices; | Completed | Completed in 2011 | FAO Intranet |
| 3.39 | 8.10 | Streamlining of travel procedures; | Duplicate RBR 7.15 | | |
| 3.40 | | Local procurement for emergencies; | Completed | Completed in 2010 | FAO Manual |
| 3.41 | 8.10 | Opening of temporary operational cash accounts in the field; | Completed | Completed in 2009 | FAO Intranet |
| 3.42 | | Development and deployment of a field version of oracle adapted to FAORs' needs. Note: some early actions will be completed by the time of the Special Session of the Conference; other major items which will incur costs beyond the Conference are reflected below (e.g. Root and Branch review and performance management). | Open | | |
| **Basic Text change to facilitate delegation of authority** | | | | | |
| 3.43 | 8.1 | Revise Basic Texts to stipulate that in line with the agreed principle of delegations of authority to the lowest appropriate levels, the Director-General may delegate final authority and responsibility in specific areas of work and action to designated officers and such delegations will be reflected in the FAO manual and published job descriptions. | Completed | Completed in 2009 | Governing Body Document |
| 3.44 | 8.1 | Conduct of Root and Branch Review | Completed | Completed in 2009 | FAO Website |
| 3.45 | | Review by management, the Council and the Finance Committee of the Final Report | Completed | Completed in 2009 | FAO Website |
| 3.46 | | Development of follow-up action plan | Completed | Completed in 2009 | Project Leader Statement |
| 3.47 | | Review by Governing Bodies of the Follow-up Action Plan | Completed | Completed in 2009 | Governing Body Document |
| 3.48 | | Implementation of Action Plan | Completed | Completed in 2012 | Project Leader Statement/Governing Body Document |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| **Shared Services with Rome Based UN Agencies (see Partnerships below)** | | | | | |
| **Enterprise Risk Management Framework** | | | | | |
| 3.49 | 8.15 | Agreement by Finance Committee on Terms of Reference for a comprehensive enterprise risk management study addressing all forms of risk, including but not limited to financial risk | Completed | Completed in 2009 | Governing Body Document |
| 3.50 | | Issue of external contract for the study | Completed | Completed in 2010 | Project Leader Statement |
| 3.51 | | Review by management and the Council and Finance Committee of the Final Report | Completed | Completed in 2011 | Governing Body Document |
| 3.52 | | Development of follow-up action plan | Completed | Completed in 2011 | Governing Body Document |
| 3.53 | | Review by Council and the Finance Committee of the Follow-up action plan | Completed | Completed in 2011 Ongoing process of continuous improvement | Governing Body Document |
| 3.54 | | Full Implementation of Enterprise Risk Management Structure and systems | Open | | |
| 3.55 | 3.6 | A budget will be set aside for technical publishing (paper and web) in each FAO language. A panel of users of technical documentation in each language will decide on the application of funds for translation (this is in addition to the existing budget for main meeting documentation) | Parked | | |
| 3.56 | 3.6 | Increased hard copies of technical documentation will be made available to Least Developed Countries with decisions on priorities for documents taken by the same panels | Completed | Completed in 2011 | Project Leader Statement |
| 3.57 | | Separate mirror websites to the FAO website will be developed for Arabic and Chinese | Parked | | |
| 3.58 | | Following the findings of the Root and Branch Review, improvements will be introduced to ensure quality and timely translation if possible at reduced costs | Completed | Completed in 2010 | Project Leader Statement/Governing Body Document |

## Human Resource Policies and Practices

| Human Resource Policies and Practices - Action Matrix |
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| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
| --- | --- | --- | --- | --- | --- |
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.59 | 8.5 | Maintaining the primary criteria of staff and consultant selection on the basis of merit, implement an effective policy for geographical and gender representation, particularly regarding developing countries | Completed | Completed in 2011<br><br>Costs in IPA Programme 2012-13 | Director-General Bulletin |
| 3.60 | 8.8 | Introduce a package for increasing staff training, including in management | Completed | Completed in 2011<br><br>Recurring costs in IPA Programme 2012-13 | Project Leader Statement |
| 3.61 | 8.2 | Establish an incentive based rotation policy in HQ and between HQ and the decentralized offices with clear criteria | Open | | |
| 3.62 | 8.2 | Establish a joined-up and consistent system for the recruitment and development of young professionals, particularly from developing countries. This will include the intern programme | Completed | Completed in 2011<br><br>Costs in IPA Programme 2012-13 | Project Leader Statement/Governing Body Document |
| 3.63 | 8.4 | Decentralise and delegate decision making within clear policies and requirements, including further delegation of authorities from the Office of the Director-General and from senior management | Completed | Completed in 2010 | Director-General Bulletin |
| 3.64 | 8.4 | Wider publication of FAO vacancies | Completed | Completed in 2011<br><br>Costs in IPA Programme 2012-13 | Project Leader Statement/FAO Website |
| 3.65 | 8.4 | Develop, publish and implement procedures for full transparency in the selection and recruitment of all senior staff and FAORs | Completed | Completed in 2010 | FAO Intranet |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.66 | 8.4 | Revise competency profiles for Regional Representatives, sub-regional coordinators and FAORs, including competencies in management and policy support<br>NEW - Revise competency profiles for all job families including Regional Representatives, sub-regional coordinators and FAORs, including competencies in management and policy support | Open | | |
| 3.67 | 8.3 | Introduce transparency and competitive policies for recruitment of consultants with measures to ensure attention to geographical and gender balance | Completed | Completed in 2009 | Governing Body Document |
| 3.68 | 8.3 | Rationalise the use of FAO retirees who will not be rehired for at least six months after their retirement from FAO | Completed | Completed in 2009 | Administrative Circular |
| 3.69 | 8.3 | Consultants, including FAO retirees, will not be used for long-term gap filling in vacant posts as a cost saving measure | Completed | Completed in 2009 | Administrative Circular |
| 3.70 | 8.7 | Introduce an objective staff appraisal system linking staff performance to organizational objectives based on realistic performance targets and objective assessment criteria | Completed | Completed in 2011<br><br>Costs in IPA Programme 2012-13 | FAO Intranet |
| 3.71 | 6.15 & 8.3 | Introduce dual grading for P5/D1 and D1/D2 posts | Parked | | |
| 3.72 | 8.2 | Upgrade the Oracle systems to i) improve ease of data extraction and analysis and ii) to support substantive staff management, rather than purely transaction processing | Completed | Completed in 2011 | Project Leader Statement |
| 3.73 | 8.3c | Establish a staff redeployment fund initially funded from extra-budgetary resources and subsequently funded from a proportion of staff costs | Completed | Completed in 2009 | Project Leader Statement |
| 3.74 | 4.8e | Enhance governance oversight of all aspects of human resource policies through the Finance Committee, including the use of consultants | Completed | Completed in 2009 | Project Leader Statement/Governing Body Document |
| 3.75 | 8.3d | Governing Body action and action by management to secure changes at the UN Common System level<br>a) develop proposals for Common System change<br>b) present changes to UN | Completed | Completed in 2012 | Project Leader Statement |

## Restructuring for Effectiveness and Efficiency

**Decentralization - Action Matrix**

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.76 | | The Programme and Finance Committees will support the Council in providing policy oversight of all aspects of the Decentralization including in particular the implementation of the Immediate Plan of Action | Completed | Completed in 2012 | Project Leader Statement |
| 3.77 | | Organize Senior Management Meetings so that ADG/Regional Representatives can be present via video link | Completed | Completed in 2009 | Project Leader Statement |
| 3.78 | 6.20 | Transfer the primary reporting line for decentralised technical officers in the regional offices to the Regional Representatives (ADGs) or, where more appropriate for sub-regional staff, the sub-regional coordinator | Completed | Completed in 2009 | Director-General Bulletin |
| 3.79 | 6.19 | Fully involve ADG/Regional Representatives in programming and budgeting (see also 3.14) | Completed | Completed in 2009 | Project Leader Statement |
| 3.80 | 6.20 | Transfer Budget and Programme responsibility of technical officers in the regional offices to the Regional Representatives (ADGs) | Completed | Completed in 2009 | Project Leader Statement |
| 3.81 | 6.20 | Transfer primary responsibility for technical, substantive and technical aspects of supervising FAORs to the Regional Representatives (ADGs) with, where appropriate, the reporting line to the ADG through the sub-regional coordinator. A unit in the office responsible for operations will handle overall coordination, liaison between regions, etc. | Completed | Completed in 2010 | Director-General Bulletin |
| 3.82 | 6.19 | Revise all delegated authorities to decentralized offices and control procedures (see also above) | Completed | Completed in 2010 | Project Leader Statement |
| 3.83 | 6.21 | Discontinue administrative responsibilities with sub-regional offices to allow them to function fully as technical support units to countries of the sub-region | Completed | Completed in 2009 | Project Leader Statement/FAO Intranet |
| 3.84 | 6.22 | Clearly distinguishing between well established offices and any plans for additional new offices, rationalise coverage of country offices following results of review utilising agreed criteria, taking into account both existing and potential locations, efficiency, projected cost savings and cost/benefit analysis. Implementation of the results of the review will ensure that at a minimum the structural deficit is eliminated in the Country representation (FAORs) through alternative forms of country presence, with further reductions desirable to free up resources for the improved functioning of the decentralized offices. Criteria to be applied: a) size of the FAO Programme (indicative ratio office costs to size of programme 1:3); b) commitment to the National Medium-Term Priority Frameworks as they are | Closed | Closed in 2012 | Governing Body Document |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| | | developed with FAO; <br> c)  size and poverty levels of agriculturally dependent population; <br> d)  priority to Least Developed Countries; <br> e)  potential for agriculture in economic growth; <br> f)  ease of servicing from another country; <br> g)  potential for shared or fully joint representations with the UN system, particularly with the other Rome-based agencies, and other regional organizations as appropriate; and <br> h)  willingness of governments to cover costs of FAO presence. | | | |
| 3.85 | 6.20 & 6.21 | Adjust composition of sub-regional and regional office staffing in line with priority needs, reviewed in light of the UN system offices | Completed | Completed in 2009 | Project Leader Statement |
| 3.86 | | Clarify coverage of Near East Regional Office | Completed | Completed in 2010 <br><br> Ongoing process of continuous improvement | Project Leader Statement/Governing Body Document |
| 3.87 | 8.4 | Redefine job descriptions, profile of competencies (including policy competence), recruitment and performance appraisal procedures (open competitive) for Regional ADGs, Sub-Regional Coordinators and FAORs (see also 3.66) | Closed | Closed in 2012 | |
| 3.88 | 8.6 | Introduce benchmarks and a performance-based reporting and monitoring system for decentralized offices | Open | | |
| 3.89 | 8.8 | Strengthen staff training (see also 3.60) | Completed | Completed in 2011 | FAO Intranet |
| 3.90 | | Deployment of support systems (including training and upgrade of IT information systems) | Completed | Completed in 2011 <br><br> Ongoing process of continuous improvement <br><br> Costs in IPA Programme 2012-13 | Project Leader Statement |

## Headquarters Structure

**Headquarters Structure – Action Matrix**

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---------|---------|--------|--------|-----------|-----------------|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.91 | 6.7 & 6.15 | a) establish offices of: Strategy, Planning and Resource Management; | Completed | Completed in 2009 | Director-General Bulletin |
| 3.92 | | i) Evaluation | Completed | Completed in 2009 | Director-General Bulletin |
| 3.93 | | ii) Legal and Ethics | Completed | Completed in 2009 | Director-General Bulletin |
| 3.94 | | b) examine the most appropriate organizational functions and structure for corporate communications, partnership and interagency affairs; | Completed | Completed in 2009 | Director-General Bulletin |
| 3.95 | | c) transfer OCD functions to Regional/sub-regional Offices and to a coordination unit in the office responsible for operations; | Completed | Completed in 2010 | Project Leader Statement/FAO Intranet |
| 3.96 | | d) delayering of D level posts (27 to be abolished for 2010-11 biennium) | Completed | Completed in 2009 | Governing Body Document |
| 3.97 | 6.6 6.7 & 6.8 | Approve in principle the apex of the Structure of Headquarters Departments and the Senior Executive Management (see Box 5 below) for introduction in 2010, subject to any adjustments indicated by the functional analysis below | Completed | Completed in 2009 | Director-General Bulletin |
| 3.98 | | Complete functional analysis of the work of the Headquarters Departments and finalise plans for their reorganization and detailed mandates<br>• Technical Departments in light of Medium Term Plan<br>• Operational functions in light of Medium Term Plan and the Root and Branch Review<br>• Support Services, Administration and Human Resources in light of Root and Branch Review | Completed | Completed in 2009 | Director-General Bulletin |
| 3.99 | | Conference approval of the revised Headquarters structure in the Programme of Work and Budget 2010-11 | Completed | Completed in 2009 | Director-General Bulletin |
| 3.100 | | Appoint Senior Executive Management Team including two DDGs | Completed | Completed in 2009 | Director-General Bulletin |
| 3.101 | | Implement new Headquarters structure | Completed | Completed in 2010 | Director-General Bulletin |
| 3.102 | | Reorganize senior management responsibilities, including for strategic objectives and core functions | Completed | Completed in 2010 | Director-General Bulletin |
| 3.103 | | Review reorganization with a view to further improvements | Open | | |

## *Partnerships*

| Partnerships – Action Matrix |
|---|

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.104 | 5.1 | Finalise and disseminate guiding corporate principles on partnerships as a living document, including that partnerships are: | Completed | Completed in 2011 | Project Leader Statement/FAO Website |
| 3.105 | | a)    not an end in themselves but a means for greater effectiveness in supporting international governance of agriculture and agricultural development, pursuing the objectives and priorities of the Strategic Framework of the Organization. The desirability of a partnership thus depends on the mutual value-added and benefits in achieving shared objectives expressed in terms of results, and weighed against the costs and impediments to its effectiveness for the partners; | Completed | Completed in 2011 | Project Leader Statement |
| 3.106 | | b)    based on the comparative advantages of the partners and aim at specific goals of FAO shared by the partners; and | Completed | Completed in 2011 | Project Leader Statement |
| 3.107 | | c)    generally built-up from ongoing collaboration. | Completed | Completed in 2011 | Project Leader Statement |
| 3.108 | | The nature of FAO's role will vary according to the different partnerships it engages in and the Organization may take a leadership role or act as facilitator in some, and be a participant in others. FAO must at all times preserve its neutral and impartial role and act in a transparent manner, avoiding partnerships where significant conflict of interest is of concern | Completed | Completed in 2011 | Project Leader Statement |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.109 | 5.1 | Stocktaking of partnerships including the potential for greater partnership with the private sector. Undertake assessment and launch new or renewed partnerships pursuing the possibilities for further joint activities and collaborative arrangements with:<br>➢ the United Nations system, with emphasis on partnership at country level;<br>➢ CGIAR and OIE;<br>➢ International Atomic Energy Agency;<br>➢ the private sector;<br>➢ civil society organizations<br><br>NEW - Mainstream, operationalization and implementation of renewed strategy for partnerships with civil society and the FAO  strategy for partnerships with the private sector, including capacity building targeted to all FAO staff. Undertake assessment and stocktaking of partnerships, including the potential for greater partnership with civil society and the private sector. Launch new or renewed partnerships pursuing the possibilities for further joint activities and collaborative arrangements with the private sector and civil society organizations. | Open | | |
| 3.110 | 5.1 | Preparation of a short-term agenda of initiatives (12 months) that will generate outcomes and outputs and preparation of a medium-term action plan in line with the Medium Term Plan (4 years), including development and implementation of a training programme<br><br>NEW - Operationalization and implementation of corporate partnership strategies in line with FAO's Strategic Framework. Further strengthening collaboration within the UN system, including among the Rome-based UN agencies. Development and implementation of training activities for all corporate partnerships. Preparation and dissemination of communication materials. | Completed | Completed in 2012 | Project Leader Statement/FAO Website |
| 3.111 | 5.4 | Further pursue partnership with the Rome based UN agencies for synergies leading to both efficiency gains and increased effectiveness, making full use of the comparative strengths of the three Organizations within their respective mandates, particularly with respect to: | Completed | Completed in 2012 | Project Leader Statement/FAO Website |
| 3.112 | | a)    areas of technical programme interface and overlap both in normative and development work; | Completed | Completed in 2012 | Project Leader Statement/FAO Website |
| 3.113 | | b)    shared administration and services (taking note of the findings of the Root and Branch Review); | Completed | Completed in 2012 | Project Leader Statement/FAO Website |
| 3.114 | | c)    joint oversight functions, including evaluation. | Completed | Completed in 2012 | Project Leader Statement/FAO Website |

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.115 | | Regular joint meetings of the management of the three organizations will take place with the membership to review progress | Completed | Completed in 2012 | Project Leader Statement/FAO Website |
| 3.116 | | Progress and proposals to be reviewed annually by the Council on the basis of recommendations of findings of the Programme and Finance Committees | Completed | Completed in 2012 | Project Leader Statement/FAO Website |
| 3.117 | 5.1 | Establishment of a monitoring mechanism to ensure feedback and iterative improvement of partnership collaborations and of the FAO strategy | Completed | Completed in 2012 | Project Leader Statement |
| 3.118 | | Establishment of focal point responsibilities for partnerships | Completed | Completed in 2009 | Project Leader Statement/FAO Intranet |

# *Follow-up Arrangements for Implementation of the Immediate Plan of Action*

| Governing Body Follow-up - Action Matrix |
|---|

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 4.1 | | **The Council** will monitor the progress of implementation of the Immediate Plan of Action. and report to the Conference at its 36th Session (2009) and its 37th Session (2011). It will be supported in this by the Programme and Finance Committees and reports from the management. | Open | | |
| 4.2 | | A time-bound **Conference Committee** will be established for the duration of 2009 under Article VI of the FAO Constitution to complete outstanding work within the Immediate Plan of Action (see below). It will present its report to the 36th Session of the FAO Conference in November 2009. This Committee will collectively decide the final recommendations of the Committee to the Conference, arriving at its decisions to the maximum extent possible through consensus. The Conference Committee will undertake its work with the direct support of Working Groups and with direct expert inputs to the Working Groups from the Programme and Finance Committees and the advice of the Council as appropriate. FAO management is expected to actively support the Committee and participate in its meetings and those of its Working Groups.<br>The functions of the Committee, without prejudice to the statutory functions of the Council and its standing committees are:<br>i)    to recommend to the 36th session of the FAO Conference (2009): | Completed | Completed in 2009 | Governing Body Document |
| 4.3 | | •    the new Strategic Framework, Medium Term Plan 2010-13 and the Programme of Work and Budget 2010-11 proposed by management with a new integrated results-based framework. These recommendations will be developed by the Conference Committee and will be undertaken with the support of a Working Group of the Conference Committee and with direct expert inputs to the Working Group from the Programme and Finance Committees, the support of management and the advice of the Council as appropriate; | Completed | Completed in 2009 | Governing Body Document |
| 4.4 | | •    any changes found desirable in the size and regional representation in the membership of the Council and propose with advice from the CCLM any necessary changes in the Basic Texts to the 2009 Session of the Conference; | Open | | |

| 4.5 | | • further reforms of systems, culture change and organizational restructuring, including:<br>♦ Follow-up action to the final report of the Root and Branch Review (17 April 2009);<br>♦ Initiation and review of the report of the study for an Organizational Risk Assessment and Management Framework,<br>♦ Plans for increased effectiveness and streamlining of the decentralized offices;<br>♦ Plans for restructuring of headquarters;<br>♦ Detailed proposals for strengthened financial management; and<br>♦ Detailed proposals for strengthened Human Resource management. | Completed | Completed in 2009 | Project Leader Statement/Governing Body Document |
|------|--|---|---|---|---|
| 4.6 | | ii) to provide policy oversight and guidance of the process of revision of the Basic Texts in line with the changes provided for in the Immediate Plan of Action (and propose the necessary changes to the Conference Report). This work will be carried out on the basis of the recommendations of the Committee on Constitutional and Legal Matters (CCLM) and review by the Council as appropriate. | Completed | Completed in 2009 | Project Leader Statement/Governing Body Document |
| 4.10 | | Establish Trust Fund and costs of 2009 implementation | Completed | Completed in 2009 | Governing Body Document |
| 4.11 | | Contribute to trust fund | Completed | Completed in 2009 | Governing Body Document |

## *Managerial Arrangements for IEE Follow-up Implementation*

**FAO Managerial Arrangements for IEE Follow-up Implementation – Action Matrix**

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---------|--|--|--------|-----------|------------------|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 4.7 | | Establish internal managerial arrangements including: | Completed | Completed in 2009 | Project Leader Statement |
| 4.8 | | i) a reform support group; | Completed | Completed in 2009 | Project Leader Statement |
| 4.9 | | ii) specialist working groups, including for the Root and Branch Review and the Change Team drawn from all parts and levels of the Organization (decentralised and centralised) | Closed | Closed in 2012 | |

**Addition of DG's Early Actions**

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 6.2 | | 5% budget to DDGs for interdisciplinary work | Closed | Closed in 2012 | Governing Body Document |
| 6.4 | | Joint FAO/IAEA Division | Completed | Completed in 2010 | Project Leader Statement |
| 6.5 | | Synergy and partnership | Completed | Completed in 2010 | Project Leader Statement |

**Addition of 4 new action items**

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 3.36a | | Appointment of Ombudsman | Open | | |
| 4.6a | | Hold up to three CoC-IEE meetings per year in 2010-11 | Completed | Completed in 2011 | Governing Body Document |
| 4.9a | | IPA employee communications | Closed | Closed in 2012 | |
| 4.9b | | IPA member communications | Closed | Closed in 2012 | |

## Addition of Root and Branch Review action items

| ACTIONS | | | STATUS | QUALIFIER | TYPE OF EVIDENCE |
|---|---|---|---|---|---|
| Ref. N. | Ref. IEE Rec | Action | | | |
| 7.0 | | Strengthen IT Governance. All functions must abide by formal processes, e.g. project/change request procedures, project management and development processes | Completed | Completed in 2012<br><br>Ongoing process of continuous improvement | Project Leader Statement/FAO Intranet |
| 7.1 | | Identify the areas of improvement and define the actions for the enhancement of the Results-Based Management (RBM) | Completed | Completed in 2012 | Governing Body Document |
| 7.2 | | Design the new Planning and Budgeting Model, define the new structure of PWB, outline the new standard streamlined logical framework for "Projects" budgets and the requirements for the standardized new reporting system. | Open | | |
| 7.3 | | Re-define the role of the ODG with regard to administrative activities. Not performed because the management invited to focus on Corporate Services, but remains in scope and it is highly recommended to the management. | Completed | Completed in 2011 | Governing Body Document |
| 7.4 | | IT responsibilities and functions should be consolidated in one CIO | Completed | Completed in 2011<br><br>Ongoing process of continuous improvement | FAO Intranet |
| 7.5 | | Review the roles of internal committees and reduce their number. Accomplished as part of the activities of the work-streams. Stage 2 reinforces this recommendation. | Completed | Completed in 2011 | Project Leader Statement |
| 7.6 | | New procurement model for managing the initial phases of purchasing actions | Completed | Completed in 2011<br><br>Costs in IPA Programme 2012-13 | Project Leader Statement |
| 7.7 | | Develop the registered vendors management towards an active suppliers management (partnership principles) | Completed | Completed in 2011 | Governing Body Document |
| 7.8 | | Empowerment of regional and local officers in managing local procurement | Completed | Completed in 2012 | Project Leader Statement/FAO Manual |
| 7.9 | | Transfer of transactional activities to the SSC | Completed | Completed in 2011<br><br>Costs in IPA Programme 2012-13 | Project Leader Statement |

| 7.10 | | Align the objectives of the support functions with the strategic objectives of the organization, defining key efficiency targets and service level agreements - SLAs (commitment model). Converted into one of the Value Drivers to promote the reform | ? | | |
|---|---|---|---|---|---|
| 7.11 | | Review reduction of multifunctional printers | Completed | Completed in 2011<br><br>Ongoing process of continuous improvement<br><br>Costs in IPA Programme 2012-13 | Project Leader Statement |
| 7.12 | | Increase the range of support services and software development delivered from KCT offshore centre in Bangkok | Completed | Completed in 2011<br><br>Ongoing process of continuous improvement | Project Leader Statement |
| 7.13 | | The CIO Division must fund and implement a proper induction and maintenance-training program for the decentralized ITO/ITSO staff, and this must include periodic visits to Headquarters so that the decentralized CIO Division staff build and maintain relationships with colleagues to supplement formal systems for information flow and problem solving. | Completed | Completed in 2011<br><br>Costs in IPA Programme 2012-13 | Project Leader Statement |
| 7.14 | | Operational model for the implementation of partnerships in procurement actions with other UN agencies | Completed | Completed in 2011<br><br>Costs in IPA Programme 2012-13 | Project Leader Statement |
| 7.15 | | Other activities of the Joint procurement initiative - Travel | Completed | Completed in 2012 | FAO Intranet |
| 7.16 | | Define a plan for the registry management, considering the shift to electronic and the outsourcing of resources | Completed | Completed in 2012 | Project Leader Statement/FAO Intranet |
| 7.17 | | Proposal for a new Printing & Distribution department, including External Printing , Internal Printing and Distribution. Change of the printing and distribution procedure | Completed | Completed in 2011<br><br>Ongoing process of continuous improvement<br><br>Costs in IPA Programme 2012-13 | Project Leader Statement |
| 7.18 | | Change Translation Service Model. Enhance Terminology & Roster Management. | Completed | Completed in 2010 | Governing Body Document |

| 7.19 | | Change Translation Service Model. Translation service to be funded by Regular Programme | Open | | |
|------|---|-----------------------------------------------------------------------------------------------|------|---|---|
| 7.20 | | Review the Translation Service Model. | Completed | Completed in 2010 | Governing Body Document |
| 7.21 | | Review of the travel approval process | Completed | Completed in 2009 | Project Leader Statement |
| 7.22 | | Carry out a major overhaul of the FAO Manual, reviewing and publishing a simplified framework, so that staff in all locations can understand-and comply with FAO rules and regulations. | Open | | |
| 7.23 | | Create a Business Improvement Unit, including streamlining and process improvement, overhaul of the FAO Manual (see above), and other business improvement initiatives. | Completed | Completed in 2010 Process of continuous improvement | Project Leader Statement |
| 7.24 | | Implementation of IPSAS as key initiative for the finance division and FAO as a whole | Open | | |
| 7.25 | | Enhance Oracle ERP related functionalities to meet IPA requirements | Completed | Completed in 2012 | Project Leader Statement |
| 7.26 | | Design of the Management Information System | Completed | Completed in 2012 Ongoing process of continuous improvement | Project Leader Statement |
| 7.27 | | Define a new role for the HR Function and review the HR competency framework and accountability framework | Completed | Completed in 2011 Costs in IPA Programme 2012-13 | Project Leader Statement |
| 7.28 | | Selection and prioritization of on-going initiatives | Completed | Completed in 2009 | Governing Body Document |