

	منظمة الأغذية والزراعة للأمم المتحدة	联合国 粮食及 农业组织	Food and Agriculture Organization of the United Nations	Organisation des Nations Unies pour l'alimentation et l'agriculture	Продовольственная и сельскохозяйственная организация Объединенных Наций	Organización de las Naciones Unidas para la Agricultura y la Alimentación
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## COMMITTEE ON FORESTRY

### NINETEENTH SESSION

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## FAO STRATEGIC FRAMEWORK AND MEDIUM-TERM PLAN

### FAO RESULTS-BASED PROGRAMME FRAMEWORK

#### I. BACKGROUND

1. At the end of 2005, the FAO Governing Bodies commissioned a far-reaching Independent External Evaluation (IEE) of the Organization. This IEE was examined by the November 2007 session of the FAO Conference, which put in place a Conference Committee for IEE follow-up (CoC-IEE). An extensive process of analysis and inter-governmental discussion of the IEE findings during 2008 culminated in the preparation of an Immediate Plan of Action (IPA) for FAO Renewal.
2. A special session of the FAO Conference in November 2008 approved the implementation of the IPA covering: A) priorities and programmes of the Organization; B) governance reform; C) reform of systems, programming, budgeting, culture change and organizational restructuring; and D) follow-up arrangements.<sup>1</sup>
3. The Conference also decided that amendments to the Basic Texts should be prepared for approval at its 36th Session in November 2009, to give effect to the provisions of the Immediate Plan of Action, and that pending such amendments:
  - a) *the Technical Committees of the Council (including COFO) will report to the Conference on global policy and regulatory matters and to the Council on programme and budgetary matters; and*
  - b) *the Strategic Framework, Medium Term Plan and Programme of Work and Budget 2010-11 will be developed as specified in the Immediate Plan of Action, with no requirement for a Summary Programme of Work and Budget.*

<sup>1</sup> Conference Resolution 1/2008 and C 2008/4

4. The IPA sets out the new results-based framework for FAO (see Annex 1). The IPA also includes draft elements of a new long-term Strategic Framework and Medium Term Plan (MTP) for FAO, as formulated by FAO management and discussed in the CoC-IEE. In November 2009 the Conference will consider a final version of the Strategic Framework, together with the MTP 2010-13 and Programme of Work and Budget (PWB 2010-11).
5. In October 2008, the FAO Programme Committee discussed how FAO priorities might be approached within the new results-based framework. The Programme Committee stressed that the Technical Committees of the Council (including COFO) were well placed to offer advice on priorities within their technical fields, and provided the following guidance:
- The Committee recommended that FAO management facilitate pertinent advice being obtained from the Technical Committees, by providing drafts of the results framework, in the format agreed in the IPA, for the Strategic Objectives most relevant to each Technical Committee. The drafts should set out proposed areas of work contributing to the Organizational Results, based on an analysis of Members' needs ... combined with a structured analysis of the application of the Organization's strengths as embodied in the Core Functions, as well as such considerations as organizational performance, existing technical capacity including for cross-disciplinarity, and alternative sources of supply and partnerships.*<sup>2</sup>
6. The FAO Council endorsed this approach.<sup>3</sup> Document COFO 2009/8.1 provides for the consideration of COFO the FAO Strategy for Forests and Forestry, including the draft elements of the new results-based programme framework for this sector.
7. At the same session, the Programme Committee requested that: *“FAO management should provide similar analyses of organizational results and priorities to all Committees for advice regarding cross-cutting Strategic Objectives ....”*<sup>4</sup>.

## II. THE NEW RESULTS-BASED FRAMEWORK IN FAO

8. The IEE and the IPA give considerable attention to the substantive work of FAO. In particular, a new results-based framework will guide the design of all programmes, the approach to setting priorities and the allocation of resources (with integrated presentation of both assessed contributions and voluntary, extra-budgetary resources). The aim is to shift FAO's focus from inputs and what it delivers (posts and outputs) to the impact of activities for the benefit of countries both nationally and globally. The enhanced results-based approach to programming consists of a hierarchy of:
- a) **FAO's Vision** and three **Global Goals**, which represent the fundamental development impacts in the areas of FAO's mandate that member countries aim to achieve;
  - b) **Strategic Objectives**, which contribute to the Global Goals and define the impact, in countries, regions and globally, expected to be achieved by Members in a ten-year time horizon, with contributions from FAO;
  - c) **Organizational Results**, which define the outcome expected from the use by member countries and partners of FAO's products and services in the pursuit of each Strategic Objective; and

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<sup>2</sup> CL 135/5 paragraphs 10-11

<sup>3</sup> CL 135/REP paragraph 14

<sup>4</sup> CL 135/5 paragraph 12

d) **Core Functions**, which represent the main ways in which FAO draws on its comparative strengths to achieve results.

9. The Conference approved in principle 11 Strategic Objectives (see Annex 1), one of which is: *Sustainable management of forests and trees*. FAO management has elaborated the results-framework for this strategic objective in document COFO 2009/8.1. Following the consultative process outlined in this document, the framework of six Organizational Results is based on a high-level analysis of issues and challenges, and the application of FAO's strengths to address them, as summarized in table 1.

10. The Committee is invited to discuss and provide appropriate guidance and recommendations, particularly on the identification and development of the Organizational Results and related priorities and indicators, subsequent areas for priority actions.

**Table 1: Strategic Objective E – Sustainable management of forests and trees**

<b>Organizational Results</b>	<b>FAO Priorities (Primary Tools)</b>
1 - Policy and practice affecting forests and forestry are:  a. based on timely and reliable information	serve as an authoritative global source of information on forests
	prepare and disseminate the results of periodic Global Forest Resources Assessments and reports on the State of the World's Forests
	support to national and regional forest monitoring and assessment, including interactions with other sectors through integrated land use assessments
	effectively share knowledge and information through timely, high-quality use of the internet, networks, publications, and other media
b. and reinforced by international cooperation and debate	provide a dynamic forum for governments and other stakeholders to address policy and emerging issues, including Ministerial Meetings, the Committee on Forestry, the World Forestry Congress, Regional Forestry Commissions, technical panels and commissions, expert consultations, and global and regional networks
	strengthen linkages between national, regional and global processes, including through an expansion of the role of Regional Forestry Commissions
	provide leadership for the Collaborative Partnership on Forests (CPF), including developing joint programmes or actions, and through other partnerships including hosting the Mountain Partnership and through active partnerships with the private sector and non-governmental organizations
2 - Institutions governing forests are strengthened and decision-making improved, including involvement of forest stakeholders in the development of forest policies and legislation, thereby enhancing an enabling environment for investment in forestry and forest industries	support participatory development of forest policy and law, institutional reform and efforts to improve governance
	sector studies and comparative analyses of forest institutions
3 - Forestry is better integrated into national development plans and processes, considering interfaces between forests and other land uses.	support to effective national forest programmes, including capacity building and knowledge exchange
	host and support the National Forest Programme Facility
4 - Sustainable management of forests and trees is more broadly adopted, leading to reductions in deforestation and forest	development and use of guidelines for good forest practices through effective stakeholder consultative processes
	support improved forest fire management including through community-based approaches

degradation and increased contributions of forests and trees to improve livelihoods and mitigate climate change	support the development and implementation of national and international financial mechanisms to support sustainable forest management;
	increased use of financial mechanisms to facilitate information sharing and database development, and to build capacity to strengthen forest management and to reduce deforestation and forest degradation (e.g., REDD).
5 - Social and economic values and livelihood benefits of forests and trees are enhanced, and markets for forest products and services contribute to making forestry a more economically viable land-use option	analysis and knowledge of social and economic factors resulting in increased investment
	analysis of production, consumption and trade of forest products
	technical assistance and guidelines for community-based forest management, forest-based enterprises that improve livelihoods and reduce poverty
6 - Environmental values of forests and forestry are better realized; strategies for conserving forest biodiversity, adapting to climate change, rehabilitating degraded lands, and managing water and wildlife resources are effectively implemented	provide technical and policy assistance in support of landscape and ecosystem approaches, with an emphasis on mountain ecosystems, arid zones and rangelands, coastal forests and other fragile ecosystems
	support countries to address forest health, with special reference to adaptation to climate change; support national and regional initiatives to conserve forests and their biological diversity, to improve the management of watersheds, wildlife resources and protected areas, and to rehabilitate degraded forest lands and combat desertification

## Annex 1

**Extract from the Immediate Plan of Action*****A. Priorities and Programmes of the Organization*****Summary Elements of the Strategic Framework and Medium Term Plan<sup>5</sup>**

1) In order to focus FAO's work to better serve Members' needs, the **Conference** approves FAO's Vision and Global Goals (Box 1) for inclusion in the new Strategic Framework. It also approves the application of the new Results-Based programming framework as described below. The following elements of the Strategic Framework and Medium Term Plan as described below are also approved in principle, i.e. the: Strategic Objectives; Core Functions; Functional Objectives; and the format for presentation of the results-based programme documentation. The concept of Impact Focus Areas (IFAs) is approved and indicative listing of IFAs is agreed as a basis for further elaboration. This total results-based package will provide the basis for the further elaboration of the Results-Based Programme in full, including Organizational Results and indicators for inclusion in the 2010-13 Medium Term Plan. Provision for this development has been included in the Committee's proposals on institutional and governance arrangements for follow-up in 2009 where one Working Group of the new Conference Committee will be devoted to the task of developing the full proposal of a new Strategic Framework and Medium Term Plan for the 2009 Conference. The elements presented in this summary are further elaborated, particularly as regards possible results and indicators, in a FAO Management paper provided as Annex 1 to the CoC-IEE report.

2) Changes in the Programme and Budget preparation process and governance input and oversight arrangements are addressed in Section C of the Immediate Plan of Action: Reform of Programming, Budgeting and Results-Based Monitoring.

*Introduction of a Results-based Framework for all FAO's Work*

3) The elements of the new Strategic Framework and Medium Term Plan will be based on an integrated results-based structure. It will provide a strong basis for "**Reform with Growth**", prioritising and focusing work in line with Members' needs, clarifying the means-ends relationships through which FAO will contribute to agreed impacts in, and for, member countries. The Medium Term Plan will clearly present this and will provide the framework within which FAO shifts the Organization's focus from what it intends to do with assessed contributions to what it intends to achieve through the application of assessed contributions and extra-budgetary resources. The enhanced results-based approach to programming consists of a hierarchy of:

- a) **Three Global Goals:** These represent the fundamental development impacts in the areas of FAO's mandate which the member countries aim to achieve (see Box 1);
- b) **Strategic Objectives:** These contribute to the Global Goals and express the impact, in countries, regions and globally, expected to be achieved in a ten-year time horizon by Members with a contribution from FAO (see Box 2);
- c) **Organizational Results:** These define the outcome expected from the use by member countries and partners of FAO's products and services in the pursuit of each Strategic Objective; and

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<sup>5</sup> At its session in 2007 the FAO Conference required the Conference Committee to present elements of a new FAO Strategic Framework and Medium Term Plan (Resolution 5/2007). The Strategic Framework and Medium Term Plan are to be finalised together with the 2010-11 Programme of Work and Budget for decision at the Conference in 2009.

d) **Core Functions:** These represent the critical means of action to be employed by FAO to achieve results, drawing on the Organization's comparative advantages.

**Box 1:**

**FAO's Vision and Global Goals:** *FAO's vision is of a world free of hunger and malnutrition where food and agriculture<sup>6</sup> contributes to improving the living standards of all, especially the poorest, in an economically, socially and environmentally sustainable manner. To foster the achievement of this vision and of the Millennium Development Goals, FAO will promote the continuing contribution of food and sustainable agriculture to the attainment of three global goals:*

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

**FAO's Strategic Objectives:**

- *Sustainable intensification of crop production;*
- *Increased sustainable livestock production;*
- *Sustainable management and use of fisheries and aquaculture resources;*
- *Sustainable management of forests and trees;*
- *Sustainable management of land, water and genetic resources and improved responses to global environmental challenges affecting food and agriculture;*
- *Improved quality and safety of foods at all stages of the food chain;*
- *Enabling environment for markets to improve livelihoods;*
- *Improved food security and better nutrition;*
- *Improved preparedness for, and effective response to, food and agricultural threats and emergencies;*
- *Gender equity in access to resources, goods, services and decision-making in rural areas;*
- *Increased and more effective public and private investment in agriculture and rural development.*

4) Targets and indicators to permit assessment of progress are being defined for Organizational Results with the aim of putting them in place from 2010-11. To support their application a results-based monitoring system will be established and the monitoring of indicators for Organizational Results will provide the basis for a biennial report to the membership in 2012 on the Organization's performance in 2010-11. The same system and data will also facilitate impact assessment at the level of objectives through evaluation. This major innovation in the way in which FAO plans, implements and assesses its work will feed back into management decision-making and facilitate Governing Body oversight, both of the use of all resources in line with agreed priorities and of their effectiveness in terms of benefits to individual member countries and the global community.

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<sup>6</sup> Agriculture encompasses all aspects of crops, livestock, forestry and fisheries.

5) The Programme of Work will thus be presented in an integrated suite of planning documentation encompassing: the Strategic Framework with a 10-15 year time-horizon (reviewed every four years); the Medium Term Plan presenting the Organizational Results, covering a four-year time horizon, but reviewed and adjusted each biennium; and the Programme of Work and Budget dealing with the resources required to contribute to the Organizational Results each biennium (see Section C of the IPA).

### *Organizational Results*

6) **Progress in defining Organizational Results:** Organizational Results combine the outcomes of FAO actions at country, regional and global levels. Significant progress has been made in defining both the Results and their targets and indicators (see FAO Management paper in Annex 1 to the Conference Committee Report). This work will be completed for final consideration by the Conference in 2009 of the Strategic Framework, Medium Term Plan 2010-2013 and Programme of Work and Budget 2010-11.

7) It is at the Results level that the major outcomes of FAO's work are elaborated in such major areas as the "Right to Food", and the related issues of an enabling environment for increased food production and access to that food of those who most need it. This includes the support to the development of the essential policy frameworks and national institutional capacities. It is also at this level that specificity is given to FAO's work on such important regulatory areas as food safety. The approach to the further elaboration of results for cross-cutting strategic objectives in work such as gender, investment and natural resources will help to ensure that they are largely defined in the context of work within the remaining Strategic Objectives of a more sectoral nature. This will help integrate attention to and mainstream these important areas of work.

8) The achievement of Organizational Results will integrate outcomes from the application of both assessed contributions and extra-budgetary resources. Targets and indicators for Results will thus be designed both to verify outcomes from the application of assessed contributions and to take into consideration the extent to which Results are achieved as voluntary contributions become available in addition to the assessed budget.

9) **Format for Presentation of Strategic Objectives and their Organizational Results in the Medium Term Plan:** A format has been developed for the presentation of Organizational Results which is used in part in the FAO Management paper in Annex 1 to the Conference Committee Report and is endorsed in principle for application in the development of the Medium Term Plan. It is summarised in Box 2.



<b>Box 2: Format for Presentation of Strategic Objectives and their Organizational Results</b>	
<b>Strategic Objective Title:</b>	
<b>Issues and Challenges:</b>	
<b>Assumptions and Risks:</b>	
<b>Organizational Results</b>	
Result 1 Title	
Primary Tools for achievement of the Result	Targets and Indicators
Result 2 Title	
Primary Tools for achievement of the Result	Targets and Indicators
Result 3 Title	
Primary Tools for achievement of the Result	Targets and Indicators
etc for each Organizational Result	
Check list of application of the Organization's Core functions to achievement of the Strategic Objective	
Strategic Objective Budget broken down by Organizational Result (and by: assessed contributions and extra-budgetary resources; and by region)	

10) **Prioritizing and Focusing Work:** Prioritisation and focusing of FAO's work is essential at all levels of the Results-Based Framework and is particularly critical at the level of Organizational Results to achieve greater efficiency and effective delivery of services to Members and other stakeholders. FAO must respect its responsibility to promote action on all aspects of the mandate and resources must be allocated for Organizational Results that clearly contribute to the achievement of the Strategic Objectives. Within this context absolute priority needs to be accorded to Members' existing needs and meeting emerging challenges.

11) In further developing the priorities for the Medium Term Plan and Programme of Work and Budget during 2009 the planned Conference Committee will work closely with management in undertaking an analysis of Members' needs. This will be combined with a structured analysis of the potential for application of the Organization's strengths, as embodied in the Core Functions (see Box 4) and which include such considerations as: organizational performance in each area of work; existing technical capacity, including for cross-disciplinarity; and the integration of strengths in advocacy, normative work and technical cooperation. This analysis will recognise that there are areas of need where FAO will need to strengthen its capacity to provide services, while also recognising that considering the breadth of FAO's mandate and the limitations on resources, the availability to member countries of alternative sources of supply for the service or product and FAO's comparative strengths will be important considerations. The avoidance of duplication and working in partnership will be essential, in particular with other organizations in the UN system, but also with non-UN entities, both public and private.

12) Guiding principles applied in reformulating FAO programmes will be to:

- a) support countries in developing their policies and building their capacities for action in areas that can stimulate sustainable development of food production, food security and pro-poor economic growth;
- b) foster progress in the global and regional conditions for development through policy and regulatory coherence and the availability of information to underpin national development; and

- c) assist the global community and individual member countries in addressing emerging issues, such as those of climate change and high food prices.

13) Members will thus require evidence that Organizational Results have been formulated taking full account of these considerations, and both the results-based monitoring system and evaluation will help to assure this. Other major tools which will inform the development of the Organizational Results and Strategic Objectives include:

- a) National Medium-Term Priority Frameworks developed with individual governments to focus FAO's efforts on national needs;
- b) structured and consultative development of sub-regional and regional areas of priority action, including the Regional Conferences in the consultation; and
- c) at the global level, a limited number of Impact Focus Areas (see below).

14) **Impact Focus Areas contribute to Strategic Objectives** and their agreed Organizational Results, providing a focus within or across them. They will:

- a) help mobilise resources for priority groups of results which could benefit from additional funding, acting as "flagships", providing a communication and advocacy tool to better attract voluntary extra-budgetary resources and partnerships to supplement assessed contributions;
- b) progressively enable pooled, and less rigidly tied, funding of voluntary extra-budgetary contributions;
- c) primarily address issues of priority to developing countries with emphasis on capacity building and getting policy frameworks right; and
- d) facilitate Governing Body oversight of the use of extra-budgetary resources in line with agreed priorities.

15) They have an initial duration of some four years and may be extended as necessary. They will be underpinned by a strategy and indicators of outcomes. Review will take place each biennium as part of the Medium Term planning process and Impact Focus Areas may be discontinued, adjusted or added to in line with emerging needs and results.

**Box 3: Indicative initial listing of Impact Focus Areas**

- **Action towards global food security in the context of the current food crisis and climate change** : Build longer-term resilience and contribute to global food security through short, medium and long term action under the UN System Comprehensive Framework of Action on the Global Food Crisis by supporting sustainable growth in food production in developing countries, especially among smallholder farmers, including through the Initiative on Soaring Food Prices (immediate needs) and support to National and Regional Programmes for Food Security.
- **Prevention and reduction of the negative effects of transboundary animal and plant pest and food safety incidences** (negative economic, social and health impacts).
- **Strengthening the information base for sustainable forest management**: Building countries' capacities to manage forests and trees based on timely and reliable information.
- **Implementation of the Code of Conduct for Responsible Fisheries** (FishCode - Global Partnerships for Responsible Fisheries) to help ensure sustainable fisheries and aquaculture as integral components of food production and resource management systems at national, regional and global levels, in particular through capacity building.

- ***Coping with scarcity of land and water resources:*** Increasing capacities to achieve improved governance, access to and management of land and water resources, including the implications of climate change, with a special emphasis on Africa.
- ***Information and statistics:*** Strengthening national, regional and global capacities to generate reliable information and statistics to improve national and global decision making in agriculture and the fight against hunger.
- ***Standard setting and regulation:*** Strengthened national and global capacities for the development and implementation of regulations and standards with particular attention to the capacities and participation of developing countries (plant protection, food safety, genetic resources).

### *Core Functions*

16) Eight core functions of FAO define the means of action and the important modalities to achieve results drawing on the Organization's comparative advantages. Each core function is underpinned by a strategy which will help to ensure coherent approaches, cooperation among organizational units, mutual learning and the pursuit of excellence.

#### ***Box 4: The Core Functions of FAO***

- *Providing **long-term perspectives and leadership in monitoring and assessing trends in food security and agriculture, fisheries and forestry;***
- *Stimulating the **generation, dissemination and application of information and knowledge, including statistics;***
- *Negotiating international instruments, setting norms, standards and voluntary guidelines, supporting the development of national legal instruments and promoting their implementation;*
- *Articulating **policy and strategy options and advice;***
- *Providing **technical support to:***
  - *promote technology transfer,*
  - *catalyse change,*
  - *build capacity, particularly for rural institutions,*
- *Undertaking **advocacy and communication,** to mobilize political will and promote global recognition of required actions in areas of FAO's mandate;*
- *Bringing integrated **interdisciplinary and innovative approaches** to bear on the Organization's technical work and support services;*
- *Working through strong **partnerships and alliances** where joint action is needed.*

### *Functional Objectives*

17) To ensure that all aspects of the Organization's work are established in a results-based framework, including its administration and processes, two Functional Objectives have been defined:

- a) Effective collaboration with Member States and stakeholders (partnership and communication); and
- b) Efficient and effective administration.

18) These will also have targets and indicators for their results and 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 Strategic Objectives.

*Management responsibilities*

19) Clear managerial responsibilities throughout the cycle of preparation, implementation and assessment, will be assigned for each Strategic Objective, Organizational Result, Impact Focus Area, Core Function and Functional Objective. Managers will be held accountable for the progress not only in terms of provision of products and services but also the results these achieve.