



Food and Agriculture Organization  
of the United Nations

# Managing for Results at FAO

orientation guide



# Table of Contents

Acronyms and Abbreviations	v
About this guide	vii
<b>1. FAO's Strategic Framework and why it is so important</b>	<b>1</b>
1.1 Principles of Managing for Results (MfR)	3
1.2 Benefits of MfR	4
<b>2. FAO Results</b>	<b>5</b>
2.1 How do we define results?	6
2.2 What about FAO's other priorities?	13
2.3 Results at Project level and the Strategic Framework	15
2.4 How does FAO work towards these results?	16
<b>3. FAO Indicators</b>	<b>21</b>
3.1 Why Measure, Analyse and Monitor?	21
3.2 Putting it into Practice: FAO's Monitoring Framework	22
3.3 How does FAO set targets?	30
<b>4. Reporting and Learning</b>	<b>33</b>
4.1 Benefits of Reporting	33
4.2 FAO's Reports	34
4.3. FAO's Systems used for MfR processes	37
4.4. When to Plan, Monitor and Report	39
4.5. Learning and Adapting	39
<b>5. Annex - Glossary of Key FAO MfR Terms</b>	<b>41</b>



# Acronyms and Abbreviations

ADG	Assistant Director-General
CAP	Consolidated Appeals Process
CBA	Corporate Baseline Assessment
CPF	Country Programming Framework
CPMB	Corporate Programmes Monitoring Board
COA	Corporate Outcome Assessment
CTA	Corporate Technical Activities
DaO	Delivering as One (UN Initiative)
DO	Decentralized Office
ESS	Economic and Social Development Department - Statistics Division
FAO	Food and Agriculture Organization
FAOR	Food and Agricultural Organization Representative
FO	Functional Objective
FPMIS	Field Programme Management Information System
FPSN	Field Programme Support Network
GRMS	Global Resource Management System
IADG	Internationally Agreed Development Goals
ILO	International Labour Organization
IM	Information Management
iMIS	Integrated Management Information System
IT	Information Technology
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MfR	Managing for Results
MoU	Memorandum of Understanding
MTP	Medium Term Plan
MTR	Mid-Term Review
OECD	Organization for Economic Co-operation and Development
OSP	Office of Strategy, Planning and Resources Management
PIR	Programme Implementation Report
PIRES	Programme Planning, Implementation Reporting and Evaluation Support System
PWB	Programme of Work and Budget
RBB	Results-based Budgeting
RI	Regional Initiative
RP	Regular Programme
RR	Regional Representative
SDG	Sustainable Development Goal
SO	Strategic Objective
SPFS	Emergency and Special Programme for Food Security
SPL	Strategic Programme Leader
TC	Technical Cooperation
TCP	Technical Cooperation Programme
UN	United Nations
UNDAF	United National Development Assistance Framework
UNDP	United Nations Development Programme
UNDG	United Nations Development Group



# About this guide

This Orientation Guide on *Managing for Results* (MfR) aims to establish amongst FAO employees a common understanding of what results are at FAO and how they are embodied in our *Strategic Framework*. The Guide outlines basic concepts on the use of MfR and on FAO's Strategic Framework that drives and aligns all of our work. It is for use by all FAO employees.

This Orientation Guide explains:

- How results are defined and applied in the FAO context.
- How various levels of corporate results contribute to the achievement of country specific, FAO development *goals* and *Sustainable Development Goals* (SDGs).
- How FAO results are measured and how monitoring and reporting tools are used to align our work, help us learn quickly, allocate our resources effectively, and demonstrate our effectiveness on a regular basis.

This Guide is not meant to be an exhaustive 'how to' manual, but rather an overview of how MfR is embodied by FAO's Strategic Framework and applied in all corporate planning, monitoring and reporting processes and systems. It presents the FAO results framework in an approachable format, and is the first of a series of learning resources designed to provide employees with clear guidelines and tools to strengthen our commitment to managing for results.

All published information on FAO's Strategic Framework and related programme, planning and reporting documents can be found at [www.fao.org/pwb](http://www.fao.org/pwb).

Corporate guidance on programme planning, implementation, monitoring and reporting policies and procedures is found in the FAO Handbook at <http://intranet.fao.org/faohandbook/>.

Please note that in this document, all italicized terms constitute common concepts, names or designations and are defined in the Glossary section at the end of this document.





# 1. FAO's Strategic Framework and why it is so important

Most successful organizations have a vision for the future that provides the long-term ambition and guides their work. Our vision as an Organization is a *“world free of hunger and malnutrition where food and agriculture contribute to improving the living standards of all, especially the poorest, in an economically, socially and environmentally sustainable manner”*.

To realize this vision, and make a sustainable contribution to the global development agenda, the FAO Strategic Framework sets out our Members' Goals and the *Strategic Objectives (SO), Outcomes, and Outputs contributing to their achievement through results set out in the Medium Term Plan (MTP) and Programme of Work and Budget (PWB)*. The Strategic Framework defines our way of working through *Core Functions* and involves continuing improvements to the way we operate and how we evaluate our success. These improvements enable us to be more focused on our priorities, to increasingly work as a unified team and to have a greater and more sustainable *impact* through our partnerships.

By laying out our vision and how we aim to achieve it, the Strategic Framework moves us toward achieving the global sustainable development agenda, notably the SDGs<sup>1</sup>, and Outcome areas related to agriculture and food security.

Food and Agriculture are key to achieving the entire set of SDGs. As a specialized UN agency, FAO's wide ranging capacities, long experience working with development actors and unique expertise in the three dimensions of sustainable development can assist countries implement the 2030 Agenda. Both the Strategic Framework and SDGs are geared towards tackling the root causes of poverty and hunger, building a fairer society and leaving no one behind.

---

1 For more information on the SDGs, please refer to: i) <http://www.fao.org/sustainable-development-goals> and ii) booklet Food and Agriculture –Key to achieving the 2030 Agenda for Sustainable development. <http://www.fao.org/3/a-i5499e.pdf>

The proximity and broad alignment of FAO’s Strategic Framework to the SDGs places the Organization in a strong position to make immediate contributions to support countries taking the lead in implementing and monitoring the SDGs.

From the Members’ three Global Goals, FAO developed five SOs representing priority areas of work to achieve our vision. A sixth objective, focusing on technical quality, knowledge and services, and four *cross-cutting themes* on gender, governance, nutrition and climate change are woven into the very fabric of all our Organization’s work and are key to the achievement of each of our five SOs.

To implement the Strategic Framework and to support Member Countries in meeting the SOs and the SDGs, FAO has joined other United Nations (UN) agencies in adopting a Managing for Results (MfR) approach. MfR ensures a clear path for achieving results and having robust systems and *benchmarks* for assessing progress and managing performance. FAO’s transition to MfR reflects a renewed way of working as a results-oriented organization with an enhanced focus on outcomes and impacts. Together, our Strategic Framework and MfR ensure we meet our SOs and our commitment to achieving food security, healthy diets and sustainable use of natural resources.

FAO’s Strategic Framework is illustrated below in **Figure 1**. The key components of this framework will be explained in detail in the section on FAO Results.

**Figure 1:** Our Strategic Framework



Each of the five SOs embodies FAO’s development priorities and the 2030 Agenda. In this way, the Strategic Framework provides a comprehensive picture of the Organization’s strategy. The MTP and the PWB steer how individual efforts and initiatives align to best achieve Outcomes together with our Member Countries. They include meaningful *target* measures, including relevant SDG targets, and guide the definition of the necessary sequence of activities based on FAO’s Core Functions that focus on the implementation of the strategy to achieve the defined targets (these aspects will also be explained in the sections below).

**Remember!**

**The Strategic Framework:**

- Sets the vision and mission of the Organization;
- Sets Goals and SOs to achieve our vision and mission; and
- Clarifies how team and individual contributions connect to achieve the best results as defined in the MTP and PWB.

**1.1 Principles of Managing for Results (MfR)**

MfR is a management strategy focused on performance and sustainable improvement. It is the approach used to achieve the objectives laid out in our Strategic Framework<sup>2</sup>. FAO is dedicated to becoming an Organization that uses MfR in all of its actions and activities so that together we can ensure improved and more effective development assistance. This is our shared commitment to being accountable to our stakeholders, our beneficiaries, and to our UN partner agencies<sup>3</sup>. Making this happen is everyone’s responsibility. Some of the core principles and benefits of integrating MfR into the work that we do at FAO are:

**Figure 2:** Managing for Results Principles

Our Principles	Description
<b>Mutual Accountability</b>	MfR helps to ensure that all people involved in FAO programming have a common understanding of the expected results, activities and <i>risks</i> involved in project formulation, monitoring and <i>evaluation</i> . This helps to align results to national strategies and priorities, and encourages national ownership and shared responsibility of results. <ul style="list-style-type: none"> <li>▶ Working closely with countries is, and always will be, a priority.</li> </ul>
<b>Partnership</b>	A strong MfR process involves collaborating with stakeholders at all levels of society. Engagement of relevant stakeholders in all stages of the programming process maximizes FAO’s contribution to development processes and increases the sustainability of our impact. <ul style="list-style-type: none"> <li>▶ Creating an open and inclusive environment is essential to our work.</li> </ul>
<b>Learning and Accountability</b>	MfR leads to greater <i>accountability</i> by encouraging us to clearly define, track and demonstrate our results. FAO is committed to achieving positive impacts for people on the ground and greater accountability to countries, donors, parliaments, governing bodies and citizens. <ul style="list-style-type: none"> <li>▶ Demonstrating to all the success and continuous improvement in our work, therefore positioning FAO as a preferred development partner.</li> </ul>

2 MfR is a key concept that has been adapted from Peter F. Drucker Managing for Results (1964).  
 3 For more information on FAO Accountability Policy, please refer to <http://intranet.fao.org/faohandbook/area/transparency-accountability>.

## 1.2 Benefits of MfR

MfR has supported the development and adoption of key practices at FAO that have improved accountability, decision-making, teamwork, and communication, among other things. There are several benefits of MfR, some of those include:

### ► **Greater focus on end results for better organizational learning and decision making**

Learning from experience is vital to FAO remaining a relevant Organization. With MfR, we are better able to improve interventions by employing lessons learned and systematizing best practices and knowledge sharing gathered through the monitoring process. Evidence collected regularly during MfR processes allows decision-makers to adjust rapidly and shift resources quickly to what works best. All this helps to build our credibility and legitimacy.

### ► **Improved ownership, accountability and team work**

A greater focus on expected outcomes (i.e. “what has been achieved and changed”) rather than simply “what was done”. This, together with challenging yet achievable performance standards, can increase motivation for all. We are accountable for the results of our actions, which must contribute to meeting the expectations of stakeholders and beneficiaries. The efficient provision of high quality services is key to the achievement of agreed results. MfR’s shared outcomes and measures aid FAO teams in completing and synchronizing their work as well as delegating the necessary authority, thereby improving commitment, engagement, motivation and trust.

### ► **Increased trust and constructive relationships with partners**

Results metrics provide a direct link from SO priorities to results on the ground and also increase mutual accountability among all FAO offices, Member Countries, partners and donors. Understanding the desired end results and the metrics for assessing performance helps ensure that engagements with partners are focused and positive. Trust increases with improved reporting and transparency on strengths and weaknesses, which can help to attract additional resources and create a more enabling environment for the achievement of our SOs.

### ► **Improved communication**

By setting clear priorities and measurements, MfR clarifies FAO’s strategic work and helps the Organization find partners who share those goals. It also ensures greater relevance of information generated for stakeholders and management. Relevant, timely, reliable, accessible and objective information allows for rigorous analysis and for decisions that are constructively explained and constantly improved.

## 2. FAO Results

Results are defined as the changes in a state or condition which derive from a cause-and-effect relationship<sup>4</sup>. As seen in the previous section, the Strategic Framework consists of Members' high-level goals (*Global Goals*), and a linked set of SOs, Outcomes, and Outputs. These three results levels compose a *FAO results chain* that drives and aligns all the work that we do, and contributes to the SDGs.

**Figure 3:** SO1 Results Chain Snapshot



4 UNDG. (2011). Results-Based Management Handbook. Harmonizing RBM concepts and approaches for improved development results at country level.

## 2.1 How do we define results?

FAO defines results by the timeframe targeted for achievement (long term to short term) and by our level of control and influence over the results. This helps determine accountability. This means that Outcomes are achieved through partnerships. Since partner contributions are necessary to clarify goals, roles, and responsibilities, it is essential that equitable attention be paid to resources allocation and shared monitoring, feedback and evaluation. Achievements of results at Output level are more short term and more within FAO's control. They are reported on an annual basis.

### 2.1.1 What you need to know about the Results Cycle at FAO

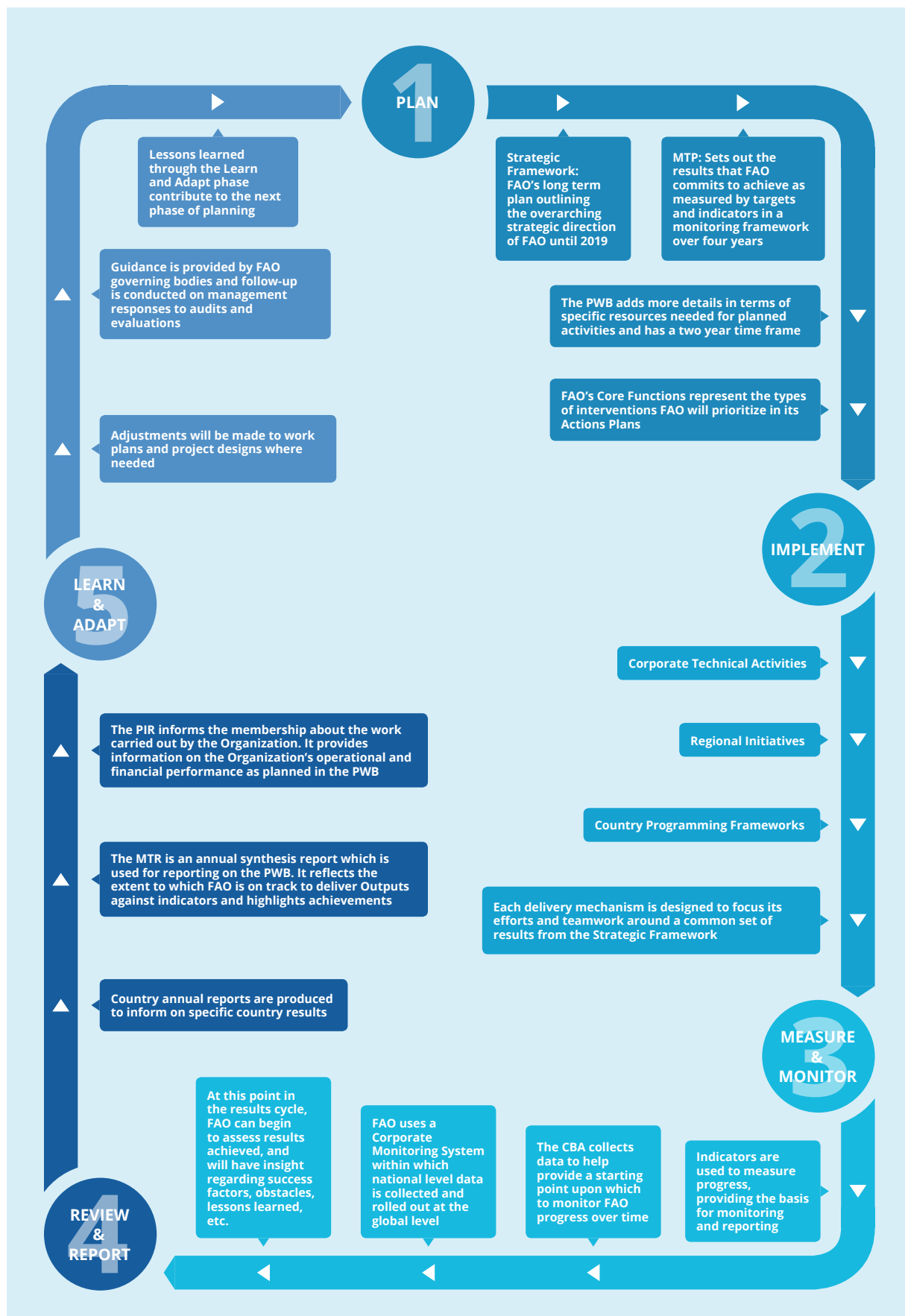
For simplicity, the process of defining and achieving FAO results as set out in our Strategic Framework can be explained using five representative phases that embody specific non-exclusive aspects of Managing for Results processes at FAO. Each phase is accompanied by a specific set of actions, outlined below:

The Five Phases of the Results Cycle at FAO			
	Phase	Description/Actions	Key Message
1	<b>Plan</b>	<p>Determine needs of stakeholders, partners and target areas and identify priorities given trends, challenges and available resources.</p> <ul style="list-style-type: none"> <li>• Strategic Framework: long term planning, provides FAO's overarching strategic direction.</li> <li>• MTP: sets out the results (i.e. Outcomes) that FAO commits to achieve over a four year time frame as measured by targets and <i>indicators</i>.</li> <li>• PWB: adds further details of specific resources needed for planned activities and has a two year time frame.</li> <li>• <i>Country Programming Frameworks</i> (CPFs).</li> <li>• Project formulation.</li> <li>• Core Functions: represents the types of interventions FAO will prioritize.</li> </ul>	<p>The aim of the planning phase is to set the long-and medium-term strategic direction of FAO and define the desired results to be achieved (i.e. Outcomes and Outputs) thereby ensuring strategic and operational coherence in FAO's work.</p>
2	<b>Implement</b>	<p>Coordinate the execution of work of the Strategic Objective Programmes to achieve planned deliverables (i.e. <i>products and services</i>) at global, regional and in country levels to achieve the planned Outputs. Assign operational responsibilities to FAO offices and regions. Allocate/mobilize resources, adjust budgetary allocations.</p> <ul style="list-style-type: none"> <li>• Delivery Mechanisms: Teams organize delivery to achieve planned Outputs, products and services through <i>Country Programming Frameworks</i> (CPFs), <i>Regional Initiatives</i> (RIs), <i>Corporate Technical Activities</i> (CTAs) and projects. Each Delivery Mechanism is designed to focus on the identified priority area(s) that contribute to results in the Strategic Framework.</li> </ul>	<p>The implementation phase is about effectively using resources to deliver Outputs and the deliverables defined during planning at all levels.</p>

3	<b>Measure &amp; Monitor</b>	<p>Measuring and Monitoring is crucial for knowing the extent of progress made toward the results in our Strategic Framework.</p> <p>FAO uses different systems for monitoring desired results:</p> <ul style="list-style-type: none"> <li>• Programme Planning, Implementation Reporting and Evaluation Support System (PIRES) - for ROs and HQ.</li> <li>• Field Programme Management Information System (FPMIS) - for country offices.</li> <li>• Results Dashboards in iMIS - for all.</li> <li>• Operational monitoring Dashboard in iMIS - for all.</li> <li>• Global Resource Management System (GRMS).</li> </ul> <p>These systems allow all FAO offices worldwide and senior managers in FAO's Corporate Programmes Monitoring Board (CPMB) to assess and monitor budgetary performance and performance of results against indicator targets for early detection of issues and adaptive action.</p>	<p>Performance monitoring tells us how well our programmes or interventions are performing, including compared with our intended results.</p>
4	<b>Review &amp; Report</b>	<p>Data collected through monitoring will be analysed and translated into meaningful information during the Review and Report Phase.</p> <ul style="list-style-type: none"> <li>• Country Annual Reports are produced to report achievements against targets on individual country results as defined in the CPFs and through corporate monitoring processes.</li> <li>• Mid-Term Review (MTR): reports on the PWB. This document reflects the extent to which FAO is on track to deliver Outputs.</li> <li>• Programme Implementation Report (PIR): updates Member Countries on the work carried out by the Organization over the past two years. It provides information about the Organization's operational and financial performance, and progress against Outputs as well as achievements against targets.</li> </ul>	<p>In this phase, FAO communicates results and lessons learned to member countries, governing bodies, partners and stakeholders.</p>
5	<b>Learn &amp; Adapt</b>	<p>FAO applies the lessons learned through the MTR and PIR to inform the MTP and PWB.</p> <p>Guidance is provided by FAO governing bodies and follow-up is conducted through management responses to audits or evaluations. Adjustments are made to institutional systems, work plans, and programme design as needed.</p>	<p>The Learn and Adapt phase drives learning in order to make positive changes, improve performance, and adapt to changing environments. The most important task for managers, their teams, and partners is to meet frequently to review performance information and dialogue on how to improve delivery and quality of results as rapidly as possible.</p>

The Results Cycle ensures that important issues and conditions are identified, and appropriate solutions are designed, planned, implemented, monitored and evaluated. The cycle represents a continuous process in which each stage provides the foundation for the next. The duration of each phase may vary and can, in some cases, overlap.

Figure 4: FAO Results Cycle







## Remember!




Results are at the centre of FAO's work and essential to managing our performance throughout the Results Cycle.

- MfR puts results at the centre of what FAO is doing through planning, implementation, monitoring, and reporting of results. It allows us to learn and adapt as an Organization.
- MfR uses evidence - performance measures - for decision making in order to accelerate adjustment from learning, optimize resource allocations and demonstrate accountability.
- MfR builds a culture of learning, partnerships, and inclusiveness.



### 2.1.2 Strategic Objectives (SO)

SOs define development's long-term effects in areas where FAO is committed to achieve results<sup>5</sup>. The reviewed Strategic Framework (2010-2019) commits to five SOs<sup>6</sup>. These high-level, long-term objectives translate the Global Goals set by Member Countries and provide a strategic orientation for FAO's contributions over a ten to fifteen-year period, including the SDGs.


Strategic Objectives	
Description	Accountability
Long-term objectives (providing a clear vision of FAO's own programme of work).	FAO contributes to, but does not have any control over, these high-level, long-term results. There is a collective accountability on the part of several entities and many stakeholders. Indicators track global trends at this level and will be monitored annually. FAO has also a role as 'Custodian' of some SDG indicators.
<b>Example</b>	
<b>SO 1 and SDG 2</b>	<b>What FAO is doing</b>
 <p><b>Help eliminate hunger, food insecurity and malnutrition</b></p>	FAO contributes to the eradication of hunger by facilitating policies and political commitments to support food security and by making sure that up-to-date information about hunger and nutrition challenges and solutions is accessible.

5 FAO, OSP. (2014). Information Note on FAO Results Chain and Accountability for Delivery at <http://www.fao.org/docrep/meeting/030/mk760E.pdf>.

6 It is important to note that a sixth objective will cover the provision of technical quality, knowledge and services for the work of the Organization, encompassing core normative work. This objective is discussed in section 2.2 below.


### 2.1.3 Outcomes

Outcomes reflect the changes in the country, regional or global enabling environment and in capacities needed to achieve a specific SO. For example, Outcomes determine the extent to which countries have made the necessary reforms and established the required capacities to achieve the SOs. These are medium term results (approximately four years) produced from the use of FAO Outputs, among others. While FAO is involved in enabling these changes, Outcomes can only be achieved in direct partnership with governments and other stakeholders who are mutually responsible. Outcomes often represent changes in a country's institutional capacities and commitments, including changes in behaviours (practices) and attitudes, social action, decision-making, norms and knowledge, standards, etc.

Outcomes	
Description	Accountability
Intended or achieved short and medium-term changes in capacity and performance such as results of the uptake of the Outputs, among others.	FAO influences, but does not fully control Outcome level results. FAO is accountable in terms of monitoring the use of its advice and the effects of its use with its partners, but delivery is the responsibility of all partners – FAO, Member Countries and development partners. FAO contributes to the changes and improvements as delivered by the stakeholders.
Example	
Outcome 4.3	What FAO is doing
 <p><b>Policies, financial instruments and investments that improve the inclusiveness and efficiency of agrifood systems are developed and implemented by the public and private sectors.</b></p>	<p>FAO helps to strengthen public-private collaboration to improve smallholder agriculture:</p> <ul style="list-style-type: none"> <li>• FAO helps governments to collaborate more effectively with the food industry.</li> <li>• FAO engages the food industry and non-profits in providing support and services to smallholder farmers and small and medium-sized food companies.</li> <li>• FAO facilitates greater public and private investments in strengthening the food sector.</li> </ul>

## 2.1.4 Outputs

Outputs are a set of deliverables that result from FAO's interventions (processes, products and services) at the national, regional and global levels, using both regular and extra budgetary resources. They can be new products, goods and services or changes in skills and capabilities of individuals or institutions that result from the completion of activities within the control of the Organization. FAO produces and is directly accountable for the delivery of the Outputs. Outputs are directly linked and make an important contribution to one or more of the Outcomes.

Outputs	
Description	Accountability
The most immediate results or deliverables of the activities undertaken by the Organization; FAO's direct contribution to the achievement of SOs.	FAO produces, controls and is fully accountable for delivery: full <i>attribution</i> .
<b>Example</b>	
<b>Output 5.1.1</b>	<b>What FAO is doing</b>
 <p><b>Improving risk reduction capabilities and crisis management policies, strategies and plans.</b></p>	<ul style="list-style-type: none"> <li>• FAO helps countries as well as regional and global authorities develop strategies and plans to reduce and manage disaster related risks to agriculture, food, and nutrition.</li> <li>• FAO assists countries in ensuring that risk reduction measures are included in all policies related to agriculture, food and nutrition.</li> <li>• FAO supports strategies for risk reduction and crisis management, based on good practices tested and implemented in various agro-ecological and diverse livelihoods contexts.</li> </ul>

What distinguishes Outputs from Outcomes is that Outputs are direct short term deliverables within our control and therefore more direct deliverables of FAO actions. Outcomes on the other hand, are longer term (4 years). Furthermore, Outcomes require the collaboration of Member Countries and other partners to be achieved. FAO can contribute to these long term results or changes brought by the Outcomes by delivering the Outputs effectively. An example of this difference is provided in the case study below:

### Case Study Example of Outputs vs. Outcomes

At the Output level, an intervention may focus on skills, knowledge or awareness of beneficiaries, while at the Outcome level it may focus on a desired change in behaviour and practices on the part of the beneficiary. An increase in knowledge and awareness is something that comes before any change in behaviours or practices. Furthermore, there is more control at the Output level, where knowledge and awareness can be directly influenced by implementers. In contrast, implementers have no control over the Outcomes since behaviours and practices come from the beneficiaries themselves. The role of the Organization is to ensure it produces the knowledge and works at raising the awareness on the aspects that are likely to generate the change in practice/behaviours that will in turn bring about the benefits sought.

For example, Outcome 2.1 of the Strategic Framework reads: “Producers and natural resource managers adopt practices that increase and improve agricultural sector production in a sustainable manner.” The Outputs for this Outcome are:

- **Output 2.1.1:** Innovative practices for sustainable agricultural production are identified, assessed and disseminated and their adoption by stakeholders is facilitated.
- **Output 2.1.2:** Integrated and multi-sectoral approaches for ecosystems valuation, management and restoration are identified, assessed, disseminated and their adoption by stakeholders is facilitated.
- **Output 2.1.3:** Organizational and institutional capacities of public and private institutions, organizations and networks are strengthened to support innovation and the transition toward more sustainable agricultural production systems.

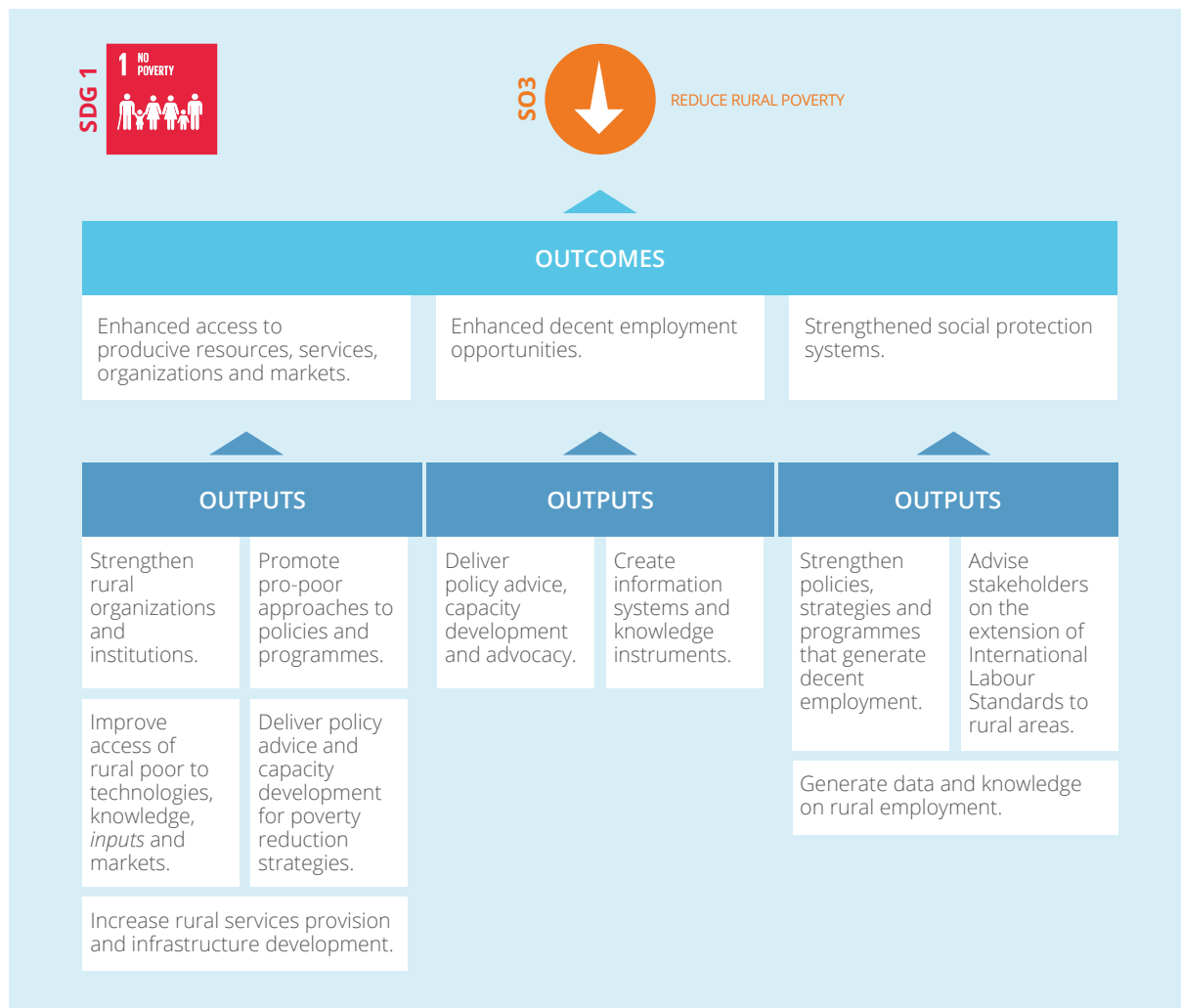
These Outputs aim to identify, assess and disseminate innovative practices and approaches (i.e. increase awareness and knowledge) and to strengthen capacities (i.e. increase skills and abilities) in order to achieve a specific Outcome (i.e. the adoption of new practices by the beneficiary). In order to convince producers and natural resource managers to adopt sustainable agricultural practices, it is necessary to increase their awareness and knowledge about the subject matter as well as the skills and abilities of key organizations to support them in this area. The Outputs in this case are short term, easier to control and are direct deliverables of FAO's actions, while the Outcomes are longer term, more difficult to control and brought about by a series of Outputs in collaboration with other partners.

### 2.1.5 The Strategic Framework's Sample Results Chain

FAO's Strategic Framework is divided into different results levels. The ways in which these results contribute to each other creates a results chain. What FAO produces (i.e. the Outputs) contributes to changes at a country, regional or wider level (i.e. the Outcomes) which then *impacts* long term development (i.e. SOs, Global Goals and SDGs). This hierarchy of change is a results chain. The logic that connects the different layers of results at each level is called the *theory of change*. In our Organization each SO has a number of Outcomes as well as various Outputs and therefore functions as its own results chain within FAO's larger Strategic

Framework. The figure below provides a simplified representation of SO3 to demonstrate how the various levels of results feed into each other in order to contribute to the objective of reducing rural poverty.

**Figure 5:** Example of a Simplified Results Chain from the Strategic Framework – SO3



## 2.2 What about FAO's other priorities?

To ensure a robust and practical results-based approach to all the Organization's work, we need to make sure that we have the internal capacity to achieve our expected results. This is the reason behind *Objective 6* and the *Functional Objectives (FOs)*.

### 2.2.1. Technical Quality, Knowledge and Services (Objective 6)

In an increasingly decentralized context, preserving the technical integrity of the Organization, as well as building its capacity to mainstream key technical functions are of paramount importance. The objective is to foster the quality and integrity of FAO's technical and normative work, to ensure the delivery of high-quality statistics, and the coordination of the cross-cutting themes on gender, governance, nutrition and climate change.

The responsibility for making sure we deliver high quality knowledge and services lies with FAO's technical departments; their technical capacities feed into the corporate plans of the SOs.

### **2.2.1.1 Cross-Cutting Themes**

FAO's cross-cutting themes are approaches and thematic areas of work that fall under the scope of Objective 6 but are also integrated across all of the SOs. FAO's four cross-cutting themes on gender, governance, nutrition, and climate change adaptation are integral to the achievement of each SO. For this reason, the cross-cutting themes are mainstreamed in all five SO Programmes. A small core team of employees specialized in these areas is organized for each cross-cutting theme within an organizational unit to ensure commitment to the themes, and to support the work that will be carried out within these areas.

#### **► Gender**

Recognizes that it is essential that both women and men are provided with the same opportunities and can equally benefit from sustainable development and humanitarian interventions.

#### **► Governance**

Refers to enabling effective and efficient problem-solving in ways that are regarded as legitimate by the stakeholders who are involved, enabled, or otherwise directly affected by the decisions and actions undertaken within or by any governance structure or regime.

#### **► Nutrition**

Is concerned with food systems, the way we produce, collect, store, transport, transform and distribute foods, so we can improve diets, health and impact on natural resources<sup>7</sup>.

#### **► Climate change adaptation**

Alludes to agriculture, including the forestry and fisheries sectors, and how these sectors must adapt to the impacts of climate change and improve the resilience of food production systems in order to feed a growing population<sup>8</sup>.

---

7 For more information, please refer to FAO resources on nutrition: <http://www.fao.org/nutrition/en/>

8 For more information, please refer to : <http://www.fao.org/climate-change/en/>

### 2.2.2 Functional Objectives (FO)

Four Functional Objectives (FOs) provide the enabling environment and means of action which are necessary for the successful delivery of FAO’s programme of work. These FOs measure FAO’s organizational effectiveness: FO8 on outreach (partnership, communication, resources mobilization and south-south cooperation); FO9 on information technology (IT); FO10 on internal governance, oversight and direction; and FO11 on efficient and effective administration.

FOs ensure that all programming and support functions under organizational units such as finance, human resources and administrative and infrastructure services, work to provide an environment which fosters and supports FAO in achieving the SOs. The aim is to ensure a corporate approach to the execution of these functions and services, while also providing a basis for measuring improvements. Therefore, and just like the other SOs, FOs have related Outcomes and Outputs, and progress and results are measured through key performance indicators.

Functional Objectives	
Description	Accountability
FOs provide the enabling environment for FAO’s work. They are about how our organizational systems perform.	FAO produces, controls and is fully accountable for delivery: full attribution.

### 2.3 Results at Project level and the Strategic Framework

Projects could be defined as smaller time bound units or sets of actions that contribute to achieving the results, products and services needed to achieve the above mentioned results of the Strategic Framework. Projects also apply a results cycle and results chain logic.

Projects could be global, regional on country level but they must all be aligned with the conceptual framework and principles of the Strategic Framework. Alignment requires that projects are designed in such a way that they form an integral part of the Strategic Framework result chain. This means that they should support or contribute to the achievement of one or more of the five Strategic Objectives (SOs) and Objective 6, at Outcome and Output levels.

Projects supporting country results should address priorities defined in the Country Programming Framework (CPF), and/or regional priorities, and should support the priorities and political processes of the country, including the SDGs.

Regional projects should support implementation of actions addressing regional priorities and/or initiatives as expressed in Regional Conferences, regional technical commissions, and other relevant political processes and agreements. Projects should support and be embedded in the implementation of the corporate programmes.

## 2.4 How does FAO work towards these results?

FAO is a complex Organization with a large number of employees. Let's take a look at FAO's different components and how its employees are all working together to achieve the Outputs and results set out in the Strategic Framework.

### 2.4.1 FAO's Core Functions

Core Functions are defined as the critical means of action that should be employed by FAO to achieve results. Consequently, Core Functions are the types of actions that FAO uses in priority to achieve concrete results under each SO, based on FAO's main attributes and strengths.

**Figure 6:** FAO's Core Functions



These seven Core Functions are areas in which FAO is expected to play a lead, but not necessarily an exclusive role. In such cases, FAO depends on its work with partners. SO Action Plans details how Core Functions will be applied in order to identify needed partnerships. The seven Core Functions are the most important instruments upon which FAO will base its work to pursue the objectives embodied in each SO, which themselves represent the development areas in which FAO will concentrate<sup>9</sup>.

9 FAO (2015). Reviewed MTP2014-17, paragraphs 61- 64.



## Case Study Example of FAO's Core Functions

### Mobilizing multiple Core Functions for sustainable policy change

FAO's Integrated Country Approach mobilizes several Core Functions in synergy to promote employment for young people in rural areas. The approach, currently being implemented in several countries in Africa, aims for sustainable policy change.

In Senegal for example, FAO has agreed on select priorities with the Ministry of Youth, Employment and Promotion of Civic Values, including the development of a National Rural Youth Employment Policy. The selection of priorities tries to balance at least one policy process together with an operational entry point. Senegal's National Rural Youth Employment Policy is associated more with technical support in the design and implementation of a 'youth-in-agri-business' model. By using a pilot project to demonstrate concrete options for the government, the approach enables FAO to position its advocacy and policy-level work, thereby gaining greater commitment from national stakeholders. Furthermore, the contribution to policy processes represents a potential way to institutionalize or up-scale the implemented pilot.

In March 2015, in collaboration with local stakeholders, FAO facilitated an inclusive national policy dialogue in Senegal on rural youth employment. This approach supported communication and advocacy on decent youth employment and related good practices, mainly through national think tanks and research centers, producers' and youth networks and participation in related fora. In the inception phase, detailed scoping exercises identified the existing knowledge and capacity gaps, and capacity development roadmaps were agreed upon with national counterparts. In addition, full-time national coordinators were recruited in the country offices to increase FAO's overall capacities on employment issues.

Furthermore, the approach supported the operationalization of FAO normative and standard setting instruments, for example, on pesticides management, small-scale fisheries and responsible agricultural investments, while also collaborating with the International Labour Organization (ILO) in the assessment and application of the International Labour Standard in the agricultural sector. Finally, key partnerships were established and institutionalized notably through Memorandum of Understanding (MoU) or technical working groups. Partnerships are crucial to foster dialogue between agriculture and labour stakeholders, as well as among different Ministries to ensure that the many constraints faced by rural workers are addressed simultaneously. The involvement of private sector actors is also key to create new employment opportunities for youth, improve access to markets and financial services, as well as foster linkages between education and business.

## 2.4.2 FAO's Delivery Mechanisms

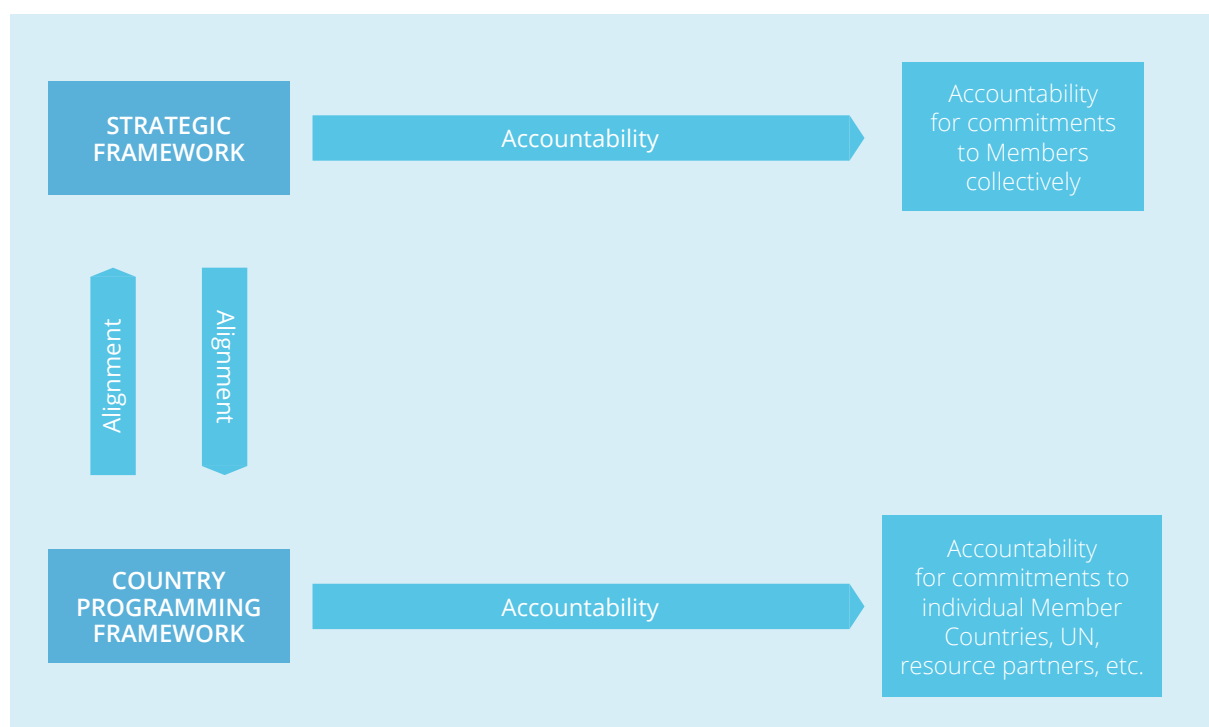
There is a set of essential Delivery Mechanisms contained in the Strategic Framework: CPFs, RIs and CTAs, all designed to focus efforts and teamwork around common results.

### Country Programming Framework (CPF)

A CPF assists countries which receive FAO support. A CPF is:

- A tool to define the medium-term response to Member Country assistance needs in the pursuit of their national development objectives, including the relevant SDGs the country has taken the lead to implement and monitor;
- Essential to defining priority areas that have been jointly agreed with the government. Joint identification of priority results intended to be achieved by FAO ensures that FAO supports the national agricultural and food security development objectives and that the government, as owner and leader of external cooperation, optimizes FAO's assistance<sup>10</sup>;
- What defines the Outputs to be achieved contributing to national Outcomes;
- Designed to strengthen the effectiveness, impact and visibility of FAO's assistance to Member Countries through a coherent FAO country programme; and
- Fully aligned with the country programming cycle and UN programming process, pursuing national development objectives and SDGs, within the context of FAO's Strategic Framework.

**Figure 7:** FAO Commitments - Dual Accountability and Alignment



10 FAO. (2014). Guide to Resource Mobilization: Promoting Partnership with FAO, p.55.

## **Regional Initiatives (RI)**

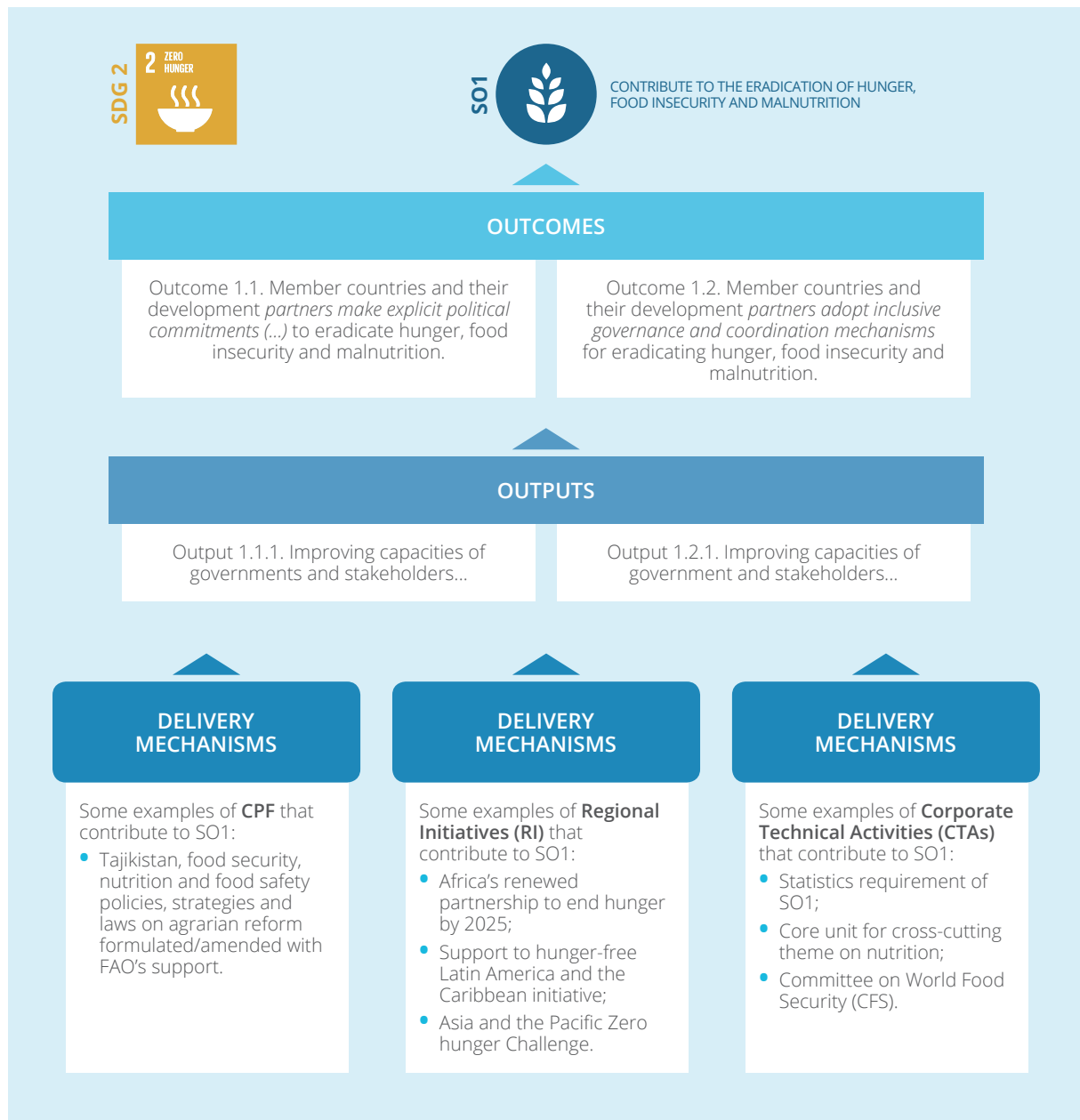
RIs address a main theme of a particular SO and a related key regional priority, by organizing the delivery of planned products and services (from within or across SOs or projects) in a limited number of focus countries to achieve timely demonstrable impact. By delivering planned products and services of SOs, RIs make a direct contribution to one or more Outputs (of one or more SOs) as measured by the Output indicators of the FAO Strategic Framework. RIs are formulated led by Strategic Programme Leaders in close collaboration with heads of Regional Offices and Technical Departments. Africa's 2025 zero hunger challenge is an example of an RI that supports SO 1: Contribute to the eradication of hunger, food insecurity and malnutrition.

## **Corporate Technical Activities (CTA)**

Normative and standard-setting instruments, statistics, data and information are at the core of FAO's work. In the PWB, these are classified as Corporate Technical Activities (CTAs), and are programmed as contributions to the SOs and Objective 6. CTAs are mandated areas of work that are managed directly by heads of organizational units, contributing as appropriate to the five SO Action Plans, and the quality and integrity of FAO's technical work (Objective 6). Examples of Technical activities primarily contributing to the SO programmes or governance of FAO include the support and management of FAO's investment centre, regional conferences and constitutional bodies.

Examples of CTAs under Objective 6 include Flagship publications such as the Forest Resources Assessment; OECD-FAO Agriculture Outlook and global perspective studies; support to crosscutting themes on gender, governance, nutrition and climate change; and technical networks for quality and coherence of technical services, for instance the crops, livestock, rural finance and food safety networks.

**Figure 8:** Programmatic Alignment of FAO's Work to the Strategic Framework – Simplified Example for SO1



## 3. FAO Indicators

Our Organization has identified a cohesive set of measures, or indicators, to allow for performance monitoring (i.e. measuring our progress and achievements against results and targets we set for ourselves) as well as testing our hypotheses and constantly learning from what worked well and what did not. FAO's monitoring system relies on the measurement of those Corporate Indicators at all levels of results. In this system, strategic performance information is fed back to measure progress against the goals defined in our Strategic Framework. This allows FAO to:

- Assess the actual achievement of the result that has been identified (target);
- Observe the current status of the result that we are trying to change relative to the original *baseline*;
- Measure progress of activities;
- Learn what is working in terms of real implementation or in the context of changing external circumstances, and;
- Mitigate risks and make rapid adjustments.

### 3.1 Why Measure, Analyse and Monitor?

Measure & Monitor represents Phase 3 of FAO's Results Cycle and is crucial for knowing the extent of progress made toward the results in our Strategic Framework. The Measure & Monitor Phase of the Results Cycle is an essential part of ensuring a culture of learning and improving allocation and accountability for results. The following are some of the key benefits of FAO's corporate monitoring system:

**Figure 9:** Some Benefits of FAO’s Corporate Monitoring System

<b>Assess policy</b>	FAO will be better able to evaluate the success of its intervention, for example in terms of contributing to strengthening of food and agriculture national policies, and in the context of regional and global goals, and to use this assessment to inform future policy development that will serve supported countries and governments.	▶ Having a global vision of food and agriculture.
<b>Inform planning</b>	FAO will be able to better understand the status of its programming and evaluate the standard for food and agriculture across different regions and within countries (through comparative measures) which will help to inform programme planning and make sure its interventions are supporting countries and governments.	▶ Using lessons learned to inform future decisions.
<b>Ensure Accountability</b>	FAO will be better able to evaluate the impact of its efforts supported across the globe and within countries to justify funding and programme decisions.	▶ Understanding our impact as an Organization and allowing us to make improved decisions concerning allocations for better cost effectiveness.
<b>Communicate about the efforts to defeat hunger</b>	FAO and its local and international partners will have more research, studies, and other information from Monitoring and Evaluation (M&E) systems to inform the general public and specific professional fields about food and agricultural risks and opportunities.	▶ Increasing understanding and support for the fight against hunger and sustainable management of natural resources.

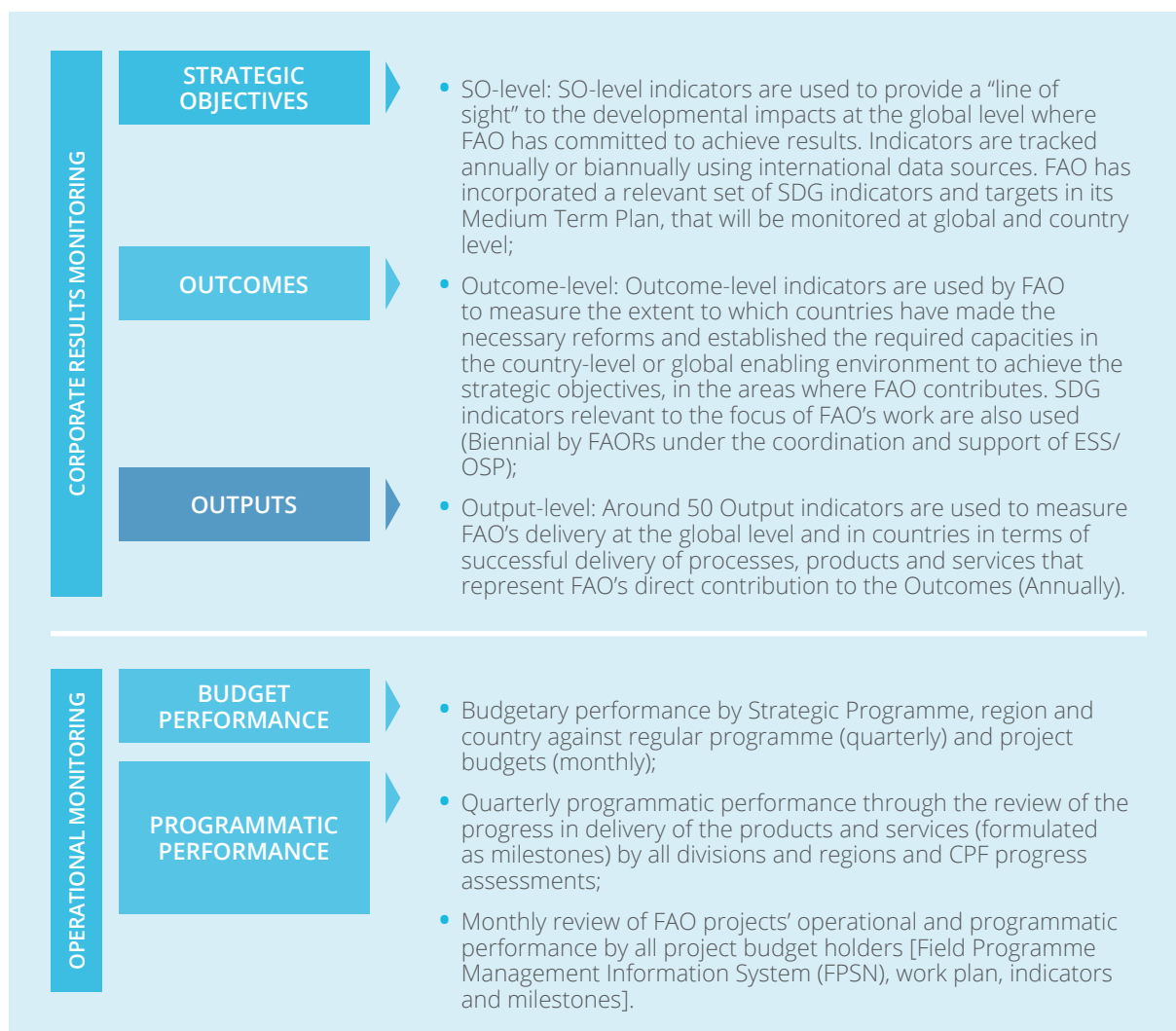
### 3.2 Putting it into Practice: FAO’s Monitoring Framework

All monitoring at FAO follows a corporate approach with an agreed methodology, process and tools<sup>11</sup>. FAO’s two categories of monitoring are referred to as:

- Corporate results monitoring
- Operational monitoring

11 FAO. (2015). FAO Corporate Monitoring System. Programme monitoring section in the FAO Handbook on the intranet [[http://intranet.fao.org/faohandbook/area/programme\\_budget/](http://intranet.fao.org/faohandbook/area/programme_budget/)].

**Figure 10:** FAO's Monitoring Framework – An Overview



Results are monitored in both categories in the following ways:

- Corporate results monitoring focuses on monitoring the achievement of results as laid out in the Strategic Framework including risk to achieving these results.
- Operational monitoring examines the status of implementation at a given point in time thereby detecting issues and identifying adaptive action. It monitors budget performance and achievement and delivery of milestones and the effectiveness in selected areas to test how FAO advice and support has impacted beneficiaries.

The collection and use performance information is supported by corporate information systems appropriate to each level (briefly presented in section 4.3).

Monitoring results requires the use of indicators to regularly measure achievement of, or progress towards expected results. The analytic results are then compiled in reports that are used for strategic management, including policy and programme decision making and budget allocation exercises.

FAO monitors through a set of SDG indicators and other non-SDG FAO indicators, at SO, Outcome, and Output levels.



**Remember!**



**FAO’s corporate monitoring system:**

- Is used for periodic performance monitoring, organizational learning and resource allocation;
- Enables valid global aggregation and comparisons for analysis;
- Helps managers deepen knowledge of effectiveness;
- Aligns teams and partnerships towards common results, identifying emerging opportunities and taking corrective action;
- Allows actors at the country, regional and global levels to inform on progress and learn how the Organization is progressing collectively towards corporate results;
- Aligns administrative processes with the Strategic Framework and tests their effectiveness through Operational Managerial Monitoring;
- Helps to communicate results and share good practices; and
- Has a clear relationship to and incorporates the SDGs.



**3.2.1 Basic Concepts about FAO’s Indicators**

FAO’s indicators are like “signals” that help measure results and reveal progress towards specific objectives. They are a means to measure what actually happened versus what was planned. Often what is planned is no longer relevant given rapid change or realities of implementation. Indicators then signal that our assumptions or hypotheses need rethinking and perhaps our actions need adjustment. Thus, the development of indicators is a key step to measure progress over time.

All non-SDG FAO indicators have targets. Below is an example of an indicator and a related target.

Example of FAO Indicator	Example of related target
Number (#) of laws related to food security, food safety and nutrition amended.	By 2017, at least four laws related to food security, food safety and nutrition amended.



The indicator provides the unit of analysis to measure whether progress has been made or not.

**Structure of FAO Indicators**

In general, indicators are composed of three elements:

1. A unit of measure (i.e. quantitative or qualitative)
2. An element of measure (i.e. the subject/topic that is analysed)
3. A context (specific situation, circumstances, factors, state of affairs, etc. to be analysed)

**Figure 11:** All FAO Indicators are Composed of Three Elements

Unit of Measure	Element of measure	Context
#/Number	FAO market information products	whose usage increases
%/Percentage	Countries	affected by a crisis impacting agriculture in which FAO provided timely and gender responsive crisis response
Existence	Policies	for holistic rural poverty and gender inequality reduction strategies

**Examples of FAO indicators**

*Qualitative indicators* help to demonstrate, describe or measure that something has happened by looking at the qualities or characteristics of what is being discussed. *Quantitative indicators* have a numeric value based on hard data. Some examples of indicators found in the Strategic Framework include:

Results	Examples of Indicators from the FAO Strategic Framework
SO4: Enable more inclusive and efficient agricultural and food systems.	Extent to which growth in global value added agro-industry is greater than growth in agricultural value added (Quantitative).
Additional Objective 6: Technical quality, knowledge and services.	Quality of technical leadership (qualitative).

Results	Examples of Indicators from the FAO Strategic Framework
SO 1: Contribute to the Eradication of Hunger, Food Insecurity and Malnutrition.	revalence of undernourishment (quantitative).
Outcome 2.1: Producers and natural resource managers adopt practices that increase and improve agricultural sector production in a sustainable manner.	Number of countries where the crop yield gap has decreased since the last reporting period. Number (#) of countries that have improved sustainable fisheries/aquaculture practices (quantitative).
Output 5.1.2 Enhancing coordination and improved investment programming and resource mobilization strategies for risk reduction and crises management.	Number (#) of countries and regions that have improved coordination, investment strategies and programming for risk reduction and crisis management as a result of FAO support (qualitative).

In addition, in FAO's Strategic Framework, many of these quantitative indicators are measured using *qualifiers*. Qualifiers reflect/verify the status of specific conditions related to their respective quantitative indicators. Qualifiers describe exactly what each of the indicators measures to define progress at a country, regional and/or global level. They are often stated as questions with answers "yes", "no" or "partially". The following example demonstrates a set of qualifiers for a specific quantitative indicator:

**Indicator (5.1.2):** Number (#) of countries that improved coordination, investment strategies and programming for risk reduction and crises management as a result of FAO support.

**Qualifiers (5.2.1)** – Progress defined as at least one of the following qualifiers in place during a given year as a result of FAO's actions:

**Q1. Coordination mechanism/partnership** for resilience programming is in place and comprises development and humanitarian partners.

**Q2. Investment plans/strategies** with a resilience agenda are/have been developed – evidence for this qualifier at country level is an investment plan/strategy with explicit inclusion of mitigation measures.

**Q3. Investment programmes** for enhancing resilience are/have been formulated, linking short, medium and long-term needs – evidence for this qualifier at country level refers to national investment programme proposals.

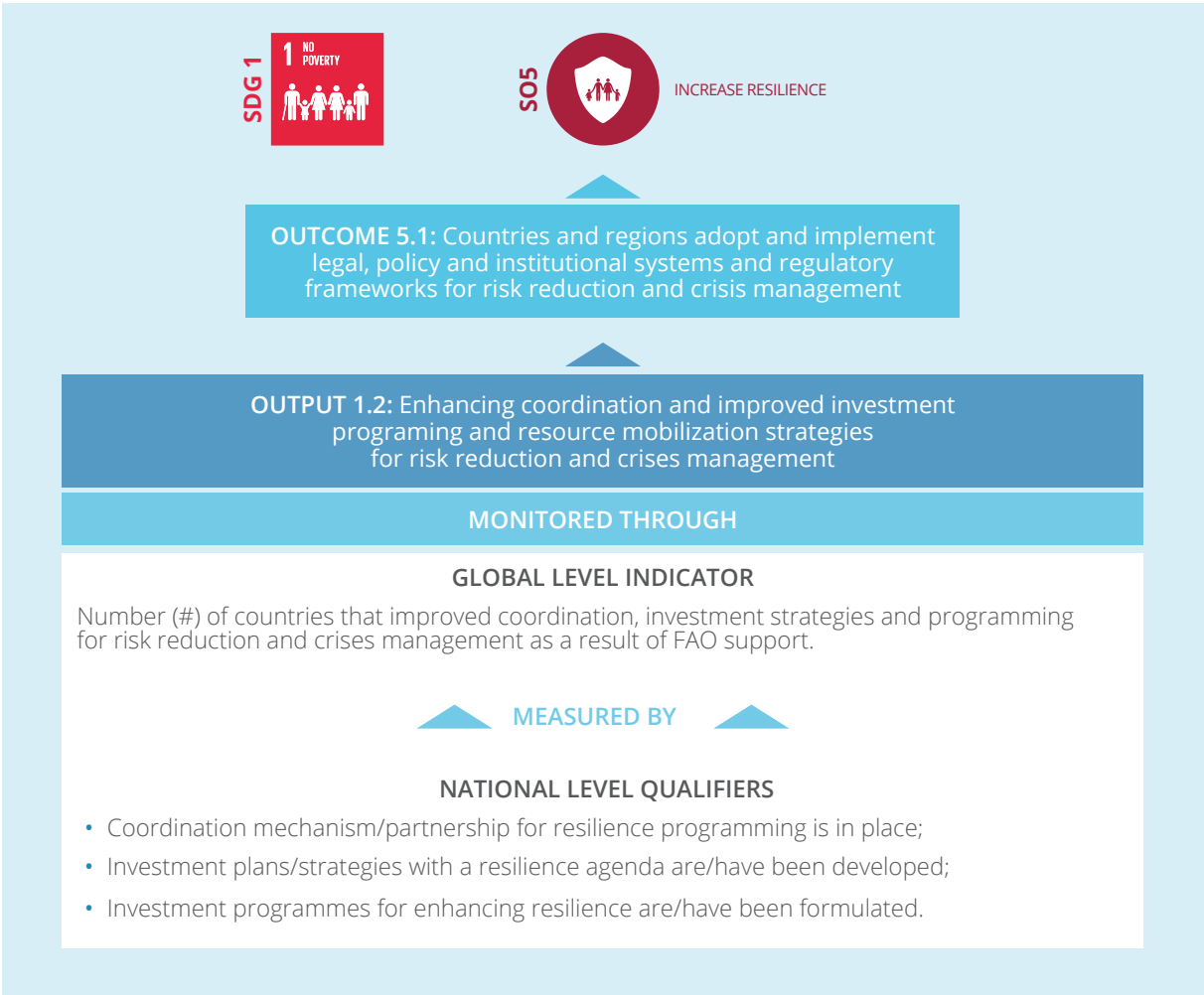
Having qualifiers for qualitative indicators allows FAO to learn more about the context of the results being produced and base the measurement on evidence. This helps us to go beyond a measurement stated as "X number of countries improved..." in generic or subjective terms and helps the understanding of what exactly has been accomplished. These qualifiers are used for assessing improvement of countries' capacities in specific areas, as a result of the support provided by FAO and also serve as process indicators by describing the extent to which the processes that contribute to the achievement of Outcomes are in place.

### 3.2.2 Using Indicators from FAO’s Strategic Framework

FAO’s corporate results system is shaped by the vision ‘think globally to deliver nationally/regionally’. This approach enables FAO’s offices to report on national and Regional Initiatives in a way that also facilitates analysis of and reporting on global progress. More importantly, FAO’s monitoring system adjusts to different country situations while harmonizing various results into one M&E Framework. This helps FAO to interpret the results from across the globe and report on FAO’s contribution to Member Countries and partners.

So how does FAO ensure that progress made in countries is captured by our global level monitoring? FAO’s indicators are specifically designed to reflect progress both at the global and the national levels. Below, indicators at different levels of the Strategic Framework are described starting with **Figure 12** which is an example of an Output indicator.

**Figure 12:** Example of Corporate Output (CO) Indicator and Suite of Qualifiers for SO5



**The Output indicators** measure progress at two levels:

- 1. Global level:** progress represents the results of the uptake of the concrete actions (products or services) for which FAO is directly accountable for delivered by FAO in countries, regions and at the global level. In the example above, this is measured through the use of an Output indicator in terms of “number of countries that improved their coordination, investment strategies and programming for risk reduction [...]” as a result of FAO’s assistance. This information is then assessed against global targets. FAO can then understand the extent to which their support is helping Member Countries improve key development areas.
- 2. Country level:** progress is assessed by verifying the status of specific conditions (or qualifiers) that help identify the areas in which progress was realized. In the example above, the qualifiers determine whether or not a specific country established and/or improved: a) coordination mechanisms/partnerships, b) investment plans/strategies, and/or c) investment programmes. These conditions are then transformed into a value that is then aggregated at the indicator level for that country.

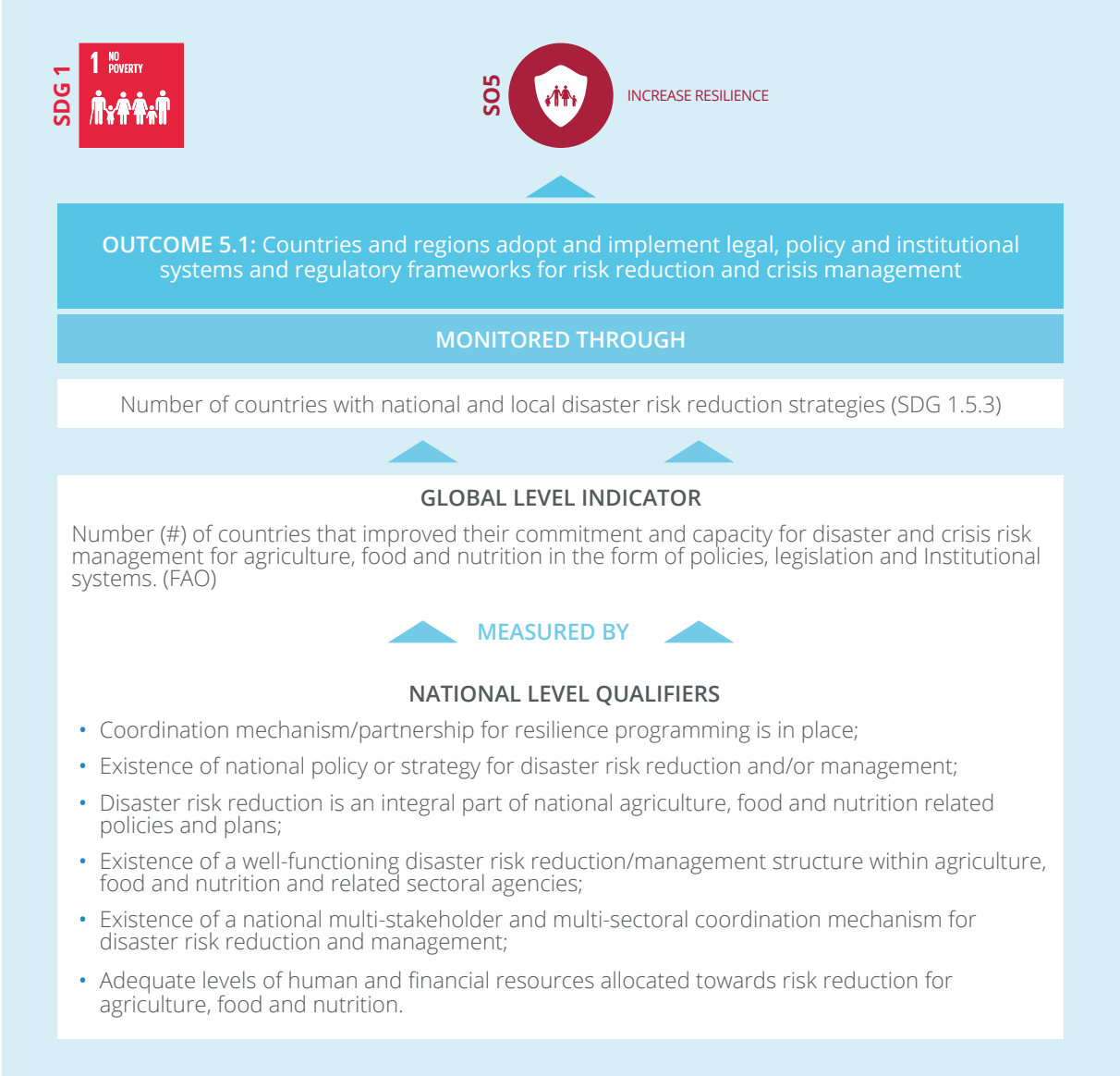
As Outputs are FAO’s contribution in terms of processes, products and services to the Outcomes in the results chain, the Output indicators help us to monitor the achievements of FAO’s contribution to the Outcomes.

Measurement on **Outcome indicators** follows the same structure but look at how the countries acted on the support offered to them by FAO. This allows us to monitor changes at both the country-level and/or in the global enabling environment needed to encourage the achievement of the Strategic Objectives. An example of this is displayed below:

- 1. Global level:** and based on the example in **Figure 13** on the right page, progress is measured in terms of the “number of countries that improved their capacity and commitment to disaster and crisis risk management [...]” by developing and or improving policies, legislation, and/or institutional systems. The information provided from FAO’s Decentralized Offices (DOs) on these aspects will be assessed against global targets for the Organization.
- 2. Country level:** progress is measured for each country by tracking country-specific information on progress related to the corresponding result (i.e. through the qualifiers). In the example below, this is measured through the use of an Outcome Indicator. The value calculated for each indicator is ranging from zero to one, as a result of an average of the values of the sub-indicators. The value for is coded into ten classes and aggregated into five classes for presentation purposes: Low (0-0.2); medium-low (0.2-0.4); medium (0.4-0.6); medium-high (0.6-0.8); high (0.8-1.0). Progress is measured by the number of countries that fall in a high-medium or high class or in terms of number of countries that move at least from one class to the immediately higher one. Through this method of monitoring, FAO can display what stage of progress a country has reached.

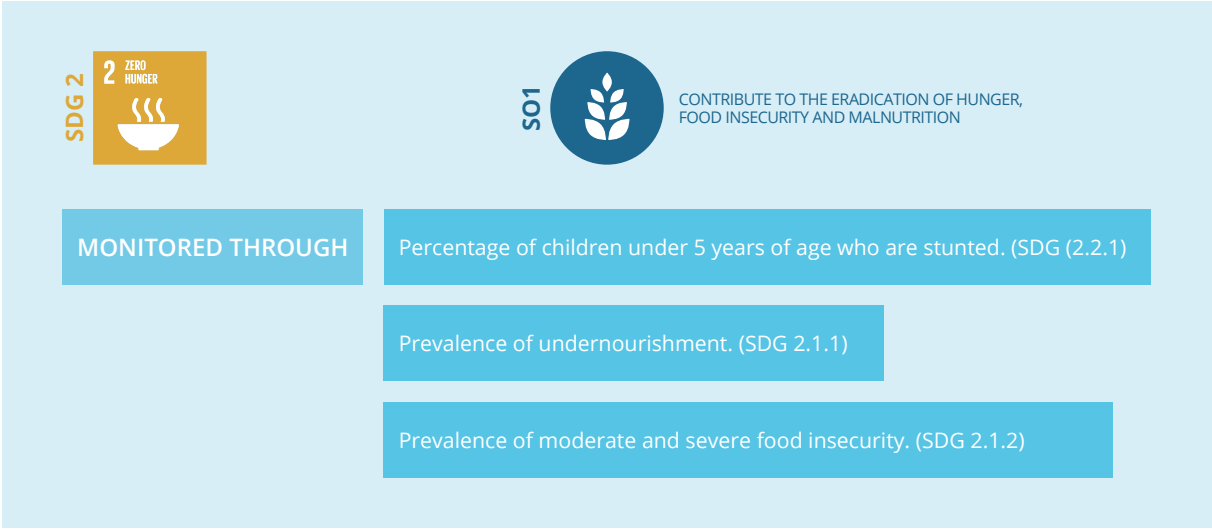
The Outcome assessment is done through surveys at country level in the sample countries every two years and includes secondary data collection (e.g. policy/laws/investment plans/strategies collection of national level data or other statistics already available at FAO).

**Figure 13:** Example of Outcome and SDG Indicators and Suite of Qualifiers for SO5



At the top of the results chain, **SO Indicators** are *composite indicators* that measure multi-dimensional concepts. Economic and Social Development Department-Statistics Division (ESS) measures these indicators annually for each country and globally. FAO is one among the many development partners that work with countries to ensure progress in achieving food security and quality nutrition. Change at this level cannot be attributed to any one partner. Reporting on penetration/coverage as well as ratings of how well each country performs in terms of global goals, however, can be achieved, and is within FAO’s area of responsibility. An example of SO-level indicators is provided in **Figure 14**.

**Figure 14:** Example of Strategic Objective (SO) Indicators



**Objective 6 and Functional Objective Indicators**

Objective 6 has Outcomes, Outputs, and key performance indicators to measure FAO’s technical capacity, knowledge and services as an institution as well as its leadership in providing technical service delivery with policy coherence and continual improvement in performance and efficiency. As with Outputs and Outcomes, Objective 6 indicators are monitored through indicator specific qualifiers. Objective 6 is also accompanied by relevant baseline and target information where possible.

To ensure that all aspects of the Organization’s work are established in a results-based framework, including its administration and processes, the FOs also have targets and indicators for their results. FOs assist the Organization to continuously improve not only the relevance and impact of its technical delivery, but also its efficiency and contribution to the achievement of SOs.

**3.3 How does FAO set targets?**

Setting targets intends to enable stakeholders to i) envision the overall change we aim to achieve; and ii) to monitor if FAO is “on track” at certain points during the implementation phase.

At FAO targets are set at many different levels. They are determined as as part of PWB preparations. Targets for Outputs are based on expected results from country, regional and global level work. Delivery Managers identify and select relevant Outputs and related indicators and provide a brief description of the expected results within the relevant year/ biennium. The proposed targets are reviewed and approved by the SO teams.

FAO is fully accountable for meeting Output indicator targets. At Output level results are measured in terms of FAO’s direct contribution. FAO does not set formal targets at Outcome level but monitors progress.

CPF indicator targets are set by FAORs (Food and Agricultural Organization Representative) in consultation with national stakeholders and SO teams and should be based on projects and planned work. They are formulated as a direct contribution to a specific Output indicator and/or qualifier(s).

Project indicator targets are discussed and set during project formulation. They should be fully aligned to Corporate indicators.

FAO targets can be expressed in terms of quantity, quality and time. Targets must be realistic and achievable and it should be clear where the starting point is when achieving the target. The starting point could be established through a baseline from which to measure change over time and refers to the existing situation related to each result before implementation of activities/support begins. The corporate baseline survey/ Corporate Baseline Assessment (CBA) is a crucial element of the Strategic Framework as it helps measure changes in country level Outcomes. The CBA also helps assess FAO’s perceived contribution to those changes<sup>12</sup>. After the baseline has been completed and data analyzed, targets can be established.

**Figure 15:** Example of Results, Indicators and Targets from FAO’s Corporate (Results) Monitoring Framework

Expected Results	Indicators	Targets (end 2016)	Targets (end 2017)
<b>SO3: Reduce Rural Poverty</b>	<b>Absolute number of rural poor</b>	NA	NA
Outcome 3.3: Social protection systems are strengthened in support of sustainable rural poverty reduction.	Percentage (%) of countries with improved social protection systems that link social protection with rural poverty reduction, food security and nutrition, and sustainable management of natural resources.	4	8
Output 3.3.1: Policy advice, capacity development and advocacy are provided for improving social protection systems to foster sustainable and equitable rural development, poverty reduction, and food security and nutrition.	Number (#) of countries in which support was provided for improving the design and implementation of pro-poor, age- and gender-sensitive social protection systems that target rural populations.	7	17

12 For more information on the CBA, please visit: <http://www.fao.org/about/strategic-planning/corporate-baseline-survey/en/>





# 4. Reporting and Learning

As a UN agency, we are committed to helping our Members achieve the SDGs and confront the challenge of hunger. In order to do this, we must reflect on the way we work. Managing for Results demands frequent reporting on and analysis of the progress made towards the specific goals expressed in our Strategic Framework. Reporting on and learning from our successes as well as the issues that slow our work is vital. MfR is an enabler for reporting and learning as it aids communication through enhanced clarity of goals and expected achievements in partnership with our Members and partners (as seen in sections 1 and 2). In addition, it provides concrete measures, targets and baselines to monitor our work and the changes we seek.

## 4.1 Benefits of Reporting

Reporting supports the building of a stronger, more focused, more responsive, and more credible FAO, and instills a culture of continuous improvement and innovation. Reporting:

### ► **Creates a culture of accountability and transparency**

Knowing results will be made public creates an incentive to be accountable and ensures that attention is focused on key areas. Also, increased transparency strengthens trust, and positions FAO to fulfil its mandate.

### ► **Acknowledges resource partners contributions and ensures efficient and effective operations**

Reporting gives managers and their teams an opportunity to demonstrate effective management of resources compared with agreed objectives. In addition, regularly reporting

on contributions ensures that they meet their accountability requirements. Finally, timely performance information allows continuous learning and adjustments that make best use of resources to support proactive management.

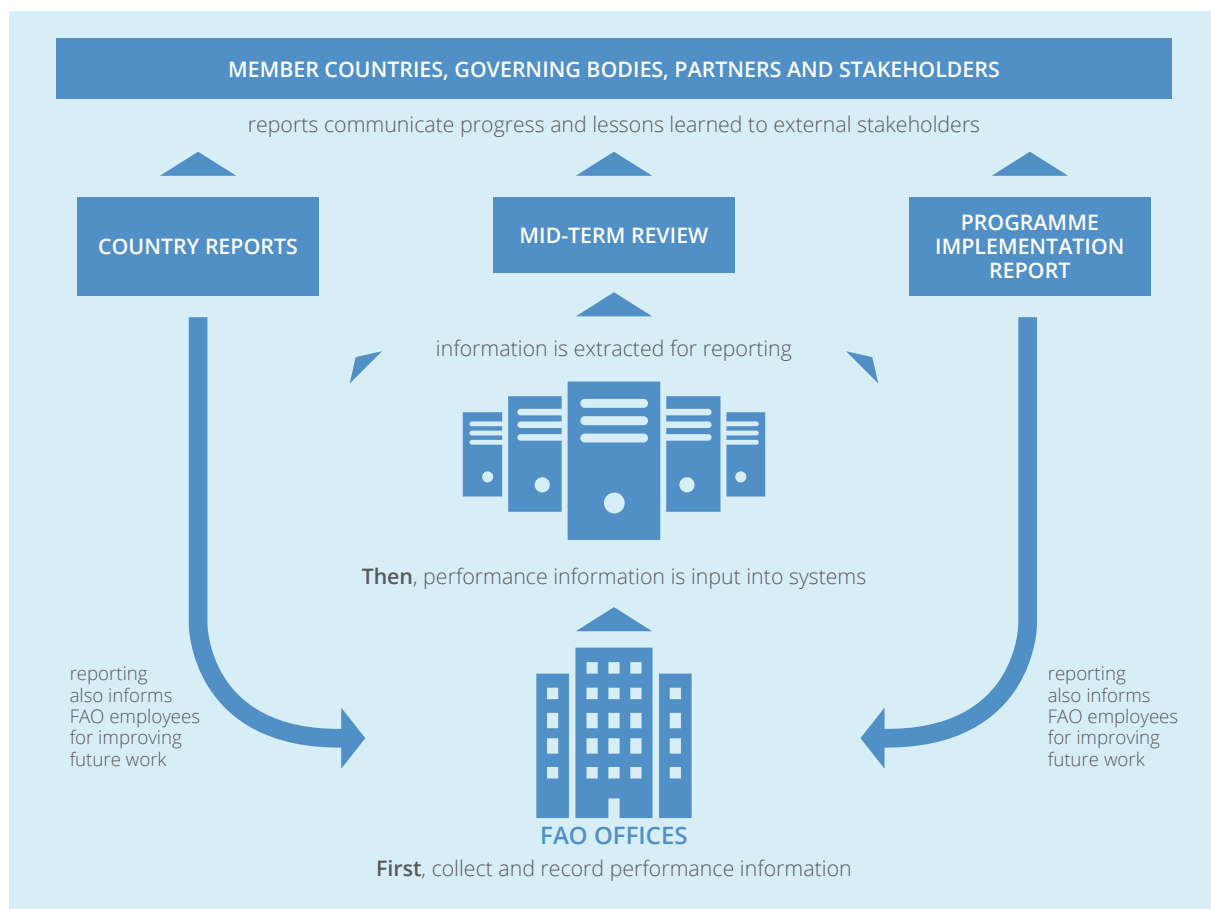
► **Illustrates FAO’s good work and facilitates dialogue**

Reports are a comprehensive repository that demonstrate to our Member Countries and donors that we are able to effectively deliver results and reduce hunger, in short, that we are a strong and focused Organization. Communicating our work and results creates material for informed dialogue with partners and stakeholders on challenges and opportunities.

## 4.2 FAO’s Reports

Modern public sector reporting is evidence-based. Once data has been collected and consolidated (i.e. entered into a FAO dedicated database through the various FAO reporting systems) and analyzed, it is possible to start reporting FAO’s core achievements and to identify gaps that need to be addressed by the global community. Reporting from an MfR perspective means demonstrating progress towards achieving results and changes that have occurred due to the interventions conducted. Various types of reports will be prepared by FAO depending on the requirement. These are described briefly below while **Figure 16** depicts the flow of information towards the formulation of these reports.

**Figure 16:** Information Flow at FAO



## 4.2.1 Corporate (Results) Level

### Mid-Term Synthesis Report (MTR)

The MTR informs Member Countries of progress that has been made in implementing the approved PWB during a specific year based on FAO's results-based monitoring framework for work funded by a variety of sources. It reports on the extent to which FAO is on track to deliver the Outputs against indicators and targets, highlighting achievements at global, regional and national levels. By looking at the ratio of inputs (resources) to Outputs, FAO is able to demonstrate its efficiency.

MTRs<sup>13</sup> are usually published around February following the year that is being reported.

### Programme Implementation Report (PIR)

At the end of each biennium, FAO assesses and reports to the Member Countries on performance based on achievement of results planned in the PWB, providing information on delivery of targets and indicators of Outputs and Outcomes in the PIR. This gets FAO closer to measuring its effectiveness in meeting the high level development objectives it achieves only by collaboration with Member Countries and partners.

The PIR presents a thorough assessment of:

1. Achievements against Output-level targets planned at the onset of the biennium as measured by Delivery Managers, based on evidence, and reviewed and validated by Strategic Programme Leaders (SPLs);
2. Progress toward Outcome targets as assessed by ESS and SO teams through the *Corporate Outcome Assessment (COA)* and secondary data reviews;
3. Management of resources through the FAO results framework; and
4. Identification of FAO's possible contribution to noted results and observed changes at country level as assessed through stakeholder feedback.

The end of biennium assessment will usually take place between the months of October of a given year and February of the following year<sup>14</sup>.

---

13 see [www.fao.org/mtr](http://www.fao.org/mtr).

14 see [www.fao.org/pir](http://www.fao.org/pir).

## 4.2.2. Country Level

### FAO Country Annual Report

The CPF should go through a *CPF Annual Review* each year. The Country Annual Report provides information to FAO stakeholders and FAO management at all levels regarding the progress or fulfilment of the CPF results and implications of the lessons learned for future work. The set of country level validated results generated by the Output monitoring processes (MTR and PIR) is included in the report. Stakeholders involved in the implementation of activities and delivery of country level results can use the report to review and steer interventions, and reformulate strategies to achieve the expected results.

Performance targets and results data are collected against the indicators on an annual basis. Data, combined with expert analysis from the field, evaluation information, and strategic policy priority considerations, can be used to inform broad-based strategic budget and planning decisions. This ensures that assistance resources are focused on moving countries forward and demonstrating in a transparent manner the basis upon which allocations are made.

As part of the programmatic component, the Country Annual Report:

- Documents progress in achieving the CPF Output targets<sup>15</sup>;
- Highlights lessons learned and best practices;
- Reports on progress in achieving the Resource Mobilization targets; and
- Provides an assessment of circumstances that may require changes to the programme of work in a given country.

The FAOR is responsible for FAO's response to national priorities at the country level and therefore has the lead and oversight responsibility for the production of the Country Annual Report. By mid-December each year, information on progress made to achieve the CPF results should be recorded in the FPMIS country Outputs monitoring page. Country Annual Reports are due the 31st of January each year, in order to provide updated information that will then feed into corporate level reports, such as the MTR and the PIR. In this way information is provided to governing bodies forming the basis for corporate reporting and external communication on country results.

---

15 It is important to note that individual countries do not track progress or report on all indicators within the FAO' Strategic Framework. Instead, the CPFs will report on specific indicators from the Strategic Framework that are relevant to each country. The standard set of corporate indicators allows for the consolidation of certain key results to provide a picture of what is being achieved with FAO resources to Member Countries and the public.

### 4.3. FAO's Systems used for MfR processes

Corporate monitoring and reporting are carried out through different systems at FAO. These are briefly explained below. The timely provision of data and documentation from FAO employees in these systems is key to the coherent functioning of the Organization.

#### **Programme Planning, Budgeting and Reporting (PIRES)**

PIRES is an information system designed to facilitate the MfR of FAO's Programme of Work. Developed by Office of Strategy, Planning and Resources Management (OSP), it aims to support FAO's new results-based planning and monitoring at global and regional levels by:

- Strengthening the linkages between the Strategic Framework and medium-term and biennial planning;
- Providing information system tools that contribute to effective and efficient planning and monitoring at the working level;
- Efficiently supporting the production of all major Outputs of the planning, implementation monitoring and evaluation processes; and
- Contributing high-quality programme-related data to help meet reporting and analysis requirements at all organizational levels and programme management roles.

The information systems capabilities of PIRES have been designed and implemented within the overall corporate model for administrative data and make use of technology that is consistent with FAO's strategies and standards for IT infrastructure and applications. PIRES can be accessed via: <http://pires.fao.org/pires/Index.htm>

#### **Field Programme Management (FPMIS)**

FPMIS is an information and monitoring tool that supports field activities funded from voluntary contributions, as well as Technical Cooperation Programme (TCP) and funded from assessed contributions. It is linked directly to the Organization's Data Warehouse, the repository of all financial transactions of the Organization, and generates Integrated Management Information Systems (iMIS) FAO results, and the operational monitoring Dashboard.

Proper and consistent usage of FPMIS can bring many benefits:

- Efficient extraction of data saves time when reporting
- Relevant stakeholders can easily access information
- Improved corporate monitoring and learning

Updating information in FPMIS is done by all project Budget Holders, Funding Liaison Officers and monitoring officers in the field offices. Typically, FPMIS provides project or region/country specific information to all relevant stakeholders on the funding, delivery, timeline and state of project implementation of Technical Cooperation (TC), and Emergency and Special Programme for Food Security (SPFS) projects. Specifically, FPMIS provides access to information including:

- Monitoring of operational pipeline projects;
- Resource partner-related information e.g. delivery reports by donor, geographic area of sector;
- People involved with the management and operation of field programmes and projects;
- Technical divisions related to projects;
- Project documents, revisions, progress and technical reports;
- Country strategy papers, donor agreements;
- Current financial project status through direct links to the corporate Data Warehouse (FAO Oracle) and historical financial data through links to TC databases (under development);
- Budget revision toolkit;
- Guidelines for project document development; and
- Country-level results target-setting and reporting.

The timely provisions of the aforementioned documentation from decentralized offices is key to the coherent functioning of the Organization's Field Programme as a whole. A project's status should be continually updated – whether it is classed as pipeline, ongoing or closed. For more information see <https://extranet.fao.org/fpmis/>

### **The Results and Operational Monitoring Dashboards (iMIS)**

The Results Dashboard is the corporate information display that allows for tracking and showing results. The dashboard uploads information from other systems that has been validated by the SPL teams.

The results dashboards display results including:

- Results at SO, Outcome and Output level;
- Results by Region, Regional initiatives and Country;
- If progress is over target on target or below target;
- Information per full biennium or each year in the biennium;
- Data querying and reporting tools to produce flexible summary information in the form of tables, graphs, etc, allowing varying levels of aggregation; and
- Time-series analyses to understand information trends, forward projections for estimating the results of current trends and “what-if” analyses to determine the impact of variations in key data.

The Results Dashboard is particularly useful for communicating results to different audiences.

The Operational Monitoring Dashboard provides real time quantitative and qualitative information an overall status with drill down facilities for Budget Performance, Programmatic Performance, Resource Mobilization, Country Programming Frameworks, Project Operations, and Project Performance (programmatic).

#### 4.4. When to Plan, Monitor and Report

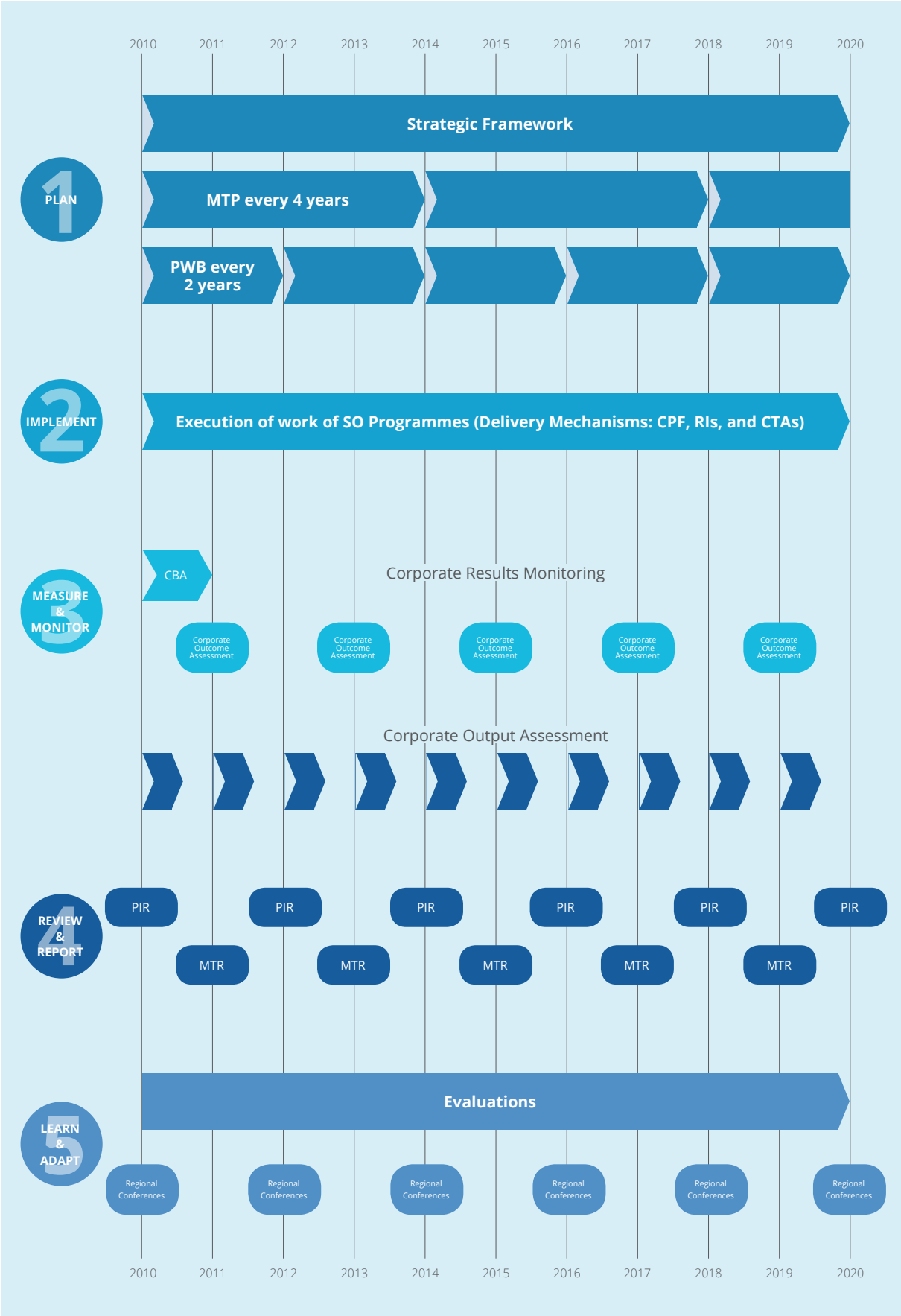
**Figure 18** presents a simplified timeline to facilitate understanding of the overall Organizational calendar and planned report submissions throughout the corporate cycle.

In summary, the performance information generated during the second, third and fourth phases of the MfR cycle (Implement, Measure & Monitor, and Review & Report) is then later used during the fifth phase (Learn & Adapt) as lessons learned for adjustments in the first phase (Plan) of the following cycle. It is important to remember that this is a recurring and ongoing process that will become more robust as it is completed and renewed. This strengthens the way in which we as an Organization move towards our ultimate goal of achieving food security for all.

#### 4.5. Learning and Adapting

In the learning and adaptation phase, FAO responds to the lessons learned from the previous phases of the results cycle. Guidance is provided by FAO's governing bodies and follow up is conducted on management responses to audits and evaluations. Where needed, adjustments are made to work plans, results matrices or project designs. This phase is important for preparation for the next planning phase.

**Figure 18:** Timeline of Corporate Processes across the FAO Results Cycle





## 5. Annex - Glossary of Key FAO MfR Terms

There have been two key documents produced by the international community to standardize the terminology for MfR: The United Nations Development Group (UNDG) Handbook on Results<sup>16</sup> and a Glossary of Key Evaluation and Results Based Management Terms by the United Nations Development Programme (UNDP), the World-Bank and the Organization for Economic Co-Operation and Development's (OECD) Development Assistance Committee (DAC)<sup>17</sup>. Nonetheless practitioners and even donors continue to use technical terms such as goals, objectives, activities, targets, milestones, outputs, and results differently. Every donor, office, project, and even individual may have their own preferred set of terms. In this context, it is important for us at FAO to speak the same language, and work together with colleagues who have a common understanding of terminology.

### Glossary of key FAO MfR terms

<b>Accountability</b>	Obligation to demonstrate that work has been conducted in compliance with agreed rules and standards or to report fairly and accurately on performance results vis-à-vis mandated roles and/or plans.
-----------------------	---

---

16 Source: UNDG. (2011). Results-Based Management Handbook. Harmonizing RBM concepts and approaches for improved development results at country level.

17 Source: OECD. (2002). Glossary of Key Terms in Evaluation and Results Based Management. <http://www.oecd.org/dac/2754804.pdf>.

<b>Action Plans</b>	Describe the overall strategy (based on the Core Function) that FAO will use to work on the issues and problems identified in each SO. The SO Action Plans should support and encompass the work carried out through projects generated in the DOs. The overall management of each SO Action Plan is assigned to a Strategic Objective Coordinator (SOC) and The SO Action Plan is delivered through Output Teams.  Example: Annex XII: Strategic Objectives Action Plans <a href="http://www.fao.org/docrep/meeting/027/mf490e01.pdf">http://www.fao.org/docrep/meeting/027/mf490e01.pdf</a>
<b>Activity</b>	Actions taken/work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.  Example: Advocate for Climate-Smart Agriculture
<b>Attribution</b>	The ascription of causal link between observed (or expected to be observed) changes and a specific intervention. Attribution represents the extent to which observed development effects can be attributed to a specific intervention or to the performance of one or more partners taking account of other interventions, (anticipated or unanticipated) confounding factors or external shocks.
<b>Baseline</b>	The status of the indicator at the beginning of a programme or project that acts as a reference point against which progress or achievements can be assessed.
<b>Benchmark</b>	Reference point or standard, including norms, against which progress or achievements can be assessed. A benchmark refers to the performance that has been achieved in the recent past by other comparable organizations, or what can be reasonably expected to have been achieved in similar circumstances.
<b>Composite Indicator</b>	A composite indicator measures multi-dimensional concepts which cannot be captured by a single indicator. Thus, a composite indicator is formed when individual indicators are compiled into a single index.
<b>Core Functions</b>	The critical means of action to be employed by FAO to achieve results. Example: Advocate and communicate at national, regional and global levels in areas of FAO's mandate.
<b>Corporate Outcome Assessment</b>	Used to measure progress on Outcome level indicators and targets with the help of secondary data, review of policy documents and a survey of a range of respondents in a sample of countries.
<b>Corporate Technical Activities</b>	Corporate Technical Activities are mandated areas of work that must be managed directly under the responsibility of heads of organizational units, contributing as appropriate to the five Strategic Objectives Action Plans, and the quality and integrity of FAO's Technical Work (Objective 6).  Example: FAO Regional Conferences
<b>Country Programming Framework</b>	Defines the priority areas and the indicative results intended to be achieved by FAO at country level. It works to support the national agricultural, rural development and food security objectives expressed in national development plans, in line with United National Development Assistance Framework (UNDAF) or Common Country Programme of the UN System, Consolidated Appeals Process (CAP) and other type of appeals, Millennium Development Goals (MDGs) and other Internationally Agreed Development Goals (IADG) and regional priorities.
<b>CPF Annual Review</b>	Overall self-assessment of the external environment affecting the progress towards the achievement of CPF Outcomes and overall self-assessment towards progress on the delivery of the CPF Outputs.
<b>Cross-Cutting Themes</b>	These are approaches and areas of work that are integrated across the Strategic Objectives. Within the FAO context, these include gender, nutrition, governance and climate change.

<b>Delivery Mechanisms</b>	Essential component of achieving the results set out in the Strategic Framework. Each Delivery Mechanism is designed to focus efforts and teamwork around a common set of results, including for resource mobilization.  Example: Country Programming Framework (CPF)
<b>Effectiveness</b>	The extent to which the development intervention's objectives were achieved, or are expected to be achieved.
<b>Evaluation</b>	The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability.
<b>Functional Objectives</b>	Provide the enabling environment for FAO's work.  Example: FO11 on Efficient and Effective Administration.
<b>(Members) Global Goals</b>	The high-level goals set by Member Countries towards which the Strategic Objectives contribute.  Example: Sustainable management and utilization of natural resources
<b>Goal</b>	A specific end result desired or expected to occur as a consequence, at least in part, of an intervention or activity. It is the higher order objective that will assure national capacity building to which a development intervention is intended to contribute. See also Global Goals.
<b>Impact</b>	Positive and negative long-term effects on identifiable population groups produced by a development intervention, directly or indirectly, intended or unintended.
<b>Indicators</b>	Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor.  Example: Absolute number of rural poor
<b>Inputs</b>	The financial, human, material, technological and information resources used for development interventions.
<b>Managing for Results (MfR)</b>	MfR in the context of FAO involves a change in mind set. MfR is about focusing on Outcomes (for example, a country's policy framework for nutrition has been strengthened) and impacts (for example, the hunger has been eradicated) and identifying how FAO can contribute to bringing about those changes through the Outputs that the Organization produces (for example strengthened government capacity for evidence-based policy-making). MfR is also about having a clear logic for achieving those results and having robust systems and metrics for assessing progress and managing performance.
<b>Medium Term Plan</b>	FAO strategic planning document. Sets out Strategic Objectives (SOs) and Outcomes for achievement by Members and the international community with support from FAO, in accordance with the Strategic Framework, as measured through performance indicators and targets. The MTP covers a period of four years and is reviewed each biennium. It provides the programmatic basis for preparing the two-year Programme of Work and Budget (PWB) with results frameworks and quantification of costs.
<b>Monitoring</b>	Continuous follow-up of activities, products, services, and review of Output and Outcome indicators to ensure that delivery is progressing as planned and that the results are on track.
<b>Objective 6</b>	Additional Objective that ensures quality and integrity of FAO's core technical, normative and standard setting work, including statistics, and cross-cutting themes on gender, governance, nutrition and climate change.  Example: Objective 6 on technical quality, knowledge and services, including the cross-cutting themes on gender, governance, nutrition and climate change

<b>Outcomes</b>	<p>Describe changes in the country, regional or global enabling environment and in capacities available to achieve a specific Strategic Objective. Outcomes are achieved in direct partnership with governments and other stakeholders, who are mutually responsible.</p> <p>Example: Outcome 5.3: Countries reduce risks and vulnerability at household and community level</p>
<b>Output</b>	<p>Set of deliverables that result from FAO's intervention (processes, tangible products and services) at the national, regional and global levels, using both regular and extra budgetary resources. FAO produces and is directly accountable for 'Corporate Outputs'. They reflect direct contributions to Outcomes. Describe changes in the country, regional or global enabling environment and in capacities available to achieve a specific Strategic Objective.</p> <p>Example: Output 2.1.1. Innovative practices for sustainable agricultural production (including traditional practices that improve sustainability, such as those listed as Globally Important Agricultural Heritage Systems) are identified, assessed and disseminated and their adoption by stakeholders is facilitated</p>
<b>Products and Services</b>	<p>Defined deliverables according to each Output, which are realized through FAO's activities.</p> <p>Example: FAO Statistical Yearbook of World Food and Agriculture</p>
<b>Programme of Work and Budget (PWB)</b>	<p>FAO strategic planning document. Presents the results frameworks established and reviewed in accordance with the MTP and a quantification of costs and resource requirements from assessed and voluntary contributions to fund the Programme of Work.</p>
<b>Proxy Indicator</b>	<p>Used when results cannot be measured directly. For example, a proxy measure of improved governance could be, in some cases, the number of political parties and voter turnout.</p>
<b>Qualifier</b>	<p>A qualifier is a sub-indicator that serves as an often more qualitative measurement for assessing if certain conditions are in place as a result of FAO's work.</p> <p>Example: Coordination mechanism/partnership for resilience programming is in place and comprises development and humanitarian partners</p>
<b>Qualitative Indicators</b>	<p>Seek to measure quality and often are based on perception, opinion or levels of satisfaction.</p> <p>Example: Quality of technical leadership</p>
<b>Quantitative Indicators</b>	<p>Indicators that have a numeric value and are typically represented by a number, percentage or ratio.</p> <p>Example: Number (#) of countries that have improved sustainable fisheries/ aquaculture practices</p>
<b>Regional Initiatives</b>	<p>Regional Initiatives are a Delivery Mechanism that address a main theme of the lead SO and a related key regional priority, by clustering the delivery of planned products and services (from within or across SOs) in a limited number of focus countries to achieve demonstrable impact in a time bound manner. By delivering planned products and services of SOs, Regional Initiatives make a direct contribution to one or more Corporate Outputs (COs).</p> <p>Example: Agrifood trade and regional integration in Europe and Central Asia</p>
<b>Resource Estimates</b>	<p>An estimate of the resources (funds or other) required to achieve the outputs/ outcomes of the programme or project.</p>
<b>Results Resource Requirements</b>	<p>Results are changes in a state or condition that derive from a cause-and-effect relationship and that can be set in motion by a development intervention. The changes can be intended or unintended, positive and/or negative. A more precise measure of the resources required to achieve the outputs/outcomes of the programme or project. Otherwise known as "resource gap".</p>

<b>Results-Based Management (RBM)</b>	A management strategy in which: programme formulation revolves around a set of logically linked objectives and results; resources are allocated based on the requirements for achieving specific desired results; and actual performance in achieving results is measured objectively by performance indicators determined at the outset of the process. Results are changes in a state or condition that derive from a cause-and-effect relationship and that can be set in motion by a development intervention. The changes can be intended or unintended, positive and/or negative.
<b>Results Chain</b>	<p>The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired results – beginning with inputs, moving through activities and outputs, and culminating in outcomes and goal/impacts.</p> <p>Example: FAO will support stakeholders to participate in, update existing and develop new international instruments and mechanisms under the auspices of FAO (CO 2.3.1). Stakeholders will then have increased capacity to endorse/adopt international instruments and support related governance mechanisms for sustainable agricultural production systems (Outcome 2.3). Application of these instruments and related governance mechanisms will help to increase and improve the provision of goods and services from agriculture, forestry and fisheries in a sustainable manner (SO2).</p>
<b>Risk</b>	Is the effect of uncertainty on objectives; where the effect is a deviation from the expected – positive and/or negative. This means risks can either be threats that might prevent from achieving the objectives or opportunities that would enhance the likelihood that objectives can be achieved.
<b>Strategic Framework</b>	The Strategic Framework defines the Global Goals and Strategic Objectives to be attained by Members with the assistance of FAO. It has a 10 year time frame. Is the effect of uncertainty on objectives; where the effect is a deviation from the expected – positive and/or negative. This means risks can either be threats that might prevent from achieving the objectives or opportunities that would enhance the likelihood that objectives can be achieved.
<b>Strategic Objectives</b>	<p>The Strategic Objectives are the key development impacts at the global level in the areas where FAO and Member Countries have committed to achieve results (providing a clear line of sight of FAO's own programme of work).</p> <p>Example: SO1 – Contribute to the eradication of hunger, food insecurity and malnutrition. The Strategic Framework defines the Global Goals and Strategic Objectives to be attained by Members with the assistance of FAO. It has a 10 year time frame</p>
<b>Sustainable Development Goals</b>	<p>The Sustainable Development Goals (SDGs), officially known as Transforming our world: the 2030 Agenda for Sustainable Development, are an intergovernmental set of aspiration Goals with 169 targets. They build on the Millennium Development Goals' eight anti-poverty targets that the world committed to achieving by 2015. The new SDGs, and the broader sustainability agenda, go much further than the MDGs, addressing the root causes of poverty and the universal need for development that works for all people. The Strategic Objectives are the key development impacts at the global level in the areas where FAO and Member Countries have committed to achieve results (providing a clear line of sight of FAO's own programme of work).</p> <p>Example: SO1 – Contribute to the eradication of hunger, food insecurity and malnutrition</p>
<b>Target</b>	<p>Is what one hopes to achieve. Specifies a particular value that an indicator should reach by a specific date in the future.</p> <p>Example: 8 countries improved resource allocation (in terms of adequacy, efficiency and effectiveness) to eradicate hunger, food insecurity and malnutrition by the end of 2015. The Sustainable Development Goals (SDGs), officially known as Transforming our world: the 2030 Agenda for Sustainable Development, are an intergovernmental set of aspiration Goals with 169 targets. They build on the Millennium Development Goals eight anti-poverty targets that the world committed to achieving by 2015. The new SDGs, and the broader sustainability agenda, go much further than the MDGs, addressing the root causes of poverty and the universal need for development that works for all people</p>

<b>Theory of Change</b>	The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired results – beginning with inputs, moving through activities and outputs, and culminating in individual outcomes and those that influence outcomes for the community, goal/impacts and feedback. It also includes underlying assumptions.
-------------------------	--



