

# Evaluation of the FAO-Norway Programme Cooperation Agreement (PCA) 2005-2007

Final Evaluation Report

NORAD COLLECTED REVIEWS 27/2008

FAO Evaluation service (PBEE):

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### **Norad collected reviews**

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(PCA) 2005-2007**

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## Acronyms

ADGs	Assistants Director General
AFF	FAO Finance Division
AGN	FAO Nutrition and Consumer Protection Division
AGNS	FAO Food Quality and Standards Service
AGAP	FAO Animal Production Service
AGPS	FAO Seed and Plant Genetic Resources Service
AGS	FAO Rural Infrastructure and Agro-Industries Division
AOS	Administrative and Operational Support
BH	Budget Holder
BMUs	Beach Management Units
CCRF	Code of Conduct for Responsible Fisheries
COFO	FAO Commission on Forestry
CPF	Collaborative Partnership on Forests
DFID	UK Department for International Development
EB	Extra-Budgetary
EBF	Extra-Budgetary Fund
EC	European Commission
ESTT	FAO Trade Policy Service
ESWD	FAO Gender, Equity and Rural Employment Division
FAO	Food and Agriculture Organisation of the United Nations
FAOR	FAO Representation
FAS	Field Accounting System
FBA	Field Budget Authorization
FDR	Field Disbursement Request
FIEP	FAO Fisheries Development Planning Service
FIIT	FAO Fisheries Technology Service
FIIU	FAO Fish Utilization and Marketing Service
FIMA	Aquaculture Management and Conservation Service
FOEL	FAO Forest Communication Service
FOEP	FAO Forest Policy Service
FNOP	Project code of PCA-Norway funded components
FNPP	FAO Netherlands Partnership Programme
FPMIS	Field Programme Management Information System
GAP	Good Agricultural Practices
GCP	Government Cooperative Programme
GEF	Global Environment Facility
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
HPAI	Highly Pathogenic Avian Influenza
HQ	Headquarters
IDWG	Inter-Departmental Working Group
IEE	Independent External Evaluation of FAO
ILO	International Labour Organization
IPFSAPH	International Portal on Food Safety, Animal and Plant Health
LEGN	FAO Development Law Service
LDCs	Least Developing Countries
LICs	Low Income Countries
LSP	Livelihoods Support Programme
MDG	Millennium Development Goal
NACA	Network of Aquaculture Centres in Asia
NFPF	National Forest Programme Facility

NGO	Non Governmental Organization
NRDC	Secretariat, Commission on Genetic Resources for Food and Agriculture
NRLA	FAO Land Tenure and Management Unit
NMTPF	National Medium-Term Priority Framework
OC	Objective Convener
OIE	World Organization for Animal Health
PAIA	Priority Area for Interdisciplinary Action
PCA	Programme Cooperation Agreement
PCA-Norway	FAO-Norway Programme Cooperation Agreement
PE	Programme Entities
PBEE	FAO Evaluation Service
PBEP	FAO Programme and Budget Service
PRSP	Poverty Reduction Strategy Paper
PWB	Programme of Work and Budget
RAP	FAO Regional Office for Asia and the Pacific
RBM	Results Based Management
RP	FAO Regular Programme
RPB	FAO Regular Programme Budget
SARD	Sustainable Agriculture and Rural Development
SME	Small and Medium Enterprise
SMFE	Small and Medium Forest Enterprises
SO	Strategic Objective
TCAP	FAO Field Programme Development Service
TCAS	FAO Agricultural Policy Support Service
TCP	FAO Technical Cooperation Programme
ToRs	Terms of Reference
UNCTAD	United Nations Conference on Trade and Development
UNDAF	UN Development Assistance Framework
UNDP	United Nations Development Programme
UNIDO	United Nations Industry Development Organization
WB	World Bank
WHO	World Health Organization
WTO	World Trade Organization

## Executive Summary

1. In late 2005 Norway and FAO agreed on a strategic partnership aimed at contributing to the reform of FAO and enhancing and adding value to specific areas of FAO's work by targeting and improving its impacts in key themes and by addressing the issue of the integration of the Organization's Regular Budget (RB) and Extra-Budgetary Funds (EBF) resources. The FAO/Norway PCA 2005-07 provided support of NOK 110 million (USD 17.2 million) and was implemented in 2006 and 2007, with a number of activities extended to mid 2008.

2. In late 2007 during negotiations for the next phase of the Programme, it was agreed that an evaluation would contribute to the common understanding of the results achieved so far, of the strengths and weaknesses of the approach, and to the identification of any necessary adjustment for the planned next phase.

3. In early 2008, FAO Evaluation Service launched the evaluation process which included an evaluability assessment. An independent evaluation team assessed the relevance, efficiency, effectiveness and actual and foreseeable impacts of the work carried out through the Agreement and the process for its implementation. The evaluation was formative and forward looking. The Main Report provides a synthesis of the findings of the Evaluation and its recommendations. Annexes by Components provide more detail and suggestions which may be useful in charting the way forward.

4. The FAO/Norway PCA 2005-07 was an innovative and effective support to FAO's Regular Programme and met many of its objectives. It supported the Strategic Objectives of FAO and contributed to the Organization's efforts toward the Millennium Development Goals by focusing on poverty alleviation and poor countries. In addition the Agreement has been effective in building social and human capital for FAO. It has energised staff who were enthusiastic about the Programme's flexibility, which gave them the opportunity to respond in time to important member countries' requests and enhanced their ability to work at country level and with people from other departments.

5. Although considerably more efforts are needed, the PCA-Norway has encouraged:
- more focus on selected issues relevant to the poor and to low income countries;
  - closer links between normative work and countries;
  - timely response to country needs which could not be met by the Regular Programme nor by other project modalities;
  - innovation and the development of activities that take account of emerging issues;
  - a system approach through more interdisciplinary and cross-sectoral interaction both for normative work and country level interventions;
  - a higher profile for FAO in international fora;
  - mainstreaming gender and HIV/AIDS; and
  - more focus on building partnerships.

6. Notwithstanding its good results, the current management structure is not sustainable in the long term; a new structure needs to be established which:

- provides clear lines of responsibility and accountability;
- enables flexible financial response to the needs of components and provides for speed of delivery at differential rates;
- retains a Steering/Oversight Unit (Inter-Departmental Working Group/IDWG or similar) with representatives of relevant technical and administrative units with an executive management unit full-time to co-ordinate, disburse, monitor and account for substantive and financial reports; and
- identifies its objectives at the Organizational Results level in the future Results Based Management (RBM) framework.

7. Future FAO/Norway PCA agreements need to be specific about the areas, countries and regions to be supported and need to agree on the criteria to be used when selecting activities and assessing outcomes. A hierarchy of criteria needs to be established with the primary objectives of the agreement made clear. In this way outcome indicators could be better identified and measured. Equally, there needs to be more clarity about both the extent and management of support through the Agreement to international instruments and multilateral trust funds.

8. The Evaluation noted that there were examples of excellent support to capacity building in countries but felt that this required more investment in future and suggest that there should be greater technical assistance and backstopping of national consultants. The Evaluation suggests that PCA-Norway should continue to encourage cross-sectoral co-operation in country following on from the excellent examples noted in Burkina Faso, Nicaragua and Nepal. In order to consolidate the gains from the workshops and guidelines it would be appropriate for future phases to invest in following-up on case studies and ensuring effective dissemination and uptake of the work and ideas generated. Some specific suggestions and recommendations are made for follow-up on those initiatives that the Evaluation saw in the field, for example in India and in Kenya.

9. Recommendations are addressed to the PCA-Norway stakeholders, including the donor, the IDWG and FAO at large. Many of these should be implemented immediately, while others should inform the preparation and implementation of the next phase of the Programme in 2009.

10. The main recommendation of the Evaluation is:

***Recommendation 15***

**The PCA-Norway is an effective vehicle for donor support to FAO work and it should be continued with some revisions to both the structure and the implementation process. There needs to be longer term commitment for support to ensure sustainability, particularly for work at country level.**

11. Here below are listed all the recommendations, as numbered in the Main Report.

***Recommendation 1***

**In future PCA-Norway should test new approaches for FAO normative work, to make it more relevant and effective at country level. FAO Representations and governments should be involved in planning to ensure national relevance, encourage collaboration and develop synergies. Where possible activities should form part of the National Medium Term Priority Frameworks (NMTPF). Adequate exit strategies need to be prepared to ensure sustainability.**

***Recommendation 2***

**Field Disbursement Requests (FDRs) or Field Budget Authorizations (FBAs) should be used only in the case of one-off, isolated activity or minimal materiality. In countries where more complex initiatives are planned, a country-level Baby Project should be opened through which the FAOR will receive and manage all PCA-Norway funds for that country, on the basis of detailed six-months or yearly plans of action.**

***Recommendation 3***

**It is essential to clearly define and prioritise the objectives and the criteria for selecting activities and countries for future PCA-Norway support. The nature and extent of the contribution to multilateral and global trust funds and facilities through the Programme also need to be specifically defined.**

***Recommendation 4***

**More PCA-Norway funds should be directed to the FAO unit responsible for gender and HIV/AIDS mainstreaming in order to better enhance both aspects in PCA-Norway components.**



***Recommendation 5***

**In future PCA-Norway should choose the “middle road” option and support FAO through both normative work at global level and work in a limited number of countries selected according to clearly established criteria. The two levels of work should be as complementary as possible, but a certain degree of flexibility will also have to be maintained for the normative work.**

***Recommendation 6***

**Effective cross-sectoral policy development and analysis needs to be extended and future emphasis in policy work should be on holistic policy frameworks able to reflect production, employment, livelihoods, natural resources, income distribution and climate change issues.**

***Recommendation 7***

**PCA-Norway should continue to fund work on resource tenure, which should be directed at informing national policy agenda, assisting countries wanting to change their legislation and work with communities to assess the effectiveness of different property rights regimes.**

***Recommendation 8***

**All PCA-Norway work at country level, with communities and with government, should ensure that information gathered for global knowledge advancement is not extractive and provides some added value to those involved.**

***Recommendation 9***

**In the fisheries sector PCA-Norway should give priority to strengthening the link between normative and operational activities, including support to the design and improvement of national legal, institutional and regulatory frameworks. This should be both directly at country level and/or through Regional Fisheries Bodies in a way that is compatible with the Programme’s criteria using a more inter-disciplinary and inter-departmental approach.**

***Recommendation 10***

**In the forestry sector the allocation of PCA-Norway resources to international and regional agreements, instruments and bodies should be directed to providing support to Least Developed Countries giving them voice in the debate and in setting the agenda, to develop their capacity to benefit from, and adhere to, international norms and to provide support for inter-sessional and follow-up work. More practical country level support mechanisms need to be developed.**

***Recommendation 11***

**In line with the main PCA-Norway criteria relating to poverty alleviation and climate change, Programme funds in support of forestry should be directed more at mainstreaming forest tenure and participatory forestry issues in the work of FAO Forestry Department and other PCA-Norway Components.**

***Recommendation 12***

**PCA-Norway funded country-level activities in the field of food safety should be directed primarily to the development of food chain approaches involving Sustainable Agriculture and Rural Development, Good Agricultural Practices, food safety and quality. To the extent possible, these activities should be used to develop and ensure positive cooperation with relevant UN Agencies in particular WHO, UNCTAD/ITC, UNIDO and ILO, as well as to leveraging longer-term programmes.**

***Recommendation 13***

**PCA-Norway funded activities on Biosecurity should be developed based on a clear FAO Strategy for Biosecurity. This Strategy should take into account the experience of PCA-Norway Component D1.1, in particular in relation to issues of post-crisis rehabilitation and restructuring, and on modalities of assistance to low-income countries in identifying the nature of emergency situations. Risk assessment, preparedness planning, and building of response capacities would be part of a Biosecurity Strategy and are appropriate activities for PCA-Norway funding.**

***Recommendation 14***

**Future work under PCA-Norway should follow and document the development on Biosecurity in India closely, so that this work can be adapted where appropriate for application in Least Developed Countries.**

***Recommendation 15***

**The PCA-Norway is an effective vehicle for donor support to FAO work and it should be continued with some revisions to both the structure and the implementation process. There needs to be longer term commitment for support to ensure sustainability, particularly for work at country level.**

***Recommendation 16***

**FAO should adjust the management structure of the PCA-Norway to develop and build more effectively on principles of inter-disciplinarity and cross-sectoral work, with clear lines of responsibility and accountability, on fair and phased allocation of funds following delivery and on an effective Result Based Management system. Details of the new structure are illustrated in Figures 12 and 13.**

12. In conclusion, the Evaluation team would like to thank all those working with the PCA-Norway and to congratulate FAO and Norway on this agreement which has been ground-breaking for FAO and is contributing directly and indirectly to FAO more effectively fulfilling its mandate under difficult conditions.

## 1 Introduction

13. Norway has been a key long-term partner of FAO for almost four decades. The first Framework Agreement was signed in December 1970 and until 2003, the Norwegian contribution to FAO took the form of development and emergency projects and Associate Professional Officers. In December 2003, a new “*Framework Agreement on cooperation in the field of development between the Government of Norway and FAO of the UN*” substituted the previous one: it covers all extra-budgetary contributions to FAO from the Ministry of Foreign Affairs and governs any support to FAO, be this through supplementary activities to FAO Regular Programme, activities funded only by Norway and activities funded through multi-donor partnerships.

14. Within this umbrella, Norway and FAO agreed on a more comprehensive programme approach and launched the first Programme Cooperation Agreement (PCA) that covered the biennium 2003-2004: this was allocated to the five technical departments of the Organization<sup>1</sup>.

15. In late 2005 Norway and FAO agreed on a strategic partnership aimed at contributing to the reform of FAO and enhancing and adding value to specific areas of FAO’s work, by targeting and improving its impacts in key themes and by addressing the issue of the integration of the Organization’s Regular Programme Budget (RPB) and Extra-Budgetary Funds (EBF) resources. The FAO/Norway PCA 2005-07 provided support of NOK 110 million (USD 17.2 million) and was implemented between 2006 and 2007, with a number of activities being extended to mid 2008.

16. In late 2007, negotiations had started for the third phase of the FAO-Norway PCA. During this process, all parties considered that an evaluation would contribute to the common understanding of the results achieved so far, of the strengths and weaknesses of the approach and to the identification of any necessary adjustment for the follow-up phase.

17. In early 2008, FAO Evaluation Service launched the evaluation process. It was responsible for the evaluability assessment, for drafting the Terms of Reference<sup>2</sup>, organizing the Evaluation and recruiting the independent Evaluation team. Team members were<sup>3</sup>:

- Ms Kay Muir Leresche, team leader, expert for agricultural and natural resources management policies and gender issues (Zimbabwe/South Africa);
- Ms Teresa Amador, expert for fisheries regulatory frameworks (Portugal);
- Mr Alan Randell, expert for food safety and bio-security (Australia);
- Mr Franco Franchini, expert for administration, management and financial issues (Italy);
- Mr Bruno Cammaert, forestry expert (Belgium);
- Ms Tullia Aiazzi, evaluation manager, evaluation expert with competences on institutional issues, gender and development issues (FAO/Italy);
- Ms Luisa Belli, Research Assistant, responsible for backstopping research and logistics. (Italy).

18. The Evaluation was carried out with funds from the PCA-Norway between end of May and mid-July 2008, when a draft report was circulated. The report was finalized in August 2008.

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1 AG, ES, FI, FO and SD

2 See Annex 1, Approach paper and Terms of Reference (ToRs) of the Evaluation

3 See Annex 11 for the team members’ profile

## **2 Objective and methodology of the evaluation**

### **2.1 Objective of the evaluation**

19. The objective of the Evaluation of the FAO/Norway PCA is to inform all stakeholders about the role, implementation process, results and foreseeable impact of the FAO-Norway PCA 2005-07. It is a formative evaluation, which aims at assessing and providing evidence of past performance, drawing lessons and recommendations and possibly giving strategic guidance for future similar programmes, for use by FAO, Norway and other donors.

20. The Evaluation assessed the FAO-Norway PCA 2005-07 both in its entirety as a single EBF programme in support of FAO's Regular Programme, as a strategic partnership addressing the integration of the Organization's resources, and through the in-depth assessment of some areas of work, selected with basis on a number of criteria<sup>4</sup>, briefly resumed here:

- Component A1.1-Policy Assistance met the criteria of financial relevance and inter-disciplinarity;
- Component A1.2-Land tenure met the criteria of innovative and inter-disciplinary process;
- Component B2.1-Food Safety met the criteria of financial relevance and inter-disciplinarity;
- Component B2.4-Sustainable Forest Management met the criteria of financial relevance;
- Component D1.1-Bio-security met the criteria of financial relevance, of "emerging issues" and of innovativeness and inter-disciplinarity.

21. In addition, following a specific request by the Donor, the Evaluation also analysed Components B1.2 and B2.3 in support of FishCode through "an in-between assessment" at FAO Headquarters (HQ) level, to ascertain their relevance and coherence with the PCA-Norway objectives. Other components of the PCA, namely B1.1-Development and implementation of international instruments related to animal and plant genetic resources; B1.3-Development and implementation of the International Arrangement on Forests; B1.4-Progressive realization of the Right to Food; B2.2-Implementation of national sustainable resource management practices, related in particular to animal and plant genetic resources for food and agriculture, were assessed as part of the overall Programme.

22. The Evaluation focused on the relevance, efficiency, effectiveness and actual and foreseeable impacts of the work carried out through the Agreement and of the process for its implementation. Aspects of management, operations and administration were also included.

### **2.2 Methodology<sup>5</sup>**

23. The PCA-Norway 2005-07 intended to be a "direct budget support" to FAO's Regular Programme. The complexity and ambition of such an objective and subsequent implementation model required that an evaluability assessment be undertaken as first step in the evaluation process, to map the broad areas of work carried out through the Agreement and to compare the Norwegian contribution with other resources assigned to the same Strategic Objectives and areas of work. Further, a consultative process was advisable to assess the expectations from different stakeholders about the evaluation itself.

24. The evaluability assessment was carried out by FAO Evaluation Service (PBEE), and focused on two main aspects: identification of the activities implemented with PCA-Norway funds and of the strengths and weaknesses of the Programme as such; analysis of the financial contribution of the PCA-Norway to total resources available to FAO for each activity supported. An Approach paper and Terms of Reference for the Evaluation were the output of this phase<sup>6</sup>.

25. Stakeholders' expectations about the evaluation were gathered during the evaluability assessment. In particular, the donor's main focus was on results and potential outcomes at country

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4 Please refer to Annexes 1 and 2

5 Ibidem

6 See Annex 1

level and in strengthening the synergies between FAO's "*normative and operational activities*". Some FAO stakeholders responsible for mobilizing and managing corporate resources were interested in the PCA-Norway as a model for other similar agreements. The interest of members of the Inter-Departmental Working Group (IDWG) for the PCA-Norway, including the Co-coordinators, focused mostly on possible improvements to the programme structure and on the assessment of their technical work. In so far as possible, these concerns were integrated in the Terms of Reference.

26. The organization of the Evaluation was conducted in the period March-May 2008; the multi-disciplinary team composed of six consultants and one FAO Evaluation officer assembled in FAO HQ at the end of May, to have interviews with in-house stakeholders and with the donor. Various team members travelled to Burkina Faso, Kenya, Nepal and India, which had been selected according to the concentration of PCA-Norway components and activities<sup>7</sup>.

27. The Evaluation team held extensive meetings with a wide range of direct and indirect stakeholders<sup>8</sup>, in FAO HQ and in the visited countries. A detailed list of evaluation questions based on the ToRs guided the semi-structured individual and group interviews and the assessment of normative outputs produced by each component. Other methods included triangulation of information gathered and desk review of publications, documents and web-sites produced. The Sustainable Livelihoods and the Strengths, Weaknesses, Opportunities and Threats (SWOT) frameworks were used whenever appropriate for assessing contributions to the PCA-Norway main criteria, results and potential impact as well as the implementation process.

28. The Evaluation team held a debriefing session in FAO HQ with the PCA-Norway IDWG before finalizing the draft report, to present its preliminary findings, conclusions and recommendations. The final draft report was circulated among all stakeholders, including the FAO Representation of the countries visited and comments and suggestions were integrated as appropriate.

29. The Organization will prepare a corporate Management Response to the evaluation report, in which it will state its overall appreciation of the evaluation and will commit, with responsibilities and time-schedules, to the implementation of the accepted recommendations. In the case of rejection of any recommendation, a justification will be required.

### **2.3 Structure of the report**

30. The report illustrates the analysis, the findings, the conclusions and the recommendations of the Evaluation team. The Executive Summary succinctly outlines the main findings and conclusions of the Evaluation and lists all the recommendations.

31. The team decided that the main body of the report should be as lean as possible to encourage stakeholders to read it, so that they could obtain a good overview. For detailed information readers are referred to the Annexes. This Chapter (2) provides the basic information on the evaluation, Chapter 3 the PCA-Norway Objectives and its components, Chapter 4 provides a summary of the institutional, management and operational aspects of the PCA-Norway; Chapter 5 and 6 include the assessment of the work done by PCA-Norway on cross-cutting criteria and by Component respectively; Chapter 7 includes the main conclusions and recommendations.

32. The annexes include the detailed assessment of the components that were evaluated in depth, as well as Fisheries, and the analysis of the institutional, management and operational aspects of the PCA-Norway. Other Annexes are the Approach Paper/Terms of Reference of the Evaluation, the Evaluation methodology, the list of organizations met and a short profile of the Evaluation team members.

33. Suggestions for the PCA-Norway are to be found in the main report. Suggestions in the Annexes are addressed to FAO, in that their scope goes at times beyond the PCA-Norway work. The Organization will decide what the best use for these, as they are not binding and will not have to be part of the Management Response to the Evaluation.

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7 See Annex 1

8 See Annex 10 for the complete list of organizations met by the Evaluation team.

### 3 Objectives and components of the PCA-Norway 2005-07

34. The PCA-Norway stated that its overall objective “..was to support the realization of the Millennium Development Goals (MDGs) in developing countries through the work of FAO<sup>9</sup>.” In order to achieve this, Norway wanted to emphasize four of FAO’s 12 corporate strategies:

- i. A.1, Sustainable rural livelihoods and more equitable access to resources, 25% of the funds;
- ii. B.1, International instruments concerning food, agriculture, fisheries and forestry, and the production, safe use and fair exchange of agricultural, fishery and forestry goods, 20% of the funds;
- iii. B.2, National policies, legal instruments and supporting mechanisms that respond to domestic requirements and are consistent with the international policy and regulatory framework, 35% of the funds;
- iv. D.1, Integrated management of land, water, fisheries, forest and genetic resources, 20% of the funds.

35. The terms and conditions of the PCA required FAO to “adhere to the relevant policy decisions and guidelines approved by its Governing Bodies, and a common set of objectives and principles for the international development community which are contained in political declarations and plans of action from relevant UN summits, notably the Millennium Assembly”. Particular emphasis was to be placed on:

- Poverty alleviation;
- Co-ordination and harmonisation with extra-budgetary programmes of other donor and cohesive functioning within the United Nations system (UNCT, CCA and UNDAF<sup>10</sup>);
- Limited number of low-income countries and orientation on results and impact;
- Social, economic and ecological aspects and sustainability;
- Gender perspective;
- Capacity building in developing countries;
- Strengthen the link between normative and operational activities of the Regular Programme (RP) and FAO’s policy assistance at country level;
- Development of the Programme within the framework of the MDGs, WSSD plan of action and CBD<sup>11</sup> decisions and work programmes;
- Strategic co-operation with other relevant international organisations and relevant partners; and
- Inter-disciplinarity.

36. Other thematic aims were as follows:

- All activities related to food safety and quality should be developed with a food chain approach in mind. Priority should be given to assist developing countries to build capacity in food safety and quality control.
- Due consideration should be given to HIV/AIDS in all relevant activities, throughout the programme.
- Progress and follow-up of important global negotiations primarily related to genetic resources, forestry and fisheries should also be prioritised.

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9 Programme Cooperation Agreement between the Government of Norway and the Food and Agriculture Organization of the United Nations (FAO) 2005-06

10 UNCT: United Nations Country Team; CCA: Country Common Assessment; UNDAF: United Nations Development Assistance Framework

11 MDG: Millennium development Goals; WSSD: World Summit on Sustainable Development; CBD: Convention on Biological Diversity

37. The Programme was structured in 11 components, briefly summarised here below.
- *Component A1.1/TCAS, Inclusion of food security objectives, policies, programmes and monitoring mechanisms in Poverty Reduction Strategy papers (PRSPs) and other policy initiatives at country level:* in support of mainstreaming food security and agricultural development issues into PRSP formulations and revisions.
  - *Component A1.2/NRLA, Support to member countries and the High Level Commission on Legal Empowerment of the Poor:* structured into five sub-components, managed respectively by NRLA with LEGN, FOEP, FIEP and two by ESWD, each of them focusing on a specific aspect of land and natural resources tenure issues that would contribute to the work of the Commission for the Legal Empowerment of the Poor.
  - *Components B1.1/NRDC, Development and implementation of international instruments related to animal and plant genetic resources and B2.2/AGPS, Implementation of national sustainable resource management practices, related in particular to animal and plant genetic resources for food and agriculture:* in support of FAO's work on plant and animal genetic resources.
  - *Components B1.2/FIED, Development and implementation of international instruments related to Fisheries and B2.3/FIED, Implementation of the Code of Conduct for Responsible Fisheries and associated instruments at the national level:* both fully embedded in the umbrella programme FishCode, which aims at the implementation of the Code of Conduct for Responsible Fisheries.
  - *Component B1.3/FOEL, Development and implementation of the International Arrangement on Forests:* in support of FAO's normative work with statutory and international bodies, through FAO's Regional and Sub-regional Offices.
  - *Component B2.4/FOEP, Support to member countries in their efforts to achieve sustainable forest management:* in support of FAO work on forestry policy to test and extend normative tools and instruments at country level.
  - *Component B1.4/ESTT, Progressive realization of the Right to Food:* in support of FAO activities aimed at mainstreaming and implementing the Voluntary Guidelines for the Realization of the Right to Food.
  - *Component B2.1, Improved food safety and food quality at the national level:* in support of FAO work on Food Safety and Quality.
  - *Component D1.1, Support to national bio-security initiatives and policies including countries facing high risks of outbreaks of diseases and pests:* in support of FAO work on Biosecurity.

38. The Evaluation appreciates that the Donor wished to support the wide-ranging FAO Regular Programme and did not wish to bind its support into a straight-jacket or in a "project" format. The flexibility of this approach was in fact one key factor for the positive results of the Programme. This was not without some cost however: the long list of criteria to be emphasised and the breadth of scope and range of action foreseen in the Agreement, inevitably led to different interpretations of the thrust and scope "desired" and to initiatives very diversified and non homogeneous.

39. In addition, each Component used different implementation approaches, sometimes even within the same stream of work, to produce different outputs and achieve results at different levels. The Evaluation classified these in four different Implementation Modalities<sup>12</sup>, which show the complementary nature of most of PCA-Norway funded work to FAO's RP and EBF initiatives and the complexity of the work carried out.

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<sup>12</sup> Please refer to Annex 3

## 4 Assessment of institutional, management and operational aspects of the PCA-Norway<sup>13</sup>

### 4.1 PCA-Norway institutional structure

40. The negotiation process for the PCA-Norway in 2005 led to the establishment of an IDWG with representatives from different technical departments, appointed by respective Assistant Directors General (ADGs). The Agreement did not specify the programme management structure and only requested that a coordinator be appointed as focal point. The Programme Coordinator of the Fisheries Department is currently the IDWG Coordinator, and the Director of Forest Economics and Policy Division the Co-Coordinator.

41. The current IDWG management model and structure of the PCA-Norway was the most functional approach in the absence of a full-time coordinator/manager for the Programme. However, the creation of separate components and Trust Fund projects (see below) under the responsibility of ten different Units, the non-formal nature of the IDWG and of its Coordination as well as the absence of written statements about functions, responsibilities and lines of accountability for the IDWG and its members, was not the best system to ensure focus and coherence with the Programme criteria, to develop cross-sectoral and cross-component synergies and collaboration at FAO HQ and country level, and to monitor relevance and effectiveness of funded activities. Nevertheless, a good spirit of collaboration developed through a system of decision by consensus and no major divisions occurred. Moreover, the coordination style avoided duplication of structures and heavy bureaucratic procedures.

42. The PCA-Norway 2005-07 was at the same time a Global Normative Trust Fund Project and an “operational project”, in that it aimed clearly at supporting FAO Regular Programme while also focusing at country level. This double level and aim of intervention gave visibility to some deeply-set institutional dichotomies in FAO.

43. More specifically, the PCA-Norway provided financial resources to be managed through the EBF/project environment, to carry out work usually managed through the RPB environment. Although this proved to be an excellent added value to financial resources that were rather limited in absolute values (see below), the mainstreaming of resources into the RP implied that action at country level followed methods and approaches typical of the RP, different from more traditional EBF type of work (e.g. field projects). The PCA-Norway was managed and implemented almost completely by HQ Units<sup>14</sup> with very low level of consultations at country level with government and FAO country offices: this limited the scope of the interventions, undermining results and potential for impact and sustainability of activities carried out. This also limited the role of the PCA-Norway in being a bridge between the normative and country level role of FAO and prevented potential development of synergies with other PCA components or other projects in country, including emergency interventions.

#### Recommendation 1)

**In future PCA-Norway should test new approaches for FAO normative work, to make it more relevant and effective at country level. FAO Representations and governments should be involved in planning to ensure national relevance, encourage collaboration and develop synergies. Where possible activities should form part of the National Medium Term Priority Frameworks (NMTPF). Adequate exit strategies need to be prepared to ensure sustainability.**

44. Finally, the close mainstreaming of the PCA-Norway in FAO RP and the absence of one or more project documents for the Programme and its components also implied that the weakness of the FAO RBM system were fully mirrored in the design, implementation and monitoring of the PCA-Norway. This was further enhanced by the somewhat dispersed focus and support of the Agreement to

<sup>13</sup> Annex 3 illustrates in detail the assessment of the institutional, management and operational aspects

<sup>14</sup> Exceptions to some extent were A1.1/TCAS and B1.3/FOEL.



a wide range of FAO areas of work and affected to some extent the coherence of the activities implemented and to a large extent, the quality of reporting.

#### **4.2 PCA-Norway financial resources and management**

45. PCA-Norway 2005-07 funds were provided in three instalments. The Agreement was signed in December 2005 and the first instalment reached the Budget Holders only in May-June 2006. This led to an overall delay in the Programme implementation, without any adjustment in the deadlines agreed between FAO and Norway for delivery. The remaining two instalments were paid in 2007 and the administrative closure of the Programme was in June 2008: the overall implementation period was 22-24 months.

46. The Evaluation ascertained that all components suffered from the late disbursement of funds in 2006 and in 2007, from the pressure to deliver by the end of each year and in general, from the short time span of the Programme. Discrepancies between plans and phased budget availability were a major hindering factor in the implementation of the PCA-Norway and contributed to the difficulties of working at country level in a sustainable way.

47. The Evaluation considers that any new Agreement should ensure that overall contribution, funds disbursement, scope of action and time-horizon of implementation should be better coordinated to allow for sustainability and for smooth progress of activities according to plans.

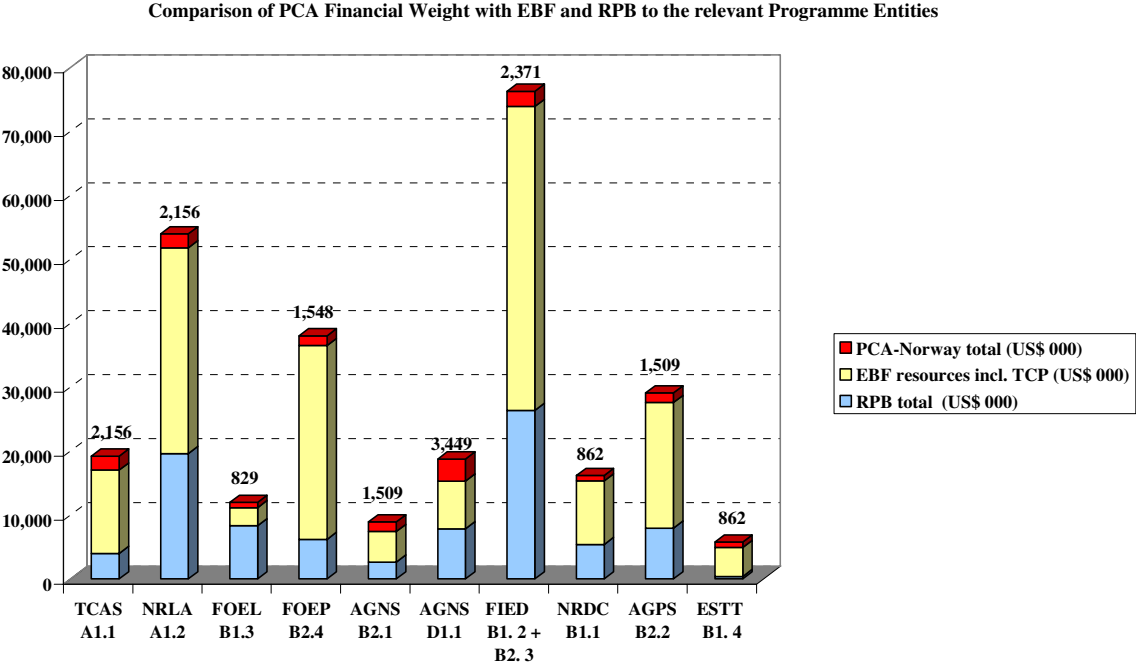
48. Although the financial allocation of the PCA-Norway was on average only 20% of the RPB and less than 10% of the EBF<sup>15</sup>, the Evaluation found that the modality of the support and its emphasis contributed to improve FAO's work in the selected areas, including poverty alleviation and that overall, the Programme was cost-effective. Figure 1 shows the total value of funds allocated to each Component through the Regular Programme Budget, other EBF and the PCA-Norway contribution to the Programme Entities in the Programme of Work and Budget (PWB) 2006-07<sup>16</sup>. The contribution to Fisheries is somewhat skewed in comparison to others because Components B1.2 and B2.3 are summed together as they both contributed to the same pot (FishCode) and activities could not be separated.

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15 Please refer to Annexes 1 and 2 for the detailed analysis of the financial weight of the PCA-Norway in relation to FAO RPB and EBF in the same areas of work.

16 Ibidem

**Figure 1. Financial contribution of the PCA Norway compared to Regular Programme Budget and EBF resources allocated to the Programme Entities supported by each Component, in the biennium 2006-07**



Source: PBEE’s elaboration, with data from Field Programme Management Information System (FPMIS) and Objective Conveners

49. PCA-Norway financial resources were distributed by opening a series of separate independent projects, with a Trust Fund project code each. The Budget Holder (BH) responsibility for each project was given to those IDWG members, called Objective Conveners (OC), who became fully responsible in terms of ownership and financial accountability for his/her Component. In some cases, the responsibility for project implementation was maintained separate from the BH role. This set-up reduced the scope for more effective coordination and coherence across Components, as mentioned above.

50. The choice of using Field Disbursement Requests (FDRs) and Field Budget Authorizations (FBAs) as financial authorization tools for the field activities of the PCA-Norway, although regular tools of the Organization, deprived the recipient FAO Representation (FAOR) of receiving their share of Administrative and Operational Support (AOS), created additional and unpaid work for country offices and limited their support and collaboration. This was, and is, contrary to the corporate policy to grant compensation of work where this is actually carried out. Moreover these tools, when used to provide funds for activities beyond one single event, do not allow proper financial monitoring.

**Recommendation 2)**

**Field Disbursement Requests (FDRs) or Field Budget Authorizations (FBAs) should be used only in the case of one-off isolated activity, or for minimal materiality. In countries where more complex initiatives are planned, a country-level Baby Project should be opened, through which the FAOR will receive and manage all PCA-Norway funds for that country, on the basis of detailed six-month or yearly plans of action.**

51. The management and operation of PCA-Norway incurred the same obstacles that any programme/project manager faces daily in FAO. Project management requires support in project operation technology: this is hardly available in FAO HQ, where assistance is fragmented and limited to very specific areas. The dismantling over time of the administrative support structures removed the cluster of technology and experience (Operation, Budget, Human Resources, Finance, and Reporting) required for operating in a programme or project environment. Incidentally, these aspects were also raised by the Independent External Evaluation of FAO (IEE)<sup>17</sup>.

52. As an interim solution to the problem, virtually all BHs/OCs adopted informal counter-measures by delegating budget/admin/operation/finance tasks to selected, but not adequately trained support staff<sup>18</sup>. Inevitably, the quality of the work produced under these informal arrangements was uneven, as confirmed by the different financial reports drawn by the Evaluation on the financial status of the PCA-Norway Components. The Evaluation considers that the PCA-Norway provides a good example of the training needs of FAO staff in these areas, in particular if the modality of work through programme agreements will be further expanded in future.

#### **4.3 PCA-Norway contribution to FAO Strategic Framework**

53. As mentioned earlier, the PCA-Norway wanted to emphasize four of the 12 FAO' Corporate Strategies. These met the priorities of the Norwegian Government, as much as the thematic areas that were chosen for direct support during the negotiation process between the parties. The assumption was that the two levels of priorities would match.

54. The Evaluation ascertained that from the point of view of contents, the thematic areas selected and funded with PCA-Norway funds do contribute to the four Strategic Objectives (SOs). However, the Evaluability Assessment of the PCA-Norway showed that by analysing the formal links in FAO's Programme of Work and Budget and Medium Term Plan between areas of work and Corporate Strategies, the Programme Entities supported by the Agreement contributed to different Strategic Objectives from those selected by Norway<sup>19</sup>. This finding was not fully surprising, given the different level of objectives and concepts addressed by SOs and by Programme Entities in FAO's RBM system.

55. In response to the IEE of FAO<sup>20</sup>, the Organization is currently revising its strategic framework and the RBM structure. It appears that there will be a very limited number of Global Goals of Member Nations at the apex, Strategic Objectives at the second level and Organizational Results at the third level<sup>21</sup>. The RBM may still change before final approval later in 2008. *The Evaluation suggests that the hierarchical level selected as an entry-point for the future PCA-Norway should be the one that will allow within the preferred time-span, the identification of common objectives with partners, better accountability and reporting using the Regular Programme outcomes and indicators, and most importantly, the flexibility that characterises the Programme and enables it to respond to emerging issues and country requests.*

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17 IEE Report, page 956 and Recommendation 8 b) page 1356.

18 See Appendix 2 of Annex 3 for a list of problems encountered and suggestions for solutions.

19 Annex 2, Methodology

20 See Recommendation 7.2, IEE Report, paragraph 1202.

21 Source: Ensuring integration of sectoral and cross-cutting strategic objectives, CoC-IEE Working Group I, 28/29 July 2008.

## 5 Effectiveness of the PCA-Norway

56. The PCA-Norway activities were assessed based on the main objectives of the Agreement and the criteria listed. As stated above, the criteria were neither clearly specified nor prioritised. The Evaluation decided to determine their priority based on a review of the minutes of IDWG and convenor meetings with the donor and from discussion with the Norwegian representatives. The assessment reflected a strong emphasis on: contribution to poverty alleviation; change to FAO working culture through more cross-departmental collaboration, encouraging a greater country focus and providing resources for innovative work on emerging issues; inter-disciplinarity and sustainability.

57. The Evaluation considers that the criteria need to be prioritised and clarified in discussions with the donor for future phases. There should also be a system for the selection of activities to be supported, based on the criteria, with a monitoring system that ensures that outcomes conform.

58. A particular problem was posed by the fact that part of the funds from the PCA-Norway were directed to supporting multilateral trust funds within FAO, namely FishCode and the National Forest Programme Facility (NFPF). Staff involved in their implementation stressed the importance of the PCA-Norway contribution, and it is true that the objectives of the NFPF appear to be closely aligned with poverty alleviation. Nevertheless the Evaluation found it rather difficult to assess the actual contribution and results achieved with PCA-Norway funds, given the breadth of scope and the complexities involved in the management of these multilateral funds in their own right. For example, FishCode management unit had to devote quite some time to produce a complete list of activities funded by PCA-Norway.

59. The evaluation of the multilateral trust funds themselves was beyond the scope of this exercise<sup>22</sup> but some of the activities were assessed in relation to the PCA-Norway criteria and are included in the relevant Annexes. In the light of this analysis, the Evaluation considers that the Programme acted for these multilateral trust funds like a P.O. Box, rather than like a programme with criteria and objectives of its own. Additional arguments against the transfer of funds from one Trust Fund to another relate to a certain lack of transparency entailed in this process and to the fact that within the PCA-Norway, such a procedure facilitated delivery of the components concerned and created tension with “slower” components that had to set-up implementing mechanisms almost from a zero level of organization.

60. The Evaluation team recommends that if this procedure is to be maintained, future agreements should specify that PCA-Norway acts as a mechanism to transfer financial resources to specified multilateral funds and facilities; also, clear guidelines should be given on how the relationship should be handled, on the requirements to conform to PCA-Norway criteria and on the oversight role required by the PCA-Norway itself. The Evaluation considers that it would be preferable for the multilateral trust funds to be funded directly by the donor, while the PCA funds should rather be used to complement their activities, directing attention to Least Developed Countries (LDCs), poverty alleviation and other priority criteria.

### Recommendation 3)

**It is essential to clearly define and prioritise the objectives and the criteria for selecting activities and countries for future PCA-Norway support. The nature and extent of the contribution to multilateral and global trust funds and facilities through the Programme also need to be specifically defined.**

<sup>22</sup> Incidentally, both FishCode and NFPF will be subject to mandatory independent evaluation before their closure due to their budget size, according to FAO evaluation policy.

### 5.1.1 *Poverty Alleviation*

61. A key concern of the donor was to create more opportunities for FAO to provide support to poorer member countries and marginalised communities. The Evaluation found that the interpretation of whether an activity contributes to poverty alleviation was unclear across Objective Conveners: almost all asserted there was some link to poverty alleviation in their activities, but the claims were not fully within the meaning of “focus on poverty alleviation”, as stated in the Agreement.

62. The Evaluation interpreted the Agreement as referring to work at country level with communities, leading to livelihoods’ improvement. Examples of this were visible in the cases of capacity building in artisanal fisheries in Lake Victoria (A1.2/FIEP), in forest micro-enterprises (B2.4/FOEP), in food safety and the safe use of pesticides in Burkina Faso (B2.1/AGNS) among others.

63. A good part of the work funded by the Programme addressed important issues addressing poverty alleviation by means of both normative outputs in HQ and at country level, which require a longer time-span before being effective. Examples were work on tenure (A1.2/NRLA) and the policy work in countries under A1.1/TCAS ranging from fisheries in Nicaragua to HIV/AIDS in Malawi, food security in Nepal, and risk management.

64. Other Components contributed to poverty alleviation only indirectly but were important to the poor worldwide in that they brought to the fore issues that promoted their concerns and their rights; for example strengthening agro-biodiversity in the Convention on Biodiversity or through the promotion of Right to Food in national legislations.

65. Finally, in other Components the outcomes were of less concern to the poor as they relate to the sustainability and management of resources to which poor people have little access and to trade and conservation related issues of commodities by which the poor are currently unaffected. Examples were a number of forestry, fisheries, food safety and quality and biosecurity related guidelines and manuals. However these activities could be justified on the basis that they are essential to environmental sustainability, affecting the poor in the long term.

66. Therefore, although there was a concerted effort in some components to direct attention to supporting activities that had close links with poverty alleviation, the Evaluation sees the need for better and clearer definition of what is meant by “focus on poverty alleviation” in future agreements. This relates to Recommendation 3 above.

67. What may be more appropriate than requiring all activities to contribute directly to poverty alleviation would be that PCA-Norway support at country level be mostly directed to Least Developing Countries when: piloting normative work; building capacity and assisting with development and implementation of policies and legislative frameworks that take into account marginalised groups; contributing to LDCs playing a more effective role and meeting their obligations in international fora. In this way the work that is carried out may be more relevant for larger numbers of poor people.

### 5.1.2 *Interdisciplinary and cross-sectoral/inter-departmental work*

68. The Evaluation considers that it is important to differentiate between these two terms. Inter-disciplinarity refers to approaching an issue or project from the perspective of a range of disciplines including the social sciences. Inter-departmental and cross-sectoral refers to work that involves working with people from different divisions, departments, ministries, sectors (public, private; agriculture, commerce etc) who may or may not be from different disciplines. Both interdisciplinary and cross- sectoral work is important when addressing the situation of the poor. A more system-focussed approach is required which is inter-disciplinary and has better cooperation across departments in order to design and implement effective intervention strategies to alleviate poverty in a more holistic way; working on issues and approaches which consider the broad impacts of policies and interventions.

69. PCA-Norway resources have allowed “oiling” the wheels of inter-departmental mechanisms similar to the Priority Areas for Interdisciplinary Action (PAIA): Component D1.1 worked through the

PAIA for Biosecurity; Components A1.2 and B2.1 set up informal PAIAs on resource tenure and food safety respectively. This seems to be good evidence that inter-departmental and cross-sectoral work in FAO can exist, as long as there are resources available and specific support for it, as did the PCA-Norway.

70. The Evaluation considers that the PCA-Norway has actively encouraged more interdisciplinary and cross-sectoral work and has made good use of funds for work across departments. It has also exposed people formally and informally through the teams and the IDWG to the opportunities created by working together. It has broadened the base of interaction in the Organisation and so contributed to enhancing social capital. However, as can be seen below in the analysis of each Component, some have been more effective than others at reaching out. Components have also been differently effective at encouraging inter-disciplinarity and cross-sectoral work at country and regional levels. Examples of the latter can be seen where TCAS established inter-sectoral working groups in Burkina Faso and Nepal, Food Safety worked with ESWD in Burkina Faso and Forestry worked across Ministries and with Non Governmental organisations (NGOs) in Burkina Faso and brought civil society stakeholders into the Regional Commissions.

71. The Evaluation considers that significantly more needs to be done: a more concerted attempt is required to bring together the lessons learned about inter-disciplinary and cross-sectoral work in this phase and share them more widely; and to design activities that actually involve teams and “force” close collaboration across departments and disciplines. *It is suggested that in future PCA-Norway should place more emphasis on encouraging interdisciplinary work and ensuring inter-departmental and cross-sectoral cooperation.*

### 5.1.3 Capacity Building

72. Most of the PCA-Norway activities at country level, and some of those at regional level, have been closely linked to building capacity. Even where the activities were not specifically designed or aimed at building capacity, country work tended to entail some training element. In some cases, when working at country level more active engagement and more backstopping by FAO staff would provide an effective means to build capacity among the consultants, NGOs and government agencies implementing activities. While workshops were also used as a form of capacity building, for this to be really effective there needs to be active continuing communications or follow-up and mechanisms have to be found to keep participants continually engaged in the process.

73. The Evaluation felt that the PCA-Norway enabled FAO RP to engage more actively in capacity building by working at country level, in the production of guidelines and in building a knowledge base. However, the quality of the guidelines, case studies and workshop proceedings was variable both in terms of content and of contribution to capacity building. Considerably more attention needs to be given to synthesising the knowledge generated and to feeding this back into the development process, on disseminating this knowledge base and making it more easily available to countries, especially for those with poor Internet connectivity. *The Evaluation suggests that there should be more follow-up to and dissemination of documents produced at country level to ensure even greater cost-effectiveness to work done. Increased capacity building at country level requires that more effort and resources are invested in providing technical assistance and in backstopping national consultants.*

### 5.1.4 Gender and HIV/AIDS mainstreaming

74. FAO Gender in Development Unit benefited directly from Component A1.2/ESWD. The unit also reached out to other components, in particular A1.1/TCAS and D1.1/AGNS and worked with them producing some case studies and raised awareness, focused attention and allowed gendered analysis: although not very wide-reaching, this was a good result.

75. The Evaluation found the quality of “gender” outputs very mixed, from very good to rather poor. Affecting factors seem to be quality of consultants and possibly the extent of backstopping by HQ officers. The Evaluation could not assess the diffusion of the case-studies, or the outcome of these

activities in detail. Evidence available shows that in a number of countries, cultural and social constraints are so strong that progress can only be very slow.

76. Work on HIV/AIDS was carried out by a number of components: Component A1.2/ESWD brought together issues of property rights, gender and HIV/AIDS affected people, in particular widows and orphans in East and Southern Africa; Component D1.1 analysed lessons learned from HIV/AIDS surveillance in the framework of Biosecurity; Component A1.2 touched on issues of HIV/AIDS in the framework of the Regional Plan of Action for Lake Victoria; Component A1.1/TCAS integrated HIV/AIDS in the Malawi's Fisheries and Forestry strategies and Component B2.2 worked on gender and plant genetic resources in Kenya and devoted energy and efforts as well to gender in the framework of animal genetic resources and pollination. The Evaluation could not assess the results of a workshop on gender, HIV/AIDS and property rights held in FAO HQ in November 2007 for want of time.

77. Both gender and HIV/AIDS mainstreaming suffer traditionally in FAO of a status of second-class citizens. However, the importance of both issues to development cannot be over-estimated in a number of countries and the donor stressed that both had to be targeted and given due recognition. All considered, the progress achieved by the PCA-Norway is rather remarkable, although many were the areas of work funded where much more could and should have been done. The Evaluation notes that the recent revitalization of the network of divisional and service Gender Focal Points and of the FAO Gender Plan of Action, both following relevant IEE recommendations, opens up some interesting opportunity for better gender mainstreaming in the future PCA-Norway<sup>23</sup>. *The Evaluation suggests that the participation of FAO Gender Focal Points should be encouraged either as members of the Inter-Departmental Working Group and/or as members of task-forces working with the PCA-Norway funds.*

#### **Recommendation 4)**

**More PCA-Norway funds should be directed to the FAO unit responsible for gender and HIV/AIDS mainstreaming in order to better enhance both aspects in PCA-Norway components.**

#### *5.1.5 Geographical out-reach*

78. PCA-Norway has gone some way towards closing the loop between the normative programmes and FAO work at country level by supporting more country and regional activities. In particular, funds were used to generate country-based knowledge and evidence for the production of global outputs, thus contributing to the feed-back process from country to normative level. However the Evaluation feels that the PCA-Norway could have performed better in making knowledge generated by FAO more available at country level.

79. In many situations, FAO staff felt that their work required them to include non-LDC and non-Low Income countries. FAO is a member-based organisation and does have a mandate to work in, and for, all its countries. However, the donor specifically and repeatedly requested that PCA-Norway funds be directed to a few low-income countries to support work closely relevant to poverty alleviation. This was not achieved and the Evaluation considers that there was little effort made to concentrate PCA-Norway activities to only a few countries. The total number of countries that benefited from PCA-Norway funds was in the order of 70 according to information provided by the OCs. Of these, the majority (68%) were classified as Low-Income and Food Deficit country<sup>24</sup>. There seemed to be confusion about which classification should be used: the Evaluation suggests that the basis for selection and the regions of focus should be agreed with the donor. Also, the PCA-Norway could envisage referring to the Human Development Index for identification of countries, since this index takes into account a larger number of parameters beyond economic growth, that seem to meet better the Programme's criteria.

23 Out of 28 newly "re/appointed" Gender Focal Points, six had been involved in the implementation of the PCA-Norway.

24 The Low Income Food Deficit Country group is more wide-ranging than the Least Developed Country list, but more restricted than the Low Income Country group.

80. The Evaluation is well aware that it is not possible to design and implement a range of complementary and synergic activities in a country without investment in co-ordination among the implementing agents and with the country office. It is also important, if countries are to assist in setting the agenda that time is taken to consult with them to develop ownership and engagement in the process and in follow-up activities. Adequate time-span and security of funding also for coordination purposes are necessary, and the Evaluation recognises that this was not the case in the PCA-Norway 2005-07. Still, the Evaluation considers irresponsible the approach followed by some Components, to go into countries with small, short-term and unrelated activities such as case-study preparation, which raise expectations and engage people, but have no follow-up.

81. In the light of the above, and in consideration of the important work carried out by the PCA-Norway in support of the RP, it is unclear if the donor's requested country focus on a relatively few LDC countries in Africa is intended to be a radical change to the programme, or if it is a criterion that should be addressed as part of the Programme. Clarity is needed in the next agreement to determine the degree to which the Programme will be expected to focus on outreach and work at country and regional level. Specific guidelines need to be given on the countries and regions of focus. Options available to the PCA-Norway seem to be:

- a. continue as it is currently structured with stricter adherence to carrying out country work in LDCs but not to limit this to a selected number of countries;
- b. invest all its funds in taking the work of the components to a select number of LDC countries;
- c. take a middle road with part of the funds apportioned to normative work in HQ and at regional level and the other portion directed towards working in a coherent manner in a few selected countries.

82. The Evaluation supports the middle road solution (option c.), as it would allow experimentation with bringing together components and developing a coherent focus of support that builds synergies, while at the same time leaving the flexibility for the normative work to continue to explore new avenues, respond to ad hoc requests and to support the Regular Programme for all Member States. This "middle road" would also make it easier for other donors which may have a more clearly defined thematic and country focus to join the PCA-Norway fund.

83. The caveat of both options "b." and "c." is that it will be essential to ensure that:

- there is a longer-term commitment to the programme: at least five years, although the actual level of funding committed could be determined every two-three years as appropriate for the donor; and
- resources be allocated to cover the transaction costs involved in establishing co-ordinated work by components in a selected number of LDCs.

84. The Evaluation is also aware and stresses that it will take time to find countries which have an interest in a fair proportion of the various components supported under PCA-Norway and to select and establish the relevant programme activities. It is likely that a minimum of three components would be required to create the critical mass of funds and of activities to develop productive synergies at country level.

#### **Recommendation 5)**

**In future PCA-Norway should choose the "middle road" option and support FAO through both normative work at global level and work in a limited number of countries selected according to clearly established criteria. The two levels of work should be as complementary as possible, but a certain degree of flexibility will also have to be maintained for the normative work.**



### 5.1.6 *Partnerships and co-ordination of activities with other bilateral and multilateral agencies*

85. Evidence gathered by the Evaluation across all Components showed a satisfactory degree of partnering and collaboration with other agencies although, as was to be expected, performance was rather uneven. Most components made an effort to enter into closer cooperation with other partners (local NGOs, other UN agencies, donors, etc). An example of positive cooperation with donors was in Laos (D1.1/AGNS) while the case of Kenya (B2.1/AGNS) was an example of the lack of cooperation between UN agencies. Forestry made good efforts at working more closely with civil society in the Regional Commissions and in developing global partnership (Forest Fires) and Fisheries in collaborating with NGOs on aquaculture certification. There was some collaboration with other UN Agencies, including work with UN Habitat on land tenure (A1.2), with eight UN agencies through the Collaborative Partnership on Forests (CPF), with WFP on vulnerability assessment (A1.1 Food Security), and also in the PCA-funded Crisis Management Centre which has close links with the tripartite FAO/WHO/OIE<sup>25</sup> Global Early Warning System (D1.1/AGNS).

86. A number of activities have been effective in leveraging additional support including in Tanzania (D1.1 Biosecurity) where PCA-Norway activity has resulted in collaboration with the Delivery as One initiative on national disaster preparedness and with the Legal Commission for the Empowerment of the Poor which has resulted in significant commitments by UNDP, the World Bank and others (A1.2 Land Tenure) and in Burkina Faso with the European Commission (EC) on policy training (A1.1/TCAS), Forest micro-enterprises activities generated additional projects in Burkina Faso (UNDP, TREEAID/EC/DFID).

87. Collaboration with multilateral trust funds such as FishCode and NFPF was already discussed. It is worth noting the collaboration developed in some countries between the PCA-Norway and the FAO-Netherlands Partnership Programme (FNPP), in particular through A1.1/TCAS in Nicaragua on small-scale fisheries policy, through B2.2/AGPS in Kenya on gender and agricultural bio-diversity and through B1.4 in Mozambique on Right to Food.

88. The two programmes have used a different approach. FNPP provided resources to enable FAO to more effectively address issues relevant to developing countries and channelled these specifically to food security, agro-biodiversity and forestry; the programme focussed in a few selected countries and there was increasing emphasis on creating synergies between the three components in the countries and regions where they worked. PCA-Norway has been a broader support programme with more flexibility for FAO to respond to *ad hoc* and emerging issues. The experience from both programmes has assisted FAO in its reform process and they have directly contributed to a more interdisciplinary and cross-departmental approach to development and to greater accountability. They have also both contributed to providing support to poorer countries and to issues of poverty alleviation and sustainability. Both programmes are valid and relevant and can be used in a complementary way to further enhance the reform and support the recommendations of the IEE.

89. One of the reasons why more effective collaboration has not occurred at country level in PCA-Norway is that many Components carried out work in countries by remote control, with little consultation with the FAO country office. The FAOR in most countries has established links with multilateral agencies and the government although they tend to lack the resources to follow up on local partnership opportunities and active engagement. PCA-Norway implementers should keep this in mind and provide resources through AOS to leverage this knowledge and opportunity.

90. The Evaluation is aware that FAO in general has little proclivity for engaging in partnerships and there is yet no strategic approach to establishing and developing partnership, especially involving other UN agencies. Work is being done at corporate level as a follow-up to the IEE however there seems to be scope for improvement even in the absence of such an organizational strategy. The future PCA-Norway could break ground on this aspect as well, also in view of the focus on inter-disciplinarity and cross-sectoral work. *It is suggested that more emphasis be placed on partnerships and alliances in all components, to widen the scope and leverage of the Programme and to avoid duplication.*

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25 WHO: World Health Organization; OIE: World Organization for Animal Health

## 6 Assessment of PCA-Norway Components

### 6.1 *Component A1.1 - Inclusion of food security objectives, policies, programmes and monitoring mechanisms in PRSPs and other policy initiatives at country level*<sup>26</sup>

91. This component has effectively achieved most of its objectives and almost all its activities have adhered well to the criteria established by the PCA Norway. It responded to expressed needs by governments for their country work and where there were emerging issues, e.g. risk management. It also sensitised and mobilised support at country level for its inclusion in on-going policy work. As mentioned, the work in Nicaragua was an example of innovation and close co-ordination with FNPP Food Security Component to incorporate artisanal fisheries into national policy. Work in Nepal met a national request for support to a changing policy environment and in Burkina Faso to capacity building in advanced analytic techniques. The experiences highlighted the importance of investing in supporting national consultants, government agencies and NGOs to ensure that they receive strong technical backstopping and that the opportunity is taken to build capacity by working closely with them in producing relevant and innovative responses.

92. The Evaluation team felt that it is important to continue the work in Burkina Faso and Nepal: which raised expectations and encouraged a new approach to working which needs time to be institutionalised. Also, where appropriate, it is suggested to engage other partners to continue with the work (e.g. pursue the use of the thematic group established on vulnerability assessment and others in Nepal with WFP; in Burkina Faso for ex ante policy impact assessment and macroeconomic analysis involving the Ministry of Agriculture and the World Bank). This raised the important issue that if PCA-Norway is to engage in country-level activities, these need longer time-span for implementation and have to be designed with exit strategies.

93. There has been good outreach across departments within FAO and work at country level has strongly encouraged cross-sectoral and interdisciplinary approaches (see Figure 2 below). The thematic working groups established in Burkina Faso and Nepal were considered most useful by participants not only for achieving their objectives but for the social capital they have helped to build by creating links across ministries and between government and the private sector. The country emphasis and countries selected have been relevant and were in accordance with PCA Norway criteria. FAO staff involved stated that they took a medium-term perspective when establishing these activities, despite the short funding commitment.

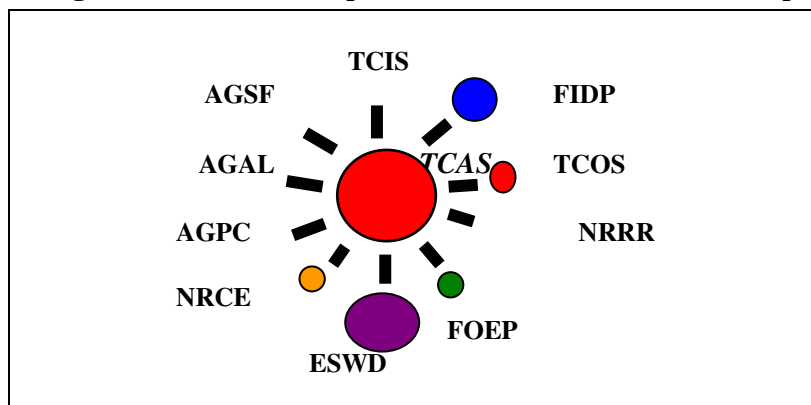
#### **Recommendation 6)**

**Effective cross-sectoral policy development and analysis needs to be extended and future emphasis in policy work should be on holistic policy frameworks able to reflect production, employment, livelihoods, natural resources, income distribution and climate change issues.**

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<sup>26</sup> Annex 4 illustrates in detail the assessment of Component A1.1

**Figure 2. Cross-departmental/divisional links of Component A1.1**



The figure indicates cross-departmental/divisional work. The Objective Convener is in italic. The size of circles is related to the number of staff actively participating. The absence of circles shows the only temporary involvement of a Service. TCIS, TCOS, AGPS, AGSF and NRRR were involved in the briefing of the International Consultant for activities in Mozambique and participated to the reviewing of the draft version of the intensification component. AGAL participated to activities mentioned above and to one backstopping mission. TCAR was involved in the project identification and initial discussion with the Government of Mozambique

## **6.2 *Component A1.2 - Sustainable rural livelihoods and more equitable access to resources: Support to member countries and the High Level Commission for the Empowerment of the Poor***<sup>27</sup>

94. Work carried out under PCA-Norway has helped to build a considerable body of knowledge on tenure issues for a range of resources and for different communities with a strong emphasis on marginalised groups including women, orphans and pastoralists. There have also been some efforts to share this knowledge at workshops but there has, as yet, been little work directly supporting and building capacity to mainstream tenure into national policies. One workshop in Nakuru, Kenya did provide information that was used when developing the National Land Policy, but by happenstance rather than through deliberate support.

95. The forestry sub-component has concentrated on documenting tenure regimes which made a good contribution to raising the profile of this issue. It reached out globally but it would be interesting for it to focus more on country level work in selected LDCs to see how property rights can be strengthened, applied and tested to assist with sustainable forest management and improve livelihoods. It is suggested that in future, the Component should use PCA-Norway funds to work more in selected LDCs, while meeting the needs of other Member Countries through different funding sources.

96. Capacity building in Lake Victoria aimed at empowering communities through taking ownership and control over the sustainable management of their resources in Beach Management Units. This was the only example by this Component of direct work with communities in a country. The Evaluation could not assess it directly, but evidence provided by interlocutors in the capital was very positive.

97. PCA-Norway also supported FAO's contribution to the Commission on the Legal Empowerment of the poor which raised its profile and built a network of potential partners for work going forward. There is considerable potential for future work at community level, on the example of the Fisheries sub-component, arising out of the preliminary contacts made in assembling the case studies.

98. Tenure security is essential to empowerment and to environmental sustainability and use rights issues are currently under review in many African countries: next PCA-Norway could work

<sup>27</sup> Annex 5 illustrates in detail the assessment of Component A1.2

more with countries to establish more secure property rights regimes, especially for marginalised groups and environmentally fragile resources. Although Component A1.2 managed to work with a number of different departments and divisions at HQ level, it will need to harness its efforts and work more cohesively and coherently to provide the countries directly with technical assistance on tenure and inheritance rights on agricultural land, rangelands, forestry and fisheries resources, with special recognition to orphans, women and other vulnerable groups. The case studies generated in 2005-2007 to inform this support will be key inputs for this work. It is important to leverage synergies and to build on the body of knowledge being created by working more closely together. Developing the global Voluntary Guidelines with a number of partners will contribute to engaging countries in ensuring secure property rights for resource users, but work is also required at country level.

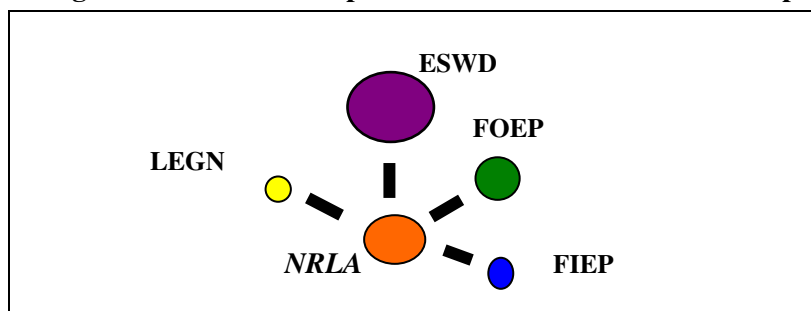
**Recommendation 7)**

**PCA-Norway should continue to fund work on resource tenure, which should be directed at informing national policy agenda, assisting countries wanting to change their legislation and work with communities to assess the effectiveness of different property rights regimes.**

**Recommendation 8)**

**All PCA-Norway work at country level, with communities and with government, should ensure that information gathered for global knowledge advancement is not extractive and provides some added value to those involved.**

**Figure 3. Cross-departmental/divisional links of Component A1.2**



The Figure indicates cross-departmental/divisional work. The Objective Convener is in *italic*. The size of circles is related to the number of staff actively participating.

**6.3 *Component B1.2 - Development and implementation of international instruments related to Fisheries; and Component B2.3 Implementation of the Code of Conduct for Responsible Fisheries and associated instruments at the national level***<sup>28</sup>

99. These Components were evaluated through an “in-between assessment”, due to the specific request by the donor to analyse them in spite of their low relevance to the criteria set for the selection of areas for in-depth assessment.

100. The PCA-Norway supported normative and global work through the multilateral programme FishCode, in particular for the development of guidelines, manuals and publications. These have set up the framework to facilitate implementation of national policies and legal instruments in the future. Focus at country level was limited. The nature of this normative work and the allocation of funds meant that the overall contribution to poverty alleviation was indirect and inadequate, except for work carried out in West Africa. On the other hand, relevance to ecological aspects and to countries’ needs

<sup>28</sup> Annex 6 illustrates in detail the assessment of Components B1.2 and B2.3

was satisfactory throughout. None of the activities contributed to HIV/AIDS and only one took account of gender specifically.

101. Capacity building was better mainstreamed and was included across many activities. In particular, the umbrella support to NGOs aimed at improving capacity at national and regional level on a number of activities but the budget allocated limited this to only three NGOs. Some of the activities were based on strategic cooperation with other international organisations (such as WTO<sup>29</sup> for responsible fish trade) or developed in cooperation with other relevant partners (such as NACA<sup>30</sup> for aquaculture).

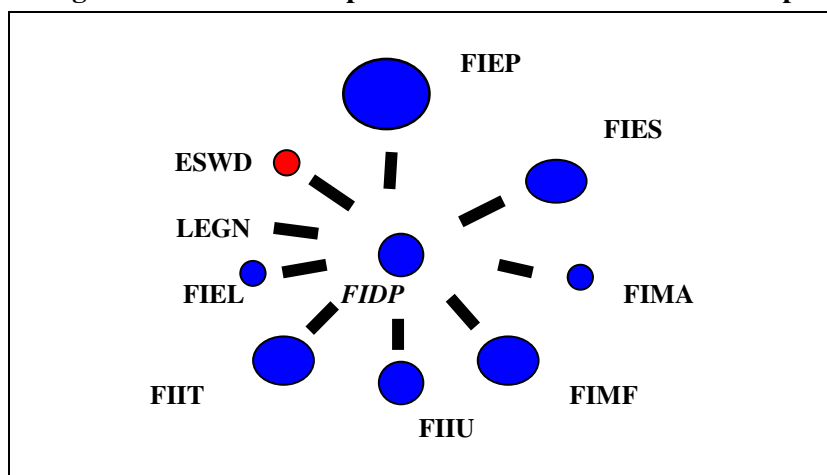
102. There was very limited work across departments although all Divisions within the Fisheries Department were involved (see Figure 4 below). There is evidence through the work done by some Fisheries Department staff with other PCA-Norway components that it is possible and relevant for the Fisheries Department to reach out to other departments.

103. Information gathered by the Evaluation on the process of fund allocation by the FishCode Advisory Group seems to indicate that the current process prevents a more coherent and consistent use of funds based on PCA-Norway criteria. In other words, the PCA-Norway acted only as a P.O. Box for transferring funds to FishCode. This is confirmed by analysis of the list of activities reported as funded by PCA-Norway<sup>31</sup>. There are discrepancies between FishCode allocation of PCA-Norway funds and the Agreement's criteria, in particular in relation to poverty alleviation, inter-disciplinary and cross-sectoral work, gender mainstreaming and focus on LDCs.

**Recommendation 9)**

**In the fisheries sector PCA-Norway should give priority to strengthening the link between normative and operational activities, including support to the design and improvement of national legal, institutional and regulatory frameworks. This should be both directly at country level and/or through Regional Fisheries Bodies in a way that is compatible with the Programme's criteria using a more inter-disciplinary and inter-departmental approach.**

**Figure 4. Cross-departmental/divisional links of Components B1.2 and B2.3**



The Figure indicates cross-departmental/divisional work. The Objective Convener is in italic. The size of circles is related to the number of staff actively participating. The absence of circles shows the only temporary involvement of a Service. LEGN participated (one staff) in the Advisory Group, but no legal activities were funded.

29 WTO: World Trade Organization

30 NACA: Network of Aquaculture Centres in Asia

31 See Appendix 1 to Annex 6

#### **6.4 Component B1.3 - Development and implementation of the International Arrangement on Forests and Component B2.4, Support to member countries in their efforts to achieve sustainable forest management<sup>32</sup>**

104. Support provided through the PCA-Norway contributed significantly to the outreach of the normative work of the Forestry Department. Interesting work has been done, covering many different forestry topics, some new, some more traditional, and it has also strengthened work on forestry issues at global and regional level. Support to both Regional Forestry Commissions and the CPF structures contributed to raising country awareness on emerging global forestry issues such as the implications of climate change, forest fires and invasive species and have increased awareness of the need for political commitment to sustainable forest management. Furthermore, this work has contributed to a more active participation of civil society and other sectors in Regional Forestry Commissions, enhancing inter-disciplinarity and multi-stakeholder participation. The work has been widespread over many countries and needs to be more focussed on support to poorer countries to adhere to PCA-Norway criteria.

105. Component B2.4 has been instrumental in developing FAO's activities on small and medium forest enterprises and Non Timber Forest Products (NTFP) and has therefore contributed to poverty alleviation and gender mainstreaming, both PCA-Norway criteria. Other activities implemented through Component B2.4 were very wide ranging: focus was on sustainable forest management and support to national forestry resources monitoring and assessment, and covered a number of cross-cutting issues including Reducing Emissions from Deforestation and Forest Degradation (REDD), climate change, etc.

106. As highlighted in Figures 5 and 6 below, there was little outreach to other departments and little to other divisions within Forestry. In addition opportunities were lost to integrate findings from forestry work done in other components (e.g. A1.2/NRLA-FOEP).

107. The Evaluation considers that one aspect of forest management highly relevant to PCA-Norway criteria is tenure security: this is widely recognised as fundamental to ensuring sustainable use of natural resources and is a founding block for sustainable forest management and poverty alleviation. Participatory forestry has been identified by countries in a number of fora as a key priority, and FAO Committee on Forestry (COFO) has also indicated its support for more participatory forestry at country level. Much of the normative work funded through the PCA-Norway clearly identified the importance of secure access rights and participatory forestry. Nevertheless, with the exception of the micro-enterprise activities and some NFPF activities, this recognition was rarely prioritised in the strategies, action plans, workshops and activities. This may result in part from the concentration on international agenda and a focus on the more technical aspects where FAO has strong capacity to take the lead. Furthermore, building capacity in participatory forestry within FAO is important to ensure effective mainstreaming of issues relevant to the poor in policies and interventions aimed at forest management and conservation.

108. The Evaluation suggests that providing more resources and building capacity for forest tenure and participatory forestry would strengthen this important aspect of FAO Forestry work in line with the main PCA-Norway criteria: it could help to mainstream forest tenure and participatory forest management into other PCA-Norway funded forestry activities and would improve the impact and coherence of the overall forestry component of the Programme.

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<sup>32</sup> Annex 7 illustrates in detail the assessment of Components B1.3 and B2.4

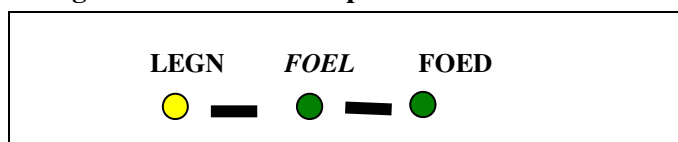
**Recommendation 10)**

**In the forestry sector the allocation of PCA-Norway resources to international and regional agreements, instruments and bodies should be directed to providing support to Least Developed Countries giving them voice in the debate and in setting the agenda; to develop their capacity to benefit from, and adhere to, international norms and to provide support for inter-sessional and follow-up work. More practical country level support mechanisms need to be developed.**

**Recommendation 11)**

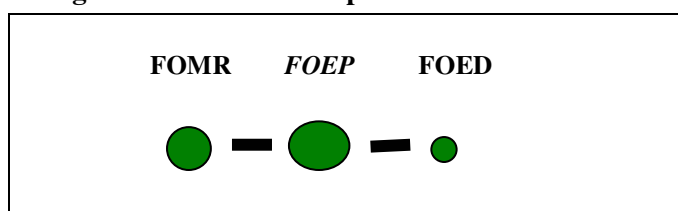
**In line with the main PCA-Norway criteria relating to poverty alleviation and climate change, Programme funds in support of forestry should be directed more at mainstreaming forest tenure and participatory forestry issues in the work of FAO Forestry Department and other PCA-Norway Components.**

**Figure 5. Cross-departmental/divisional links of Component B1.3**



The Figure indicates cross-departmental/divisional work. The Objective Convener is in italic. The size of circles is related to the number of staff actively participating. The absence of circles shows the only temporary involvement of a Service. In addition to staff above, also six staff from FAO Regional and Sub-regional Offices participated.

**Figure 6. Cross-departmental/divisional links of Component B2.4**



The Figure indicates cross-departmental/divisional work. The Objective Convener is in italic. The size of circles is related to the number of staff actively participating.

**6.5 Component B2.1 - Improved Food Safety and Quality at National Level<sup>33</sup>**

109. The outputs produced under Objective B2.1 were notable for their relevance to countries' needs and policies, for their interdisciplinarity, innovativeness, and for the involvement of multiple units at FAO Headquarters. Some of these, especially in the food chain approach to Sustainable Agriculture and Rural Development (SARD), Good Agricultural Practices (GAP), food quality and safety, are likely to be sustainable in the medium to long term. In this, the PCA has been a catalytic force for the development of synergies and cross-division and cross-department cooperation. There has been an overall strengthening of the relationship between normative activities at HQ and the country programmes, although the greater impact was probably at HQ staff and programme level.

110. In general the quality of the normative technical documents developed under the PCA-Norway was high, but a number of technical reports and guidelines prepared under contract by national consultants or institutions that have been presented without further review give rise to concern as to their acceptance and usefulness. Also, although in general it is difficult to assess the outcome and impact of workshops, those held under the Programme were generally well received, with one only

<sup>33</sup> Annex 8 illustrates in detail the assessment of Component B2.1

exception. There is good evidence of follow-up in some countries, through the integration of elements of the FAO workshops in national exercises, training courses, etc.

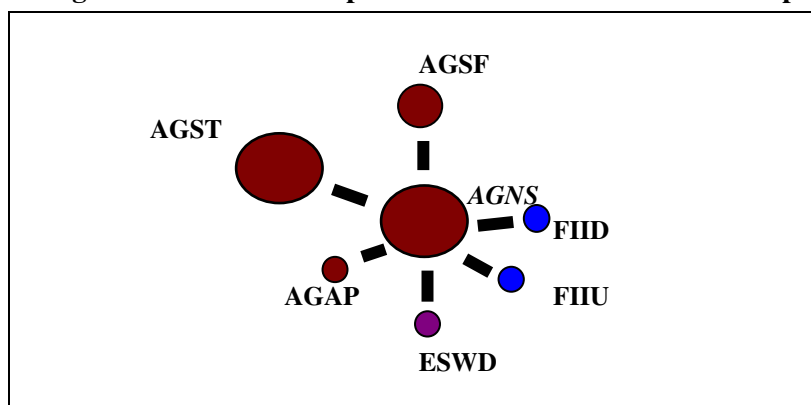
111. The Component has reached out to other divisions and departments and it needs to be encouraged to continue to do so (see Figure 7 below). There have been limited attempts to enter into closer cooperation with other partners (local NGOs, some other UN agencies, donors, etc) but a more strategic approach to engaging with partnerships needs to be developed.

112. Finally, the assessment of the different Component's outputs against other criteria set by the PCA-Norway shows that overall the contribution to poverty alleviation and relevance to the environment was rather poor, with the exception of direct work with farmers in Burkina Faso. To some degree, this was inherent in the subject matter: food safety measures and standards reduce the social and economic costs associated with food-borne illnesses, thus their contribution to poverty alleviation exists but indirectly and usually in the medium to long term after the initiative.

**Recommendation 12)**

**PCA-Norway funded country-level activities in the field of food safety should be directed primarily to the development of food chain approaches involving Sustainable Agriculture and Rural Development, Good Agricultural Practices, food safety and quality. To the extent possible, these activities should be used to develop and ensure positive cooperation with relevant UN Agencies in particular WHO, UNCTAD/ITC, UNIDO and ILO, as well as to leveraging longer-term programmes.**

**Figure 7. Cross-departmental/divisional links of Component B2.1**



The Figure indicates cross-departmental/divisional work. The Objective Convener is in italic. The size of circles is related to the number of staff actively participating. The absence of circles shows the only temporary involvement of a Service.

**6.6 Component D1.1 - Support to national bio-security initiatives and policies including countries facing high risks of outbreaks of pests and diseases<sup>34</sup>**

113. Although described as “interdisciplinary” in the Approach Paper for the Evaluation, the programme of activities under D1.1 tended to be a collection of separate discipline-specific activities under a single umbrella. Nevertheless, there was some attempt at interdisciplinary work similar to that of the integration of SARD, GAP, food safety and quality described under Objective B2.1. The work on the socioeconomic and gender consequences of the avian influenza outbreak in Cambodia and Vietnam is one example; the work on district Biosecurity along the Tanzania/Uganda border, bringing together animal and plant health issues, human health (HIV/AIDS), gender and social issues, is another. Studies of policy responses to market collapse are a third example, but not a great deal was done in this area and perhaps the better approach would be policy preparedness which is addressed in

34 Annex 9 illustrates in detail the assessment of Component D1.1



much of the Biosecurity work as an underlying theme. If not always “interdisciplinary”, the programme was certainly “cross-disciplinary” with inputs from at least 7 FAO Divisions in 4 different Departments (see Figure 8 below). The cross-disciplinary network that had been created by the PAIA was maintained and strengthened by PCA-Norway Component D1.1.

114. The Component received the highest portion of funding within the PCA-Norway, which created a strong pressure for delivery over a relatively short time-frame. This factor, together with the complexities linked to the implementation of this articulate and cross-disciplinary work may have contributed to the dispersion across such a very broad range of activities, in order to meet delivery targets. An example could be the responses to the Highly Pathogenic Avian Influenza (HPAI) emergency in Asia: here it was shown how social issues can be integrated with classical scientific issues and the methodology used demonstrated innovation and the willingness to experiment with different techniques. However, the quality of these outputs, as was the case for some in B2.1, is debatable: much more technical backstopping from HQ or the Regional offices would have been necessary to make these products fully usable and effective.

115. This having been said, much of the work undertaken as part of Objective D1.1 was of high quality and in some cases highly innovative (India, Tanzania/Uganda). Flexibility in the use of PCA-Norway funds as compared to the Regular Budget proved to be critical in the case of the rapid response to the emerging issues. The response to aquatic disease in Southern Africa demonstrates the ability of the PCA funds to be used for timely intervention; the intervention in India demonstrated the mutual benefit from responding to country requests and working closely with local agencies.

116. This Component was strongly oriented to normative work, with considerable emphasis placed on the development and application of normative tools and training kits, and on information-sharing by electronic media, including the internet. There are problems with using the internet as a primary source of delivery in low-income countries where access is difficult or unreliable. Solutions need to be found for the delivery of normative information by other means and also of involving the countries more in the collection and dissemination of information.

117. Inter-Agency cooperation is also apparent, not least in the operation of the multi-agency International Portal on Food Safety, Animal and Plant Health (IPFSAPH) information portal but also in the field work in fisheries in Southern Africa with the OIE and the multi-agency response to the HPAI emergency. The fact that the PCA-funded Crisis Management Centre is linked to the tripartite FAO/WHO/OIE Global Early Warning System also indicates good inter-agency ties. There are also strong linkages with the multi-agency Standards and Trade Development Facility (STDF), but it should be noted that this operates outside the UN system. Other than these, however, there are few examples in the field of inter-agency cooperation, the Delivery-as-One UN project in Tanzania being an exception.

118. The current strategy for Biosecurity dates back to 2003: considering the novelty of the concept then and the long way it has come, there is a clear need for an in-depth revision and systematization of concepts and principles. Such a revision would also assist in setting priorities and developing a more coherent set of activities to be supported by PCA-Norway. In using the new strategy for Biosecurity under the Programme, attention should also be given to the nature of the activities: under the present PCA there were 6 major normative publications, 2 large consultants’ reports, and at least 7 international training workshops, seminars or expert meetings. These global or regional activities restricted the resources available to country-based activities on Biosecurity issues even though some of the latter have resulted in significant results and have led to funding from other sources. Challenges will include maintaining a balance between the focus on enhancing the links between the normative mandate and work at country level and identifying countries where suitable country-based programmes and partners exist and effective progress can be made.

**Recommendation 13)**

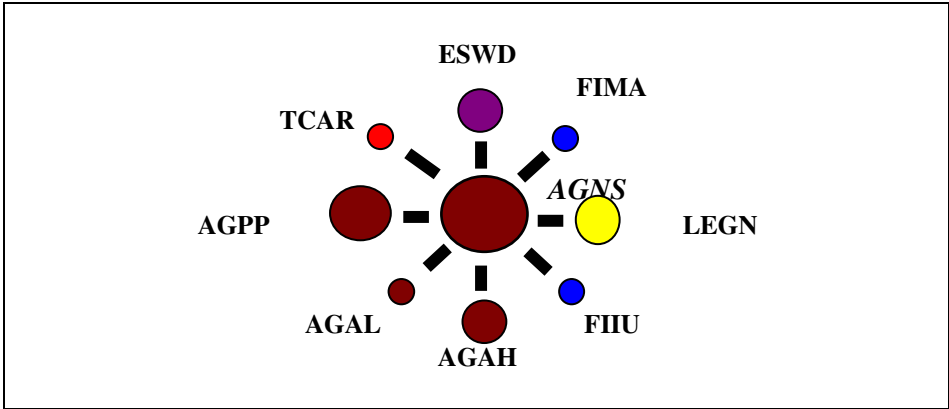
**PCA-Norway funded activities on Biosecurity should be developed based on a clear FAO Strategy for Biosecurity. This Strategy should take into account the experience of PCA-Norway Component D1.1, in particular in relation to issues of post-crisis rehabilitation and restructuring, and on modalities of assistance to low-income countries in identifying the nature of emergency situations. Risk assessment, preparedness planning, and building of response capacities would be part of a Biosecurity Strategy and are appropriate activities for PCA-Norway funding.**

119. Overall, the activities under the PCA-Norway helped to develop a larger awareness of Biosecurity issues. Especially in India, including at the highest political level, they have informed an on-going internal process of discussions between responsible ministries and departments leading to an Integrated National Biosecurity System covering plant and animal health, fisheries, forestry and wildlife and including a review of related fields such as the recently-established Food Standards Authority. The influence of FAO's activities and the Biosecurity Toolkit has been catalytic in the rapid development and acceptance of this programme as a national priority. These developments may serve as a useful model for other countries.

**Recommendation 14)**

**Future work under PCA-Norway should follow and document the development on Biosecurity in India closely, so that this work can be adapted where appropriate for application in Least Developed Countries.**

**Figure 8. Cross-departmental/divisional links of Component D1.1**



The Figure indicates cross-departmental/divisional work. The Objective Convener is in italic. The size of circles is related to the number of staff actively participating. The absence of circles shows the only temporary involvement of a Service.

**6.7 Other Components**

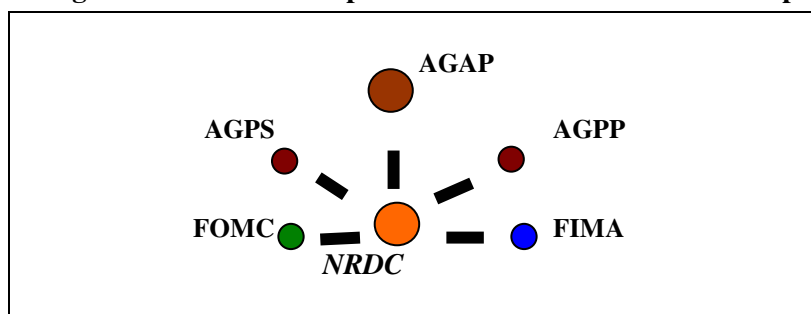
120. The following components have not been assessed in depth since they did not meet any of the criteria established by the Evaluability Assessment. Therefore they were assessed with respect to their relevance to the PCA-Norway criteria, and provided also more evidence to the assessment of the Programme implementation process as a whole.

### 6.7.1 B1.1 - Development and implementation of international instruments related to animal and plant genetic resources

121. The activities under this Component show that the conservation of biodiversity, through the sustainable management of genetic resources, is not an obstacle to achieving food security but rather a prerequisite. This in turn focuses more attention on issues related to traditional animal breeds, crop varieties and agricultural systems and farmers' rights which are relevant to poverty alleviation and are important issues for small farmers, whose specific needs and problems have been recognised in biodiversity fora, such as the Convention on Biological Diversity. FAO has played a leading role in bringing these issues to the fore and PCA-Norway has allowed this to happen with funds for the organization of the Interlaken Conference on Animal Genetic Resources, as a timely response to a request by the Commission on Genetic Resources for Food and Agriculture.

122. There has been some outreach work, but given the call by countries for more focus on forest and fish genetic resources, more needs to be encouraged on these sectors. The PCA-Norway focus is on bringing to the international fora issues of relevance to small farmers and of assisting these countries to fulfil their international obligations. The broader sustainable management of agricultural biodiversity in small farm systems is more relevant than genetic diversity conservation to PCA-Norway and it may be more appropriate for the PAIA to take the lead role for both this component and B2.2 in future.

**Figure 9. Cross-departmental/divisional links of Component B1.1**



The Figure indicates cross-departmental/divisional work. The Objective Convener is in italic. The size of circles is related to the number of staff actively participating.

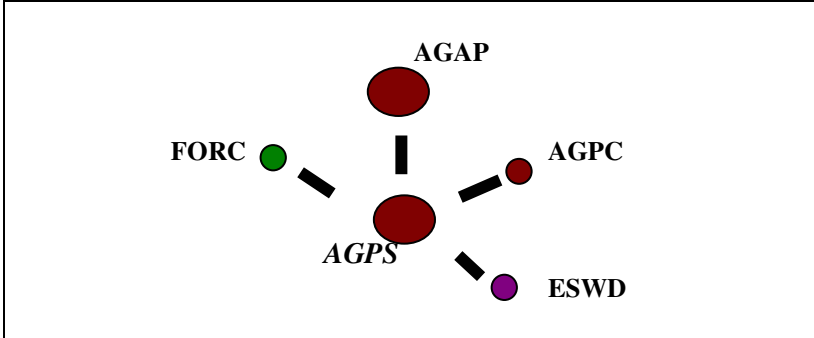
### 6.7.2 B2.2 - Implementation of national sustainable resource management practices, related in particular to animal and plant genetic resource for food and agriculture

123. This Component had activities that were directly and immediately related to poverty relief. Work on helping farmers to sustainably manage animal genetic resources was innovative and did try to incorporate gender issues, although much more efforts will be needed given the entrenched interests and cultural norms. Future activities could be usefully undertaken in LDCs in Africa. The Component demonstrated the importance of PCA-Norway funds to responding to ad hoc situations: a GEF<sup>35</sup>-funded pollinator project in Nepal was significantly delayed. To ensure that the momentum was not lost, PCA-Norway was able to fund a bridging project so that full advantage can be taken once GEF funds will be made available.

124. The Component has reached out across divisions and departments (see Figure 10 below) with a range of activities and it may be interesting to see some of them more focussed so that they are more integrated into a sustainable management programme for smallholder agriculture. More outreach needs to be encouraged in future and it may be useful to use the PAIA to take the lead role.

<sup>35</sup> GEF: Global Environment Facility

**Figure 10. Cross-departmental/divisional links of Component B2.2**



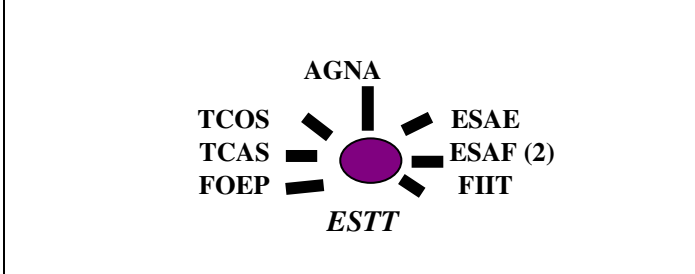
The Figure indicates cross-departmental/divisional work. The Objective Convener is in italic. The size of circles is related to the number of staff actively participating.

**6.7.3 B1.4 - Progressive Realisation of the Right to Food**

125. Although the “right to food” is something which is of relevance to the poor, it is seldom in the poorer countries that this concept can be meaningfully implemented since few governments are able to guarantee access to food to all their citizens. As a result the work undertaken by PCA-Norway is focussed in Brazil and steps have been taken to test similar approaches in Bolivia and Mozambique.

126. The PCA-Norway contribution allowed work at country level, which was not foreseen by the major German funded trust fund project that underpins most of FAO’s work on Right to Food, and to respond to unplanned calls for assistance. However, as in the cases of FishCode and NFPF, the Evaluation questions the usefulness of adding relatively minor amounts of PCA-Norway funds to a much larger trust fund. In addition, the Component did not reach out to other FAO departments and divisions in a significant manner.

**Figure 11. Cross-departmental/divisional links of Component B1.4**



The Figure indicates cross-departmental/divisional work. The Objective Convener is in italic. The size of circles is related to the number of staff actively participating. The absence of circles shows the only temporary involvement of a Service. One staff each from the Services mentioned in the diagram participated in a one-day workshop and provided inputs and feed-back. In Mozambique activities were supported by three FNPP staff.

## 7 Overall conclusions and recommendations

127. The Evaluation found that the PCA-Norway has contributed significantly to FAO's work in supporting the Regular Programme. The Programme is structured in a way that allowed flexibility in the use of funds and innovative cross-departmental work, by "oiling the wheels" of the FAO Regular Programme.

128. The PCA-Norway provided opportunities to respond to ad hoc, and often urgent, requests by countries for support. The flexibility also allowed staff to address emerging issues and provided opportunities in the next phase to develop activities related to climate change and rising food prices. The Programme also complemented FAO RPB by providing resources to focus particular attention on policy issues relevant to the poor and to work more closely with, and in LDCs.

129. On a number of aspects, the PCA-Norway helped FAO to move along the path that was later set out by the IEE, while suffering from a number of Organizational malaises that were clearly identified in that comprehensive analysis<sup>36</sup>. In particular, the programme has contributed to the incipient reform process of FAO to become "*an effective and efficient UN agency achieving important development outcomes*"<sup>37</sup> by encouraging a broader system perspective for normative work, making it more inter-disciplinary and better addressed to the reality faced by poor rural communities. It has contributed to building social capital within FAO with more inter-departmental collaboration and by generating enthusiasm and interest with resources that enable staff to be more effective, innovative and relevant to poor countries.

130. Also, the PCA-Norway has contributed to the cultivation of a closer relationship between countries and the normative programme developed in HQ although more needs to be done. This will depend on the length of commitment for support as it is not possible to establish a coherent country programme within a short time frame. The Evaluation is aware that for most HQ units putting country priorities first in their normative work requires a radical change of perspective and this will take time to adjust. However, this was one of the PCA-Norway's objectives and most Components have failed in general in meeting the requirement to work in a few selected LDCs.

131. PCA-Norway has "recognized" and appreciated FAO normative work: this has produced good results and has generated enthusiasm and commitment by all staff involved. Both donor and FAO are to be congratulated on their foresight in establishing such an innovative partnership, which is a useful model for other donors as well.

### Recommendation 15)

**The PCA-Norway is an effective vehicle for donor support to FAO work and it should be continued with some revisions to both the structure and the implementation process. There needs to be longer term commitment for support to ensure sustainability, particularly for work at country level.**

132. In the light of the evidence and analysis above, the Evaluation considers that the PCA-Norway's management structure should be reviewed placing the various responsibilities where they actually belong. The concentration of institutional, operational and financial responsibilities within the same institutional body (juridical or physical person) is essential to ensure clear definition of accountability over resources in general and EBF operations in particular. The principles of clear, smooth and effective performance of operational functions are to guide decisions and actions in this area. The coordination role is a time-absorbing task that cannot be maintained in the medium to long run by any senior officer in FAO (or elsewhere!) as a long-term additional task to their usual work-load.

133. The following management principles should be fully taken into account in any future PCA. The term Management includes coordination, management and monitoring functions:

36 One of these was the dispersion of criteria and activities over too broad a range, as discussed by the IEE in its Recommendation 7.2, paragraph 1202.

37 PCA-Norway Meeting notes, 28 February 2008

- Coordination and monitoring mechanisms should be set up while minimizing bureaucracy and parallel structures;
- Management should be responsible for the various phases of PCA execution, and should acquire continuous full Budget Holder ownership over its resources;
- Management requires a minimal structure for operational support;
- Objective Conveners function needs to be merged with Budget Holder responsibility of Baby-Projects;
- Accountability and related chain of responsibilities and communication lines should be clearly defined;
- Operational tools should be identified that allow running this type of complex operations under the set of systems and functionalities presently available;
- Resources for Management should be negotiated between FAO and the Donor, possibly to be provided on a shared basis.

134. In the formulation of the management structure suggested in Figure 12 and Figure 13, the Evaluation has attempted to ensure that the best elements of the previous programme are retained including its flexibility, while ensuring better accountability both substantively and financially. The suggestion is based on current knowledge of the proposed new organizational structure of FAO but this may change and will require adaptation of the suggested PCA management structure by transferring defined functions to the pertinent unit responsible for them in the future.

135. The structure has been designed so that it is possible to expand it and incorporate other donors with their specific requirements.

#### **Recommendation 16)**

**FAO should adjust the management structure of the PCA-Norway to develop and build more effectively on principles of inter-disciplinarity and cross-sectoral work, with clear lines of responsibility and accountability, on fair and phased allocation of funds following delivery and on an effective Result Based Management system. Details of the new structure are illustrated in Figures 12 and 13.**

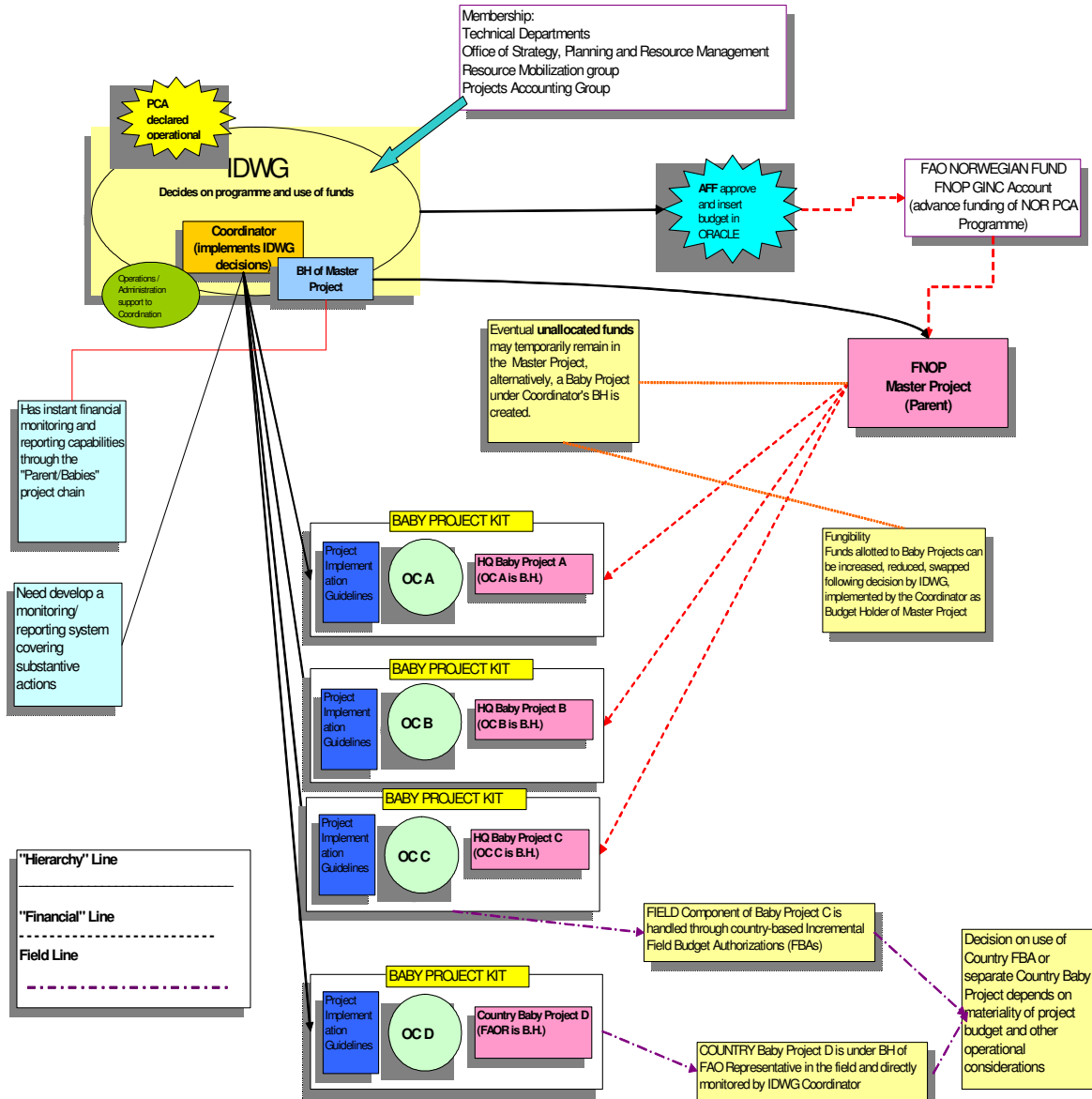
#### **Figure 12. Proposed new management structure for the PCA-Norway**

- The IDWG (or a Steering Committee/SC) should be formally established to develop the programme from its identification to finalization, and to participate in the negotiation process. The IDWG/SC should include all technical departments benefiting of the PCA-Norway support and should include the functions of strategic manager of RPB, of extra-budgetary resources mobilisation with donors and of financial administration, currently mandated to PBEP, TCAP and AFF respectively. All department or division representatives should be appointed as members of the Steering Committee by respective ADGs. The Programme would be closely matched with overall FAO RP.
- The IDWG/SC would be the formal body accountable for the execution of the PCA, and be directly responsible for all operational elements related thereto. The IDWG/SC should reach general consensus on programme and use of funds. The chair of the IDWG should rotate across members on a yearly basis.
- A PCA Manager should be seconded from within the Organization, against detailed Terms of Reference, qualifications and selection criteria established by the IDWG/SC; the post should be at P-5 level; a requirement would be in-depth knowledge of FAO's normative work; the Manager's tasks would include among others, ensuring the coherence of all activities with established criteria, support to areas of major weakness (e.g. gender mainstreaming, inter-disciplinarity), support to work in few selected countries in terms of identification of areas of work, coordination and development of synergies, overall reporting, secretary of the IDWG/SC, liaison with the donor, etc.
- The PCA Manager would be the Secretary of the IDWG/SC, holding institutional responsibility for the implementation of its decisions. Therefore, the PCA Manager, in the name of IDWG, exercises full strategic and operational leadership on the execution of the Agreement, including the

distribution of financial resources as required and in accordance with the allocations determined by the IDWG/SC and would also be responsible for monitoring implementation and delivery in accordance with programme criteria.

- The PCA Manager, on behalf of the IDWG, ensures that Donor's funds are placed in a Master Project and he/she would be the BH for the whole programme.
- The PCA IDWG/SC should allocate shares of the overall budget to each component on a yearly basis.
- The PCA-Manager would open a sequence of hierarchically-dependent projects (Baby Projects) and assign subordinate operational responsibility to Object Conveners or FAO Representatives. Such projects will contain all the related budget components, including the support costs share attributable to them.
- The PCA-Manager would monitor funds input and project performance through the above project hierarchy.
- A Programme Management Unit should be created, composed of the PCA Manager, an administrative assistant, and a secretary. If the total budget justifies, a young professional should also be part of the PMU.
- The institutional location of the PMU should ideally be at the level of the DDG/Knowledge, as defined in the IEE-Management Proposal dated 27 June 2008; this to ensure close proximity with the management of the RP of the Organization.
- Each component should prepare a multi-annual project concept, depending on the duration of the PCA and integrated as appropriate with the RP of their unit, which should identify objective, outcomes, targets and indicators meeting the criteria and priorities established, through the Logical Framework approach. Every year, each Component would prepare an annual plan of work and delivery; the yearly allocation would be disbursed in two allotments, the second semester's being adjusted against reporting of work progress. This would allow flexibility in disbursement according to progress, without delaying other components. At the end of each year, again based on adherence to criteria, requirements, work progress and plans of work, PCA funds could be re-allocated across components by the IDWG/SC. The system would also allow the availability of funds to tackle emerging issues, without affecting immediate work-plans of any component.

Figure 13. New proposed structure for the PCA-Norway





## **Annex 1**

### **Approach paper and Terms of Reference**

#### **1.1 Introduction and context**

136. Norway has been a key long-term partner of FAO for almost four decades now. This collaboration was carried out mainly through the Government Cooperative Programme (GCP), which is an important part of the Norwegian voluntary contribution to FAO. In 2003 Norway and FAO agreed on a more comprehensive programme approach through a Framework Cooperation Agreement that covered the biennium 2003-2004: this was allocated to the five technical departments of the Organization<sup>38</sup>.

137. At the conclusion of this first Agreement, in-depth discussions between all FAO technical departments and Norway led to the FAO/Norway Programme Cooperation Agreement (PCA) 2005-2007, a strategic partnership aiming at enhancing and adding value to specific areas of FAO's work, by targeting and improving its impacts in key themes and by addressing the issue of the integration of the Organization's RPB and EBF resources. Its overall objective was described as "to support the realisation of the Millennium Development Goals (MDGs) in developing countries through the work of FAO." Some traditional areas of Norwegian support to FAO and some new ones were identified.

138. Norway provided NOK 40 million for 2005, NOK 35 million for 2006 and NOK 35 million for 2007 in extra-budgetary support under this agreement, for a total amount of NOK 110 million (USD 17.2 million). The Agreement established an approximate allocation of funds to four of FAO's 12 corporate strategies:

- A.1, Sustainable rural livelihoods and more equitable access to resources, 25% of the funds;
- B.1, International instruments concerning food, agriculture, fisheries and forestry, and the production, safe use and fair exchange of agricultural, fishery and forestry goods, 20% of the funds;
- B.2, National policies, legal instruments and supporting mechanisms that respond to domestic requirements and are consistent with the international policy and regulatory framework, 35% of the funds;
- D.1, Integrated management of land, water, fisheries, forest and genetic resources, 20% of the funds.

139. The terms and conditions of the PCA required FAO to "adhere to the relevant policy decisions and guidelines approved by its Governing Bodies, and a common set of objectives and principles for the international development community which are contained in political declarations and plans of action from relevant UN summits, notably the Millennium Assembly". Particular emphasis was to be placed on:

- Poverty alleviation;
- Co-ordination and harmonisation with extra-budgetary programmes of other donor and cohesive functioning within the United Nations system (UNCTs, CCAs and UNDAFs);
- Limited number of low-income countries and orientation on results and impact;
- Social, economic and ecological aspects and sustainability;
- Gender perspective;
- Capacity building in developing countries;
- Strengthen the link between normative and operational activities of the Regular Programme (RP) and FAO's policy assistance at country level;
- Within the framework of the MDGs, WSSD plan of action and CBD decisions and work programmes;
- Strategic co-operation with other relevant international organisations and relevant partners; and

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38 AG, ES, FI, FO and SD

- Inter-disciplinarity.

140. Other thematic aims were as follows:

- All activities related to food safety and quality should be developed with a food chain approach in mind. Priority should be given to assist developing countries to build capacity in food safety and quality control.
- Due consideration should be given to HIV/AIDS in all relevant activities, throughout the programme
- Progress and follow-up of important global negotiations primarily related to genetic resources, forestry and fisheries should also be prioritised.

141. Since 2007, the evaluation policy of FAO foresees that all programme support by donors should be evaluated when their budget exceeds USD 2 million, with evaluation modalities to be decided on a case-by-case basis in full consultation with the donor.

142. In mid-2007, negotiations started for the third phase of the FAO-Norway PCA. During this process, all parties considered that an evaluation would contribute to the common understanding of the results achieved so far, of the strengths and weaknesses of the approach and to the identification of any necessary adjustment in the follow-up phase.

143. The evaluation will be completed by mid-July 2008, after the approval of the funding for the third phase of the PCA-Norway. This will require that the implementation process of the third phase be open to adjust in so far as possible to the evaluation's recommendations, as appropriate.

## ***1.2 The inception phase***

### ***1.2.1 Methodology***

144. The PCA-Norway is very close to what is commonly known as "direct budget support" to FAO's Regular Programme. This required that the evaluation process start with an evaluability assessment, to map the broad areas of work carried out through the Agreement and to compare the Norwegian contribution with other resources assigned to the same Strategic Objectives and areas of work. Further, a consultative process was advisable to assess the expectations from different stakeholders about the evaluation itself.

145. The evaluability assessment was carried out by a two-person team in PBEE<sup>39</sup>, along two main lines: consultation with the main stakeholders in-house on the activities, results, strengths and weaknesses of the Programme and analysis of the financial contribution of the PCA Norway as a part of total resources for each activity supported.

146. During this process, meetings were held with the two Programme coordinators and with all OCs, and main staff and consultants involved in its implementation. Two meetings were also organized with Norwegian representatives to include their expectations in the evaluation process. Close coordination during this process was maintained with the team in PBEE responsible for the currently on-going corporate evaluation of FAO's work on international regulatory instruments (Strategic Objective B1) in consideration of the strong contribution by the PCA-Norway to that area of FAO's work.

147. The evaluation process started at the end of December 2007 and the inception phase was completed by March 2008.

### ***1.2.2 Overview of activities***

148. Figures on delivery of each component were compiled by the Programme Coordinator and made available to all stakeholders on a regular basis. At the end of September 2007, total delivery was 67% and five months later it was 92%, with perspectives of 100% delivery by end of March 2008.

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39 Tullia Aiazzi, Evaluation Manager; Luisa Belli, consultant

This will have been achieved in about 20 months, thus efficiency of expenditure was rather good. About 68% of the funds were disbursed at country level, for a wide range of different activities.

149. Activities under most Components were implemented at both FAO Headquarters and country level, covering 70 countries in total. Two thirds were Low-Income Food Deficit countries as per FAO's classification in November 2006<sup>40</sup>. In the majority of these countries (47 or 67%) only one or two Programme Components carried out any activity, whereas in the remaining 23 countries (33%), three or more Programme Components were active.

150. The Programme was structured in Components, under the responsibility of Objective Conveners and linked to FAO's Strategic Objectives. Specific outcomes and indicators were further defined for each of the main objectives.

151. Component A1.1 was under the responsibility of TCAS: it concentrated activities in 9 countries and focused on providing policy assistance to the Governments, mainly in support of mainstreaming food security and agricultural development issues into PRSP formulations and revisions. Initiatives in support of national policy contexts covered strategy and policy formulation, capacity building and technical support in policy impact analysis, sustainable natural resources management and vulnerable groups (small fishers, ageing population and HIV/AIDS affected population). They also included small farmer focused intensification and diversification policies and programmes, in the framework of poverty reduction strategies. Two thematic areas have also been taken up for study, due to their deep implication for food security: 1) Risk management and 2) Oil/Mineral Profits and Oil/Mineral Bills in Less Industrialised Countries. The aim was analysing implications for sustainable development, and food security of rising oil prices and the policies of resource endowed countries. The PCA-Norway was said to be one of the few Extra-Budgetary Funds (EBF) available for policy assistance, which is usually carried out at country level through TCPs. Other FAO partners funding work on similar issues were the Netherlands through FNPP, Spain and Japan.

152. Component A1.2 was under the overall responsibility of NRLA: it was structured into five sub-components, managed respectively by NRLA with LEGN, FOEP, FIEP and two by ESWD, each of them focusing on a specific aspect of land and natural resources tenure issues that would contribute to the work of the Commission for the Legal Empowerment of the Poor. This Component was instrumental in bringing together resources from five technical departments: although some members had already undertaken some similar cross-organizational work under the Livelihoods Support Programme in previous years, this was the opportunity to widen and strengthen the mechanism at different levels. Activities were carried out in Sub-Saharan Africa, with particular focus in the Lake Victoria region with the fisheries component. The forestry component also worked in Central Asia. It was also stated that through this Component, gender issues were mainstreamed into a wide range of components of FAO's Regular Programme.

153. Components B1.1 and B2.2 were under the responsibility of NRDC and AGPS respectively, in support of FAO's work on plant and animal genetic resources. The first component focused on the Commission on Genetic Resources for Food and Agriculture, and in particular on the preparation of the Multi-Year Plan of Work and of the Interlaken Conference on Animal Genetic Resources. In this work, contributions were sought also from the Fisheries Department. Funds under Component B2.2. were used partly by the Pollinators Programme and other Plant Genetic Resources and Biodiversity activities, and partly for work at country level on Animal Genetic Resources. Both Components, in particular the Pollinators sub-component, worked in close collaboration with the FNPP/Agro-biodiversity and with the IDWG on Biodiversity. In the case of B1.1., all activities were carried out at central level, whereas funds were used for field activities in Nepal and Ghana for the Pollinators component and in a wide range of countries for B2.2, Animal Genetic Resources. It should be noted as well that:

- FAO's work on Pollinators and biodiversity was partly evaluated under the framework of the FNPP Evaluation in late 2007;

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40 According to the July 2007 World Bank classification of countries, 23 belonged to the IBRD-access group, 7 to the Blend Group, 39 to the IDA-access group and Cuba was left out of any group.

- the Commission on Genetic Resources for Food and Agriculture (CGRFA), with a specific focus on plant genetic resources, will be analysed in depth under the evaluation of FAO's work on international regulatory instruments (above), currently on-going.

154. Components B1.2 and B2.3 were under the responsibility of FIED and both were fully embedded into the umbrella programme Fish Code, for the implementation of the Code of Conduct for Responsible Fisheries. Fish Code is funded through a Multilateral Trust Fund with contributions from Sweden, Norway, Iceland, plus GCP contributions from Japan, Norway and USA among others. The umbrella programme covers a wide range of activities, including normative and field work, with a budget above USD 11 million. PCA-Norway funds were used to implement about 25 different activities in many countries, with primary focus on seven of these, which should contribute to the umbrella programme objectives. None seems to have been identified or carried out in coordination with other PCA-Norway components.

155. Components B1.3 and B2.4 were under the responsibility of FOEL and FOEP respectively. The first supported exclusively FAO's normative work with statutory and international bodies, through FAO's Regional and Sub-regional Offices. In the case of FOEP, funds were used to test and extend at country level normative tools and instruments, in 32 countries. If FAO's work with statutory bodies tends to be funded exclusively through RPB, work at country level on forestry received substantial EBF from other donors, including FNPP and the National Forest Programme Facility among others. FOEP collaborated to work under Component A1.2, however work under Component B2.4 tended to be carried out in a self-contained manner, with no collaboration with other units outside the Forestry Department.

156. Component B1.4, under the responsibility of ESTT, was in support of FAO's activities aimed at mainstreaming and implementing the Voluntary Guidelines for the Realization of the Right to Food. The Norwegian contribution allowed application of the normative outputs produced at HQ level with German funds, to Brazil and Mozambique so far, and start-up activities in Bolivia. The theme by its nature is inter-disciplinary and cross-cutting, and seems to give visibility to FAO among other UN agencies and programmes because of the common focus on rights-based approaches. FAO's activities on this theme are funded almost fully through EBF resources, mostly by Germany and Norway and the Component seems to be rather self-contained within the PCA-Norway. It should be noted as well that:

- the evaluation of FAO's work on international regulatory instruments will analyse the Right to Food as an approach to international regulatory instruments;
- an evaluation of the Right to Food programme is planned for the second half of 2008.

157. Component B2.1 under the responsibility of AGNS contributed to the wider work of FAO on Food Safety, by integrating issues of food quality and safety into other organizational themes such as Sustainable Agricultural and Rural Development (SARD) and Good Agricultural Practices (GAP), Fresh Fruit and Vegetables, Post-harvest and Marketing. It was stated that the programme opened up windows of collaboration that were not available otherwise.

158. Component D1.1 under the responsibility of AGNS contributed to FAO's work on Bio-security, aiming at strengthening resilience to impacts from plant and animal diseases, and providing training and support for countries taking an integrated approach to addressing Bio-security issues. Activities called upon contributions from the animal health service (AGAH), the plant protection service (AGPP), Fisheries, Legal, Gender and Marketing units and included work at country level, as well as normative products, such as the development and testing of the Bio-security Capacity Needs Assessment. Likewise for B2.1, the Programme boosted activities on this theme.

### *1.2.3 Analysis of the financial contribution and delivery of the PCA Norway*

159. Extensive efforts were devoted by the Inception Team to collect information on funds allocated by FAO through its RPB and by all other donors through EBF to the areas of work selected in the PCA-Norway. The exercise aimed at assessing the relative financial importance of the PCA

Norway in the different areas. This was considered important both to understand the contribution of the Norwegian funds and to identify areas on which to focus the evaluation.

160. The element chosen to compare RPB and EBF was the Programme Entity (PE), as defined in the PWB of the Organization. The Objective Conveners provided to the Inception Team the list of Programme Entities corresponding to the areas of work supported through the PCA-Norway. The detailed methodology will be described in the evaluation report, however three key points are mentioned here:

- the evolution of definitions of Programme Entities and the changes in their level of aggregation complicate tracking streams of RP activities over time;
- the low level of accuracy in assigning EBF initiatives to relevant PEs prevents building a reliable picture of the actual support provided through these resources to the Organization's Medium Term Plans and Strategic Objectives;
- PCA-Norway funds were allocated by the donor in the last quarter of 2005, but they were made available to Objective Conveners only during the second quarter of 2006, due to FAO's internal allocation procedures. Accordingly, all calculations were made comparing the Norwegian contribution to FAO's RPB and EBF funds for the biennium 2006-07.

161. These factors affected the extent and reliability of the analysis. Although it was possible to compare PCA-Norway and RPB resources assigned to the same areas of work (see Figure 1), the comparison with contributions from other EBF resources to the PEs supported by the PCA-Norway requires great caution in interpretation and should be taken only as indicative trend of resources available in addition to RPB funds.

162. Figure 1 shows: the allocation of PCA-Norway, the Regular Budget and the EBF resources allocated to each PCA-Norway component, in dollars and percentage values. Also, it indicates the percentage of PCA-Norway funds spent on activities implemented in HQ/Regional offices or at country level.

**Figure 1. Comparison of PCA-Norway financial weight with Programme Entities and EBF**

PCA Objective	PCA allocation HQ/RO/SRO (USD)	PCA allocation country (USD)	PCA total (USD)	% total PCA allocation	PE budget (USD)	EBF funds including TCP (USD)	PCA as % of RPB	PCA as % of EBF	PCA as % of RPB +EBF
<i>TCAS, Component, A1.1</i>	21,558	2,134,220	2,155,778	12.50%	4,003,000	13,042,402	54%	17%	13%
<i>NRLA, Component, A1.2</i>	862,311	1,293,467	2,155,778	12.50%	19,855,000	32,197,381	11%	7%	4%
<i>NRDC, Component, B1.1</i>	862,311	0	862,311	5.00%	5,361,000	9,921,063	16%	9%	6%
<i>FIED, Component B.1. 2 + B.2. 3</i>	862,311	1,509,045	2,371,356	13.75%	24,976,000	47,529,340	9%	5%	3%
<i>FOEL, Component B1.3</i>	456,223	373,273	829,496	5.00%	8,403,000	2,856,512	10%	29%	7%
<i>ESTT, Component B.1. 4</i>	0	862,311	862,311	5.00%	391,000	4,522,490	221%	19%	18%

<i>AGNS, Component B2.1</i>	286,719	1,222,326	1,509,045	8.75 %	2,641,000	4,766,956	57 %	32 %	20 %
<i>AGPS, Component B2.2</i>	633,799	875,246	1,509,045	8.75 %	7,803,000	19,652,309	19 %	8 %	5 %
<i>FOEP, Component B2.4</i>	634,591	913,192	1,547,783	8.75 %	6,241,000	30,296,317	25 %	5 %	4 %
<i>AGNS, Component D1.1</i>	862,311	2,586,934	3,449,245	20.00 %	7,829,000	7,462,346	44 %	46 %	23 %
<i>Total</i>	5,482,134	11,770,014	17,252,148	100 %	87,503,000	172,247,116	20 %	10 %	7 %
<i>PCA-Norway allocation (%)</i>	32 %	68 %							

Data elaborated by PBEE sourcing from FPMIS and Objective Conveners

163. As mentioned above, the Programme Agreement established priority thematic areas and four Strategic Objectives of FAO for support. It seems that the assumption was that these matched, i.e. that the areas identified contributed to the Strategic Objectives. In order to verify this assumption, the team analysed the links established in the PWB 06/07 between PEs indicated by Objective Conveners and Strategic Objectives.

164. This exercise showed that the Programme Entities linked to the priority areas selected in the Agreement contributed to different S.Os from those identified. The clearest example relates to Strategic Objective D1 and work on bio-security. The Agreement allocated 20% of the resources to S.O. D1 (Conserving and enhancing sustainable use of the natural resource base), and stated that this contribution would be through the work on bio-safety. However, the PWB 06/07 states that the PEs for bio-safety contribute to five S.Os, and none of these is D1.

165. On the other hand, other PEs supported by other thematic areas prioritized in the Agreement contribute to Strategic Objectives D1, namely PEs linked to Components B1.1, B1.2, B2.3, B2.2 and B2.4. These activities constitute about 9% of the PCA funds. Figure 2 shows the “desired” allocation of PCA-Norway funds to the different S.O., and how the PEs supported through the PCA-Norway “contributed” to each S.O. according to the PWB structure.

**Figure 2. PCA-Norway contribution to FAO’s Strategic Objectives**

Strategic Objectives	PCA-Norway allocation to Strategic Objectives	Contribution by Programme Entities supported by PCA to each SO as per PWB 06/07
<i>A1</i>	25 %	20 %
<i>A2</i>		1 %
<i>A3</i>		1 %
<i>B1</i>	20 %	12 %
<i>B2</i>	35 %	9 %
<i>C1</i>		11 %
<i>C2</i>		10 %
<i>D1</i>	20 %	9 %
<i>D2</i>		7 %
<i>E1</i>		14 %
<i>E2</i>		5 %
<i>Total</i>	100 %	100 %

Data elaborated by PBEE sourcing from FPMIS and Objective Conveners

166. The data above illustrate some characteristics of the PCA-Norway 2005/07:
- d. The Norwegian funds have played a key role in support of a large portion of FAO's Regular Programme, and through these contributed significantly to four out of eleven Strategic Objectives of the Organization;
  - e. The use of Norwegian funds respected to a good extent the criteria established in the Agreement; the fact that the Strategic Objective (SO) identified in the Agreement did not receive the expected financial support is due to an inaccurate link established in the Agreement between areas of work and SO, rather than to a change of priorities by programme managers;
  - f. PCA-Norway funds were allocated as follows: bio-security received 20% of the total resources; Fisheries and Forestry received 15% each, followed by Genetic resources with 14%; food safety 9%, gender issues 4% and HIV/AIDS 2%.
  - g. The Norwegian funds have been a key addition to all resources available, both Regular Budget and EBF, for Components B2.1 and D1.1; for Components A1.1 and B2.4, Norwegian funds were a substantial addition to Regular Budget funds.
  - h. Component B1.4, Right to Food: as mentioned above, this area of work is still very much donor-driven (Germany and Norway) and the Organization has not mainstreamed it yet into its Regular Programme and Budget;
  - i. Component B1.3 concerns work with Regional Forest Commissions and Collaborative Partnership on Forests, which receives usually very little EBF resources, thus the PCA-Norway was particularly significant.

167. In terms of use of funds, there was wide agreement among all stakeholders that the Programme should not pay for staff posts in FAO, nevertheless there was mixed and somewhat different understanding on what could be charged to the Programme in terms of staff time and consultancies. This may have accounted to some extent for the different delivery rates across components, since those who decided to pay for staff's time and for consultants to coordinate activities, spent and "delivered" more rapidly.

168. Indeed, although the Programme is to a large extent mainstreamed in the RP of the responsible units, the management, implementation and coordination of the Programme resources and activities required both extra time from FAO's staff and additional human resources at country and central level<sup>41</sup>. In fact, full involvement of FAO's staff in the programme is absolutely vital for making full use of the Organization's competences and knowledge and to ensure mainstreaming of the Programme in FAO's RP. On the other hand, delivery of outputs and cross-departmental work, including the unfortunately still high transaction costs of the latter, require time that can be provided only by staff or consultants recruited specifically, that should be recognized as an input to outputs delivery and fully accounted as such.

#### *1.2.4 Preliminary findings*

169. The information in this sub-chapter was gathered during the first round of meetings held during the Inception phase. The evaluation itself will verify these first findings and will either confirm them or not, according to the evidence that will be found out through further analysis.

170. The persons interviewed shared a high degree of consensus on a number of positive elements of the PCA-Norway. These were:

- i. the donor's flexibility in relation to allocation of funds;

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<sup>41</sup> Indeed, if an organization had permanent staff with enough free time to manage similar additional large programmes all on their own, it would be a very poor performer in terms of rational use of its resources.

- ii. the availability of EBF resources, subject to less rigid disbursement rules<sup>42</sup>, for activities fully or very closely mainstreamed in their RP plans;
- iii. the absence of donor's requirements for specific and/or separate reporting and for "visibility" of action at country level;
- iv. the efficiency of the coordination process, that minimized transaction costs and did not create additional layers of bureaucracy and control.

171. In-house participants found that the PCA-Norway was a key flexible resource for their mainstream work: the Programme provided an invaluable opportunity to extend and/or test at country level activities and/or outputs produced through the Regular Programme, thus closing the loop between "normative" and "field" type of work. In most cases, it was stated that activities implemented through the Programme would not have happened, among which processes like the Interlaken Conference on Animal Genetic Resources, policy assistance to a number of countries, mapping of forest tenure in Central Asia, etc. This opportunity was particularly welcome and appreciated by all.

172. The push towards inter-disciplinarity and inter-departmental work was highly appreciated and used as a trigger or leverage by many, in particular by those who came already from a tradition of work across sectoral boundaries, e.g. policy assistance, land tenure, gender, genetic resources, bio-security, etc. In these cases, work was carried out, beyond the turf of Service/Unit-owned components. Components A1.1, A1.2, B1.1, B2.2 and D.1 seem to have taken advantage of the Programme in this sense more than others.

173. The Programme Coordinators were able to raise interest, infuse enthusiasm and ensure accountability, without creating an additional cage of rules and controls. These achievements were no doubt facilitated by the Donor's desire to "mainstream while making a difference", and were generally recognized as notable by participants.

174. The overall process of formulation, approval, management and monitoring of the Programme, looks like a challenge to FAO's traditional division of roles and responsibilities vis-à-vis donors and EBF: there may be useful lessons to be learnt from a more in-depth comparative analysis with other umbrella programmes and projects such as FNPP, Livelihoods Support Programme (LSP) or the Sustainable Fisheries Livelihoods Programme (SFLP), that also aimed, among other more important objectives, at changing FAO's modus-operandi.

175. The administrative management and use of FAO's delivery tools looks correct, although other tools might have been chosen, facilitating accounts supervision and financial reporting, while making a rather innovative approach more visible.

176. A common complaint from a few interlocutors was the preference of the donor for action at country level in a limited number of Least Developed Countries. As seen above, this requirement was possibly the least respected one. The high level of geographical dispersion of activities raises issues about the effectiveness of coordination and push toward shared and cross-sectoral activities and plans. On the other hand, the PCA selected priority areas of work meet technical assistance needs as expressed by a diversified range of FAO's member nations, among which LDCs are only a minority. Themes like food quality and safety, bio-security, bio-safety and genetic resources tend to be more on the agendas of middle income countries than of low income and food-deficit countries. In this sense, a re-thinking of the criteria for country selection could be useful in view of the third phase of the PCA.<sup>43</sup>

### *1.2.5 Conclusions for the evaluation*

177. The information gathered during the inception phase and very briefly summarised in the previous pages shows that the PCA-Norway is an articulate and complex programme that contributes to many key areas of FAO's work. The programme modality, focusing on cross-departmental work

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42 This does not mean absence of accountability and transparency in funds' use, rather it refers to rules such as the need to close Regular Budget activity lines and contracts at the end of each biennium and the like.

43 The paper for the Programme Committee at its session in May 2008, "Synthesis of Evaluations of FAO's effectiveness at country level", suggests that "other types of classification such as the UNDP Human Development Index could be used to identify countries" for country evaluations.



through Regular programme activities, aims at affecting the Organization's culture of inter-departmental collaboration and could trigger some small scale but fundamental paradigm shift in the way the Organization adapts to new technical challenges ahead.

178. Equally, the analysis of the management process and of the administrative set-up adopted could provide interesting lessons for other similar funding modalities.

179. By triangulating the data available, it appears that the PCA Norway was more relevant from the financial point of view for some areas of work than others, possibly because these were "emerging issues" or had not been a priority for other sources of funds. Cases in point would be bio-safety, food safety and policy assistance. Another "case in point" seems to be the work on various types of tenure for poverty alleviation: although the financial contribution was not particularly significant against other sources aimed at a more classic approach to these issues, the work carried out looks very innovative and might benefit from a more in depth analysis.

180. Other areas of work were partly evaluated recently (e.g. through the FNPP final evaluation) or will be subject soon to other imminent evaluations already on-going or planned. Such is the case of work for Plant Genetic Resources, regulatory frameworks for fisheries and forestry and Right to Food.

181. One other major area of FAO's work and support from the PCA-Norway was FishCode: it made apparently good use of the Norwegian contribution, but this has not affected substantially the scope of its work. The programme is very wide in scope, in outreach, in type of outputs and results, and benefits from very large multilateral trust funds and of other EBF resources, none of which have been evaluated so far. Thus, the Inception team considers that an in-depth analysis of the work carried out only with PCA funds, without looking at the broader picture of FishCode, does not seem very cost-effective and meaningful.

### ***1.3 Purpose of the evaluation***

182. The evaluation of the FAO/Norway PCA aims at informing all stakeholders about the role, implementation process, results and foreseeable impact of the FAO-Norway PCA 2005-07. It will be a formative evaluation that will assess and provide evidence of past performance, draw lessons and recommendations and possibly strategic guidance for the future for use by FAO, Norway and other donors.

### ***1.4 Scope of the evaluation***

183. The evaluation will assess the FAO-Norway PCA 2005-07 both in its entirety as a single EBF programme in support of FAO's Regular Programme and a strategic partnership addressing the integration of the Organization's resources, and through in-depth assessment of some selected areas of work. Overall, the evaluation will focus on the relevance, efficiency, effectiveness and actual and foreseeable impacts of the work carried out through the Agreement and of the process for its implementation.

#### ***Relevance***

184. The thrust of the Agreement is the contribution to some of FAO's major areas of work: this would imply that all activities should be relevant to FAO's mandate by default. Moreover, assessment of the relevance of major areas of work such as fisheries, forestry and land tenure would imply a major evaluation effort far beyond the PCA-Norway itself.

185. The evaluation will thus focus the assessment of relevance of the entirety of the Programme, in relation to the major aim of the Programme "enhancing and adding value to specific areas of FAO's work, thereby targeting and improving its impacts in key themes" and "to support the realisation of the Millennium Development Goals (MDGs) in developing countries through the work of FAO."

186. Furthermore, relevance will also be assessed in relation to FAO's mandate for the areas of work selected for in-depth evaluation, which are considered more innovative and related to "emerging issues".

### Efficiency

187. The assessment of efficiency will focus on the process of elaboration, management, coordination and implementation of the PCA-Norway. This area of analysis will focus mostly on institutional aspects: relations with the donor, internal divisions of tasks, coordination and information-sharing mechanisms, monitoring, transaction costs, etc.

188. In addition, the evaluation will also analyse some key management and administrative features concerning and adopted by the Programme, such as criteria for the allocation of trust fund resources to Budget Holders, allocation of Budget Holder responsibility and selection of financial delivery instruments, and issues affecting differential delivery rates between components.

### Programme effectiveness and impact

189. The evaluation will assess the effectiveness of the Programme's outputs, outcomes and foreseeable impact in terms of both technical work and management process, at different levels of aggregation.

190. The effectiveness of the entirety of the Programme, including all Components, will be assessed in relation to common issues identified by the Agreement:

- a. enhancement of inter-disciplinarity and cross-departmental work, including differences and synergies with the IDWG/PAIA existing mechanisms;
- b. strengthening the continuum between normative and field programme;
- c. coordination, collaboration, leverage and multiplier effects with and for other EBF resources;
- d. mainstreaming of gender perspective; and
- e. consideration given to HIV/AIDS wherever pertinent.

191. At country level the evaluation will assess the Programme's effectiveness in relation to its efforts towards co-ordination and harmonisation with extra-budgetary programmes of other donor and cohesive functioning within the United Nations system (UNCTs, CCAs and UNDAFs).

### Effectiveness and impact of selected areas of work

192. The effectiveness of the selected areas of work will be evaluated through the analysis of the quality of outputs, the extent and quality of outcome and of impacts, if any, at central and country level; it will also try to establish potential impacts for those areas of work where this will be appropriate and feasible.

193. At country level, the evaluation will analyse results and potential impact of the selected areas of work by focusing in particular on the following aspects:

- f. relevance to country needs;
- g. extent of national ownership and commitment;
- h. contribution to poverty alleviation;
- i. social, economic and ecological sustainability of activities;
- j. gender perspective;
- k. contribution to alleviation of HIV/AIDS impacts;
- l. extent of capacity building;
- m. synergies developed among Components;
- n. added value of concentration of activities from the recipient's and FAO's point of view;
- o. management aspects of the activities at country level.

### Selection of areas of work for in-depth evaluation

194. The evaluation of the PCA-Norway could not look at all work carried out under the Agreement with the same level of detail, for obvious reasons of resources and relevance. Thus, as mentioned above, the inception phase had among others the aim of identifying what areas of work or Components, the evaluation should analyse in-depth. Criteria identified for the selection of these areas are:

- thematic areas for which the Norwegian funds represent a significant part of the overall resources available;
- thematic areas that look at “emerging issues”;
- areas of work that appear to be particularly innovative and inter-disciplinary in terms of process and/or contents;
- thematic areas recently evaluated, under evaluation, for which an evaluation is planned in the next future (6 to 12 months) and should therefore be excluded.

195. The application of these criteria led to the following picture.

**Figure 14. Components and criteria for selection of areas for in-depth evaluation**

<b>Component/ Criteria</b>	<b>Financial relevance</b>	<b>Emerging issues</b>	<b>Innovative and inter-disciplinary</b>	<b>Evaluation</b>
<i>TCAS, Component, A1.1</i>	X		X	
<i>NRLA, Component, A1.2</i>			X	
<i>NRDC, Component, B1.1</i>		X		X
<i>FIED, Component B1.2 + B2.3</i>				
<i>FOEL, Component B1.3</i>				X
<i>ESTT, Component B1.4</i>	X		X	X
<i>AGNS, Component B2.1</i>	X		X	
<i>AGPS, Component B2.2</i>		X		X
<i>FOEP, Component B2.4</i>	X			
<i>AGNS, Component D1.1</i>	X	X	X	

196. The criteria “evaluation” excludes four components, although of course these would be part of the assessment of the entirety of the Programme for relevance and effectiveness of common issues.

197. The consideration above in relation to Components B1.2/B2.3 in support of FishCode suggest that only a rapid analysis of activities carried out with PCA funds be carried out at HQ level, to ascertain their relevance and coherence with the PCA-Norway objectives.

198. The selected areas for in-depth analysis in the context of the present evaluation will thus be the following:

- Component A1.1-Policy Assistance meets the criteria of financial relevance and inter-disciplinarity;
- Component A1.2-Land tenure meets the criteria of innovative and inter-disciplinary process;
- Component B2.1-Food Safety meets the criteria of financial relevance and inter-disciplinarity;
- Component B2.4-Sustainable Forest Management meets the criteria of financial relevance;
- Component D1.1-Bio-security meets the criteria of financial relevance, of “emerging issues” and of innovativeness and inter-disciplinarity.

*Selection of countries for the in-depth evaluation areas*

199. As per the number of areas for in-depth evaluation, criteria had to be established for the selection of countries for field visits. These are: the number of selected components and their activities, regional representativeness, level of country development, cost and time considerations.

200. In terms of concentration of work, as mentioned above, PCA-Norway activities have been carried out in 70 countries overall, but in only 23 of these, more than three Components were active and in only 13, more than four Components were active. The table bellows illustrates the distribution of activities of selected Components in each of these.

**Figure 3. Selected components and activities in countries<sup>44</sup>**

Country/ component	TCAS, A1.1	NRLA, A1.2	AGNS, B2.1	FOEP, B2.4	AGNS, D1.1	Total activities	Total Components
<i>Lao PDR</i>	3		2	1		6	3
<i>Nicaragua</i>	5		1	1		7	3
<i>India</i>	5		1		2	8	3
<i>Nepal</i>	4		1	1	2	8	4
<i>Malawi</i>	3		1	1	1	6	4
<i>Namibia</i>		3		1	1	5	3
<i>Burkina Faso</i>	5	1	1	1	1	9	5
<i>Uganda</i>		6	2	1	5	14	4
<i>Tanzania</i>		8	3	1	4	16	4
<i>Kenya</i>		13	3	1	4	21	4

201. The table shows a clear concentration of activities of these five components in Uganda, Tanzania, Kenya, Malawi, Burkina Faso, Nepal and India. Latin America has a lower intensity of work, and travel to that region implies substantially higher costs and time. Thus, respecting the four criteria set out, the evaluation should focus its country visits on Kenya or Tanzania, depending on security conditions; Burkina Faso, Nepal and India.

## 1.5 Methodology

202. The evaluation will adopt a consultative approach with stakeholders and triangulation as a key method for validation of information and evidence. A range of tools will be used, including among others: desk review, check lists and semi-structured interviews with key informants and stakeholders, focus groups and direct observation during country visits. If feasible and pertinent, surveys through on-line or emailed short questionnaires will be used to consult with stakeholders around the world.

203. The Sustainable Livelihoods Framework will be used as the reference for assessing contributions to poverty alleviation, gender mainstreaming, social, economic and environmental sustainability, etc. Equally, the Strengths, Weaknesses, Opportunities and Threats framework will be one major analytical tool for assessment of the Programme and selected areas of work.

204. During the Inception phase, information was already gathered and will be shared with the team members in the form of an internal working paper. Objective conveners will make available to PBEE all progress reports, technical documents, normative outputs (websites, manuals, guidelines, etc.), to facilitate the evaluation team's work.

205. Two meetings will be organized with all Objective Conveners and Programme Coordinators, one at the beginning of the evaluation to introduce the programme to the team members, and the second at the end of the evaluation, for presentation of preliminary findings and recommendations.

206. The evaluation team will produce an evaluation report, which will be circulated to stakeholders for comments and suggestions. The final report will be a public document, available on FAO's website, as per the evaluation policy of the organization.

<sup>44</sup> The table includes only the countries where at least three of the five selected Components for in-depth evaluation were active; there are more countries with at least three Components, though non-selected ones.

## **1.6 Resources and Timing**

207. The evaluation will be led by an independent team leader, external to the Organization; he/she will be assisted by a FAO evaluation officer, with the role of Evaluation Manager; the team will include experts in the different areas identified and a research assistant, based in PBEE.

208. The evaluation team will combine among its members the following fields of expertise:
- Policy assistance in the areas of agriculture, forestry, fisheries and land tenure reform to developing countries
  - Food safety
  - Bio-safety
  - Forest management
  - Fisheries international agreements and frameworks
  - FAO financial and administrative management systems
  - Gender and social development
  - Project management and institutional arrangements
  - Evaluation

209. All team members will have at least 15 years of professional experience in their areas of expertise, mainly in the field of ODA and technical cooperation. Detailed ToRs will be prepared for each team member once identified.

210. FAO Evaluation Service will be responsible for the selection and recruitment of the evaluation team members. Suggestions for candidates will be welcome from the donor, the Programme Coordinators and Objective Conveners.

211. The evaluation will take place starting in mid-May, when the team will gather in FAO HQ for meetings with stakeholders for about ten days. After this stock gathering phase, country visits will be carried out over a period three- to four weeks approximately (end of May-mid June). The team will return possibly directly to Rome, or will have a week interruption, before spending another week-ten days in Rome HQ for report writing and presenting its preliminary findings and recommendations to stakeholders. The final draft report will be circulated to all by early-July and finalized by mid-August.

212. FAO Evaluation Service will prepare and agree the budget with the PCA-Norway Programme Coordinators. Budget holder responsibility will be commonly agreed as well.

## **Annex 2**

### **Methodology of the Evaluation**

#### **2.1 *Evaluability assessment***

213. The evaluation of the PCA-Norway 2005-07 started with an evaluability assessment, under the responsibility of a two-person Inception team in FAO Evaluation Service (PBEE). Its main objective was to map the broad areas of work carried out through the Agreement and to prepare the Terms of Reference for the evaluation. It included two main streams of work:

- the comparison of the PCA-Norway financial contribution with resources from FAO Regular Programme Budget and from other donors, assigned to the same Strategic Objectives and areas of work; and
- a consultative process to assess different stakeholders' expectations about the evaluation itself.

214. Close coordination during this process was maintained with the team in PBEE responsible for the currently on-going corporate evaluation of FAO's work on international regulatory instruments (Strategic Objective B1) in consideration of the strong contribution by the PCA-Norway to that area of FAO's work. FAO services responsible for Planning and Budget (PBEP) and for managing FPMIS (TCOM) provided key support to the analysis of financial contribution.

215. The Inception team prepared a check list and consulted with main stakeholders through semi-structured separate interviews with the two Programme coordinators and with all Objective Conveners (OC)<sup>45</sup> and their main staff and consultants involved in the management and implementation of each component. Information gathered during the interviews, combined with written information provided by each OC, allowed the Inception team to list the main thematic areas and activities implemented and their geographical location, share of budgets delivered at Headquarters, Regional, Sub-regional and country level, strengths and weaknesses of the programme, suggestions for evaluation questions. Two meetings were also organized with Norwegian representatives to discuss their expectations in the evaluation process.

216. The analysis of the financial contribution was a multi-step process. The element chosen to compare financial contributions from different sources was the Programme Entity (PE), as defined and financed in the Programme of Work and Budget (PWB) of the Organization. All RPB resources are allocated through PE and all EBF initiatives should be linked to one or more PE. Each PE contributes to one or more Strategic Objectives (SOs), in different percentages.

217. All OCs provided the Inception team the list of Programme Entities supported through the PCA-Norway. Since the PCA-Norway funds were made available to OCs only in the second quarter of 2006, the analysis compared Norwegian funds only with RPB and EBF in the biennium 2006-07. Within the Regular Budget, the Revised PWB 2006/07 and its Net Appropriation to each SO were used as reference. EBF funds were identified through FPMIS, and total budget figures were pro-rated for the biennium on a semester basis, based on a theoretical even distribution over time<sup>46</sup>.

218. The Programme Agreement was based on the assumption that the identified priority thematic areas contributed to four SOs of FAO, namely A1, B1, B2 and D1. If this held true, PCA Norway funds would have represented on average additional 15%<sup>47</sup> of the resources made available through the RPB to these four Strategic Objectives. However, only 57% of the PEs listed by OCs contributed to these four Strategic Objectives. Indeed, the Revised PWB 06/07 database showed that the PEs supported by the Agreement contributed to all SOs, in different proportion. The clearest example relates to SO D1 and work on bio-security: the Agreement allocated 20% of the resources to SO D1

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45 The responsible officers and Budget Holders for the eleven programme components

46 Although actual delivery figures could have been used, the Team considered that other factors affected so much identification of EBF resources that further detail would not add any value and validity to the exercise.

47 More specifically, 11% to A1, 12% to B1, 21% to B2 and 19% to D1.

(Conserving and enhancing sustainable use of the natural resource base) and stated that this contribution would be through the work on bio-safety. However, the PWB 06/07 stated that the PEs for bio-safety contributed to five SOs, and none of these was D1.

219. On the other hand, other PEs supported by other PCA-Norway Components contributed to Strategic Objectives D1, namely those linked to Components B1.1, B1.2, B2.3, B2.2 and B2.4 of the Agreement. These PEs contribute to D1 by about 9%. Figure 2 in Annex 1 shows the “desired” allocation of PCA-Norway funds to the different S.O., and how the PEs supported through the PCA-Norway “contributed” to each S.O. according to the PWB 06/07.

220. The same analysis was applied to compare PCA-Norway contribution with other EBF resources, linked to the same PEs, through FPMIS. However, two major factors affected the reliability of this part of the analysis.

221. First of all, the Inception Team noted that in a good number of cases, the attribution of EBF initiatives to PE was not accurate. This could be due to the scarce acquaintance with the system when it was introduced in 2000, and possibly to a generalised low attention given at corporate level to this specific system of reporting. This prevents building a reliable picture of the actual support provided through these resources to the Organization’s Medium Term Plans and Strategic Objectives.

222. Furthermore, over the biennia the definitions and the level of aggregation and/or disaggregation of PEs changed quite substantially: this made impossible in a number of cases, the “tracking” of PE-S.Os links for multi-annual projects. This applies in particular to multi-year projects that started in 2000/01 and were still operational in 2006/07; surprisingly, some projects that started later were nevertheless still linked to 2000/01 PEs.

223. This meant that the analysis included the pro-rated budget for the biennium 06/07, of EBF and TCP projects that FPMIS showed as linked to the PEs indicated by the OC (total number was 347). In order to capture multi-year projects, all PEs since 2000 were looked at and “tracked” up to the 06/07 PEs supported by the PCA-Norway, and relevant projects were included in the list. Only a few projects were discarded, on the basis of a clearly “wrong” link to PE, although the team could not assess the correctness of every single attribution. Pro-rated budget were then summed up per PE and compared with Norway-PCA funds to the same PEs. With this level of uncertainty, the team decided that the next logical step - EBF to Strategic Objectives – could not be done, since it would only magnify distortions.

224. In conclusion, it was possible to compare PCA-Norway and RPB resources assigned to the same areas of work, but the comparison of PCA-Norway with contributions from other EBF resources requires great caution in interpretation and should be taken only as a tentative indication of magnitude and trend of resources available to FAO for those “specific” areas of work.

225. Results of the analysis are in Figure 1 of Annex 1, which shows the delivery of PCA-Norway at HQ and country level, the Regular Budget and the EBF resources allocated to each PE supported through the PCA-Norway component, and the relative contribution of the PCA-Norway to each and both.

## **2.2 Methodology of the Evaluation**

226. With basis on the results of the evaluability assessment, the Inception team drafted the Terms of Reference for the evaluation, which were circulated to all stakeholders for comments and suggestions. Additional documents, including back-to-office reports, technical papers, lists of participants to workshops, and the like, were requested to and provided by all OCs.

227. A team of evaluators was recruited, to meet the identified discipline requirements (see Annex 11 for profiles). The Inception team set-up the meetings schedule for the evaluation team members in FAO HQ and in each country to be visited. A number of outputs were also produced for the team:

- a CD-Rom containing all documents and papers provided by OCs, organized by Component;
- detailed ToRs for each evaluation team member;

- detailed check-list of evaluation questions, extracted from the ToRs and completed with additional emerging issues about the evaluation;
- an internal note for the team, reporting on additional information that had not been included in the ToRs; and
- a draft outline for the evaluation report.

228. The Evaluation team was provided a copy of the United Nations Evaluation Group(UNEG) norms and standards; the Evaluation Service document establishing roles and responsibilities of evaluation team leaders and evaluation managers, was also shared with the team leader.

229. Upon assembling of the team in FAO HQ, a briefing session was organized, to discuss individual ToRs, evaluation questions and methodology and plan of work. The Inception team handed over the responsibility of leading the team to the Evaluation team leader. FAO Evaluation Policy establishes that the contents and substantive aspects of an evaluation report are responsibility of the team leader, whereas the evaluation manager has to ensure that the evaluation process progresses according to the ToRs and that respects quality standards. The Evaluation team adopted a highly consultative approach among its members, along the whole process.

230. The Evaluation methodology included:

- desk review of documents and reports;
- one briefing session with the PCA-Norway IDWG;
- interviews (group and individual) with IDWG Co-coordinators;
- group and individual interviews with OCs and their staff and with other stakeholders in FAO HQ;
- meetings with Norwegian representatives;
- four country visits: the team leader, the food safety and quality and biosecurity expert, the forestry expert and the evaluation manager travelled together to Burkina Faso and Kenya; the team leader and the evaluation manager travelled to Nepal; the food safety and quality and biosecurity expert and the evaluation manager travelled to India;
- the assessment of fisheries and of administration and finance did not include any country visit; other team members assessed these issues at country level wherever relevant, as well as in Nepal for forestry and food safety/biosecurity activities;
- in country, semi-structured meetings and interviews were organized with the FAO Representative and Assistants, both Programme and Administration; in-country coordinators of PCA-Norway activities, representatives of government, donor and partner institutions; wherever possible (Burkina Faso and Kenya), the team met with programme beneficiaries at community level;
- one debriefing with the PCA-Norway IDWG and the donor, to present preliminary findings, conclusions and recommendations; and
- circulation of the final draft report for comments and suggestions.

231. The Evaluation adopted a consultative approach with stakeholders and triangulation as a key method for validation of information and evidence. The Sustainable Livelihoods Framework was used for assessing contributions to PCA-Norway main criteria, i.e. poverty alleviation, gender mainstreaming, social, economic and environmental sustainability, etc. Equally, the Strengths, Weaknesses, Opportunities and Threats (SWOT) framework was a major analytical tool for assessment of the Programme. A complete list of institutions and organizations met is to be found in Annex 10.



## **Annex 3**

### **PCA-Norway Institutional, Management and Operational aspects**

#### **3.1 Background**

232. The “Framework Agreement on cooperation in the field of development between the Government of Norway and FAO of the UN” signed in 2003 deals with extra-budgetary contributions to FAO from the Norwegian Ministry of Foreign Affairs and governs any support to FAO, be this through supplementary activities to FAO Regular Programme, activities funded only by Norway and activities funded through multi-donor partnerships. The PCA-Norway 2005-07 falls within the second group.

233. The Agreement sets a very clear context, by defining overall objectives and principles of the partnership and clarifies that Programme Cooperation Agreements “normally covering two years” will “set out areas to be financed”. The Evaluation considers that the Agreement is a flexible and praiseworthy tool that could inspire other similar agreements between FAO and its partners.

234. The present annex describes in detail aspects related to the management and operation of the PCA-Norway 2005-07. Wherever possible reference was made to other parts of the report and of its annexes to avoid duplications and repetitions.

#### **3.2 The institutional context of the FAO-Norway PCA**

235. For administrative purposes, all FAO Extra Budgetary Funds (EBF) are “projects” that belong to the Trust Fund family, defined by objectives, duration, budget and responsibilities within the Organization. In terms of scope, thrust and complexity, initiatives like the PCA-Norway and FNPP<sup>48</sup> among others, are “programmes”: they define overall objectives and criteria for identification of projects and/or multi-sectoral activities, they may cover different technical areas of FAO’s work, they are in support of the global mandate of FAO and of its action at country level. In other words, they are more complex and articulate than the average FAO project.

236. In strictly administrative terms, these programmes operate as projects even if they would require a wider span of operational functionalities to allow dealing with their higher level of complexity. However, FAO does not have a standard operational package for Programme management as it has for projects: this “absence” entails limitations in terms of transparency, transaction costs, technical and financial monitoring and reporting<sup>49</sup>.

237. PCA-Norway was no exception: it was at the same time a Global Normative Trust Fund Project and an “operational project”, in that it aimed clearly at supporting FAO Regular Programme while also focusing at country level. This double level and aim of intervention gave visibility to some deeply-set institutional dichotomies in FAO.

238. On the one hand, the PCA-Norway provided financial resources to be managed through the EBF/project environment, to carry out work usually managed through the Regular Programme Budget (RPB) environment. This made the PCA-Norway a very precious and unique resource for its flexibility and promptness of action/reaction, otherwise almost impossible. In fact, in a number of cases a response was provided to emerging and sometimes “emergency” issues from within the Regular Programme in terms of knowledge, skills and competences, which neither the RPB nor FAO Emergency Operations seem to be able to offer. The former due to rules and regulations, the latter

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48 FNPP: FAO-Netherlands Partnership Agreement;

49 The Evaluation notes that the lack of a “Programme management standard modality” forces the Organization to negotiate on an ad-hoc basis with donors interested in this model of partnership. No doubt, this is cause for inconsistencies and high transaction costs.

because FAO emergency operations are targeted at major events and are not mainstreamed in the technical work of the Organization.<sup>50</sup>

239. Another positive opportunity offered by the close mainstreaming of EBF resources within the RPB was the availability of financial resources to focus on inter-disciplinary and cross-departmental work, for innovative work related to and cross-cutting several Programme Entities (PEs) belonging to different units. Due to the declining resources of the RPB, units in FAO tended to be very defensive of funds allocated through respective PEs. PCA-Norway resources have allowed “oiling” the wheels of inter-sectoral mechanisms similar to the PAIA: Component D1.1 worked through the PAIA for Biosecurity; Components A1.2 and B2.1 set up informal PAIAs on resource tenure and food safety respectively. This seems to be good evidence that inter-sectoral work in FAO can exist, as long as there are resources available.

240. On the other hand, the mainstreaming of resources into the RP implied that action at country level followed methods and approaches typical of the RPB, different from more traditional EBF type of work (e.g. field projects). This applied in particular: to the location of decision making and management and of ownership, which are fully HQ-based in the case of the RP; to the conceptual under-pinning of most RP work, more abstract, theoretical and unrelated to country-specific needs; to the relations with the FAO Representations, usually perceived as post-office boxes; and to the type of delivery tools used. This had clear consequences on the development of synergies and collaboration at country level across components, and on the level of ownership developed at country level for the work carried out.

### **3.3 PCA-Norway and Results Based Management**

241. The FAO-Norway PCA 2005-07 defined objectives, outcomes and indicators for the funds provided. Among other criteria, the Agreement had a strong thrust on results (outcomes) and impact and on the framing of activities within a clearly defined RBM system. Therefore, the Evaluation analysed the Agreement in a RBM/Logical Framework (LF) perspective. Two major considerations stemmed out of this.

242. Overall, the formulation of the Logical Framework in the Agreement was rather poor: the definition of activities, outputs and expected outcomes was often inappropriate, the links between these were vague, targets were rarely set and indicators were often not measurable. This seems to be more a corporate problem than of PCA-Norway<sup>51</sup>, insofar not enough attention is given in FAO to the appropriate use of the LF and to define good quality, relevant indicators for any of its programmes. Therefore, this weakness affected the PCA-Norway as much as it affects most projects and the overall corporate RBM system.

243. The second observation is a close consequence of the point above. PCA-Norway Objective Conveners assumed that the PCA-Norway were additional funds for their respective Programme Entities. Therefore, OCs saw no need to plan the use of these funds in a project or LF format, since the RP structure itself would be enough to define the coherence, relevance, results and impact of their work. This is unfortunately not always the case: objectives and results are often very vague and general and the links between activities, outputs, PE and Strategic Objectives are often rather blurred, as it was pointed out in previous evaluations, the IEE in particular.

244. In other words, the fact that PCA-Norway work was mainstreamed into FAO’s RP structure exposed it to the same weaknesses of the RP, in particular the clarity of definition of the different levels of the LF and the links between these. The absence of solid Logical Frameworks within the PCA-Norway led to a multitude of activities rather dispersed in particular within some components, and surely very dispersed across components.

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50 In some cases the TCP was used for similar purposes, for want of more suitable tools, since it does not allow the same flexibility in terms of timeliness and type of support provided.

51 This is no news to FAO Evaluation Service: poorly designed project logical frameworks and low quality of indicators are among the most common criticisms in FAO project evaluations.

245. These weaknesses have clearly affected the performance of the PCA-Norway in different ways:

- activities and outputs contributed to a good extent, but far from fully, to the overall criteria and objectives of the Agreement;
- the quality of reports for the PCA-Norway is short of expectations, as it is mainly a list of activities and outputs;
- in spite of requests by the donor to focus on “wide FAO outcomes”, no effort was made over time by Objective Conveners to frame activities and outputs more coherently in this sense, because they had no tools and incentives to do so.

***Suggestion 1.***

*The weaknesses of FAO RBM system affected the clarity and the visibility of the links between activities implemented with PCA-Norway funds, expected outcomes and impact. In line with IEE recommendation 7.1, the Organization should make an effort in terms of design of an improved RBM system and of capacity building in its use.*

***Suggestion 2.***

*Logical Frameworks are management tools that help in steering activities and outputs towards intended results and impact. The widely shared perception in FAO that it is a binding instrument should be challenged with appropriate in-service training on practical programmes and projects, where it can be used as a flexible monitoring tool. A wide adoption of an LF approach in FAO would be highly desirable, in particular on cross-sectoral programmes that risk otherwise getting dispersed over too many less-than-relevant and less-than-useful activities.*

246. Last, the Evaluation notes that none of the projects funded by PCA-Norway (project code FNOP) is related to any Programme Entity: this means that the PCA-Norway contribution to FAO does not accrue “on paper” to any of the Strategic Objectives of the Organization and therefore “fails” to feed into the existing RBM structure.

### **3.4 PCA-Norway structure**

247. The negotiation process between Norway and FAO in 2005 led to the set-up of an Inter-IDWG with representatives from different technical departments. Although in the initial phase each Assistant Director General (ADG) appointed a departmental representative in the IDWG, this remained a “non-formal” group composed of a variable number of members, rather mobile and fluid in membership following the natural turn-over of staff and shift of technical responsibilities within the Organization.

248. The PCA-Norway did not specify what structure FAO should put in place for the management of the programme. The only request was that a Coordinator should be appointed, to act as focal point with the donor: the coordination role was given initially to TCAS, the policy unit in the Technical Department, as a member of the IDWG.

249. After a short time, the present Co-coordination model emerged as the most functional set-up: the Programme Coordinator of the Fisheries Department and the Director of Forest Economics and Policy Division became the de-facto leaders of the IDWG, assumed the role of Co-coordinators and of focal point for communication with the donor in relation to the PCA-Norway.

250. The PCA was structured in eleven Components<sup>52</sup> and resources were attributed by opening a series of separate independent projects, each with one “FNOP/GLO” code<sup>53</sup>. This represented a transfer of full ownership, accountability and financial responsibility over to IDWG members: each was attributed the BH responsibility for his/her Component. BHs were also given normally the

52 See Chapter 3 in the main report

53 As different from usual Trust Fund projects which are given the well-known GCP code.

responsibility of implementation of the respective Component, although in some cases the latter was given to staff members, called Objective Conveners (OCs).

251. Exceptions in allocation of funds were: the two components in support of the Fisheries Department were both attributed to one staff member with both roles of BH and OC; Components B2.1 and D1.1 which in 2007 had only one Budget Holder and two Conveners due to staff movements.

252. TCAP, the FAO unit responsible for liaison with donors, exercised its statutory role, during the negotiation and approval process of the PCA-Norway. The unit maintained its corporate supporting role in the IDWG during implementation.

253. AFF, FAO Finance Division, was also a member of the IDWG: its representative played a support role in connection with the insertion of the FNOP projects in ORACLE, with the availability and distribution of financial resources and with the necessary budget adjustments.

### **3.5 Implementation modalities**

254. The breadth of scope and range of action of the PCA required a range of implementation modalities. Each Component used different implementation approaches, sometimes even within the same stream of work, to produce different outputs and achieve results at different levels. The complementary nature of most of PCA-Norway funded work to FAO's RP and EB-funded work also is very clear.

255. The Evaluation classified these in four different Implementation Modalities, based on location of activities, type of output and level of intended outcomes and impact. Characteristics of participating countries and role of PCA-Norway funds was also described for each. It is worth noting that Implementation Modalities B and D could play a key role in closing the loop between the normative role of the Organization at the global level and its role of technical assistance and facilitator at sub/regional and country level.

#### **3.5.1 Implementation Modality A**

256. This included work at and for the global level, involving directly and indirectly FAO Member Countries: examples were the Interlaken Conference on Animal Genetic Resources (B1.1/NRDC); elaboration of the Multi-Year Plan of Work (MYPoW) on Animal Genetic Resources (B2.2/AGAP); support to the Regional Forest Commissions (B1.3/FOEL), etc. In this group, no discrimination could be made of participating countries, although funds were used to facilitate the attendance of and support capacity building in Low Income Countries (LICs).

257. Activities under this Implementation Modality were relevant for most FAO Member Countries in different ways, although their effectiveness at national level depended largely on each country's capacity. Having been funded almost exclusively by PCA-Norway, these events and activities would not have happened otherwise in the current time-frame.

#### **3.5.2 Implementation Modality B**

258. This included work at sub/regional level to implement FAO RP, often through workshops with participants from countries concerned. Examples come from different components: B2.2/AGAP, training on DAD-IS; B2.4/FOEP on illegal logging and forest-fire control; D1.1/AGNS on capacity building in Bio-security; B1.2-B2.3/FishCode for the implementation of the Code of Conduct for Responsible Fisheries. In this group, countries' participation depended on the specific topic and on the willingness of countries to attend and included both LIC as others.

259. Activities under this Modality allowed FAO to reach out to countries, bringing its knowledge and normative outputs closer to Member Countries. In this case, activities would have advanced at a much slower rate without PCA-Norway funds, exception made probably for what was implemented under the FishCode umbrella.

### 3.5.3 *Implementation Modality C*

260. This modality comprises work at country level to be used for FAO normative/global outputs, consisting mostly of case-studies preparation and resource assessments. Examples come among others from A1.2/NRLA on Legal Empowerment of the Poor, A1.2/FOEP on Forest Tenure Assessment and B2.1/AGNS on Good Agricultural Practices. In this group, countries were mostly LIC, but not exclusively.

261. Activities under this Modality allowed FAO to prepare new normative outputs based on recent and specific country-level evidence. Also in this case, activities would have advanced at a much slower rate without PCA-Norway funds.

### 3.5.4 *Implementation Modality D*

262. This included work at country level to implement country-focused activities, including policy work (A1.1/TCAS; B2.4/FOEP for mainstreaming forestry issues in PRSPs; A1.2/FIEP, with the Regional Plan of Action for Lake Victoria, D1.1/AGNS on plant quarantine in India), community level work (A1.2/FIEP on Beach Management Units; B2.2/AGPS on Pollinators; B2.4/FOEP for Community Forestry; B2.1/AGNS on Agricultural Workers' Health; B2.3/Fish-Code, on post-harvest fish processing), capacity building, information-sharing, awareness raising and stakeholders' workshops (A1.2/NRLA on Legal Empowerment of the Poor; B1.4/ESST on Right to Food). Virtually all countries participating in these activities were LIC, with very few exceptions.

263. This work was often directly complementary to other donor- or multi-donor-funded initiatives, such as the FNPP, the Forest National Programme Facility, the GEF, the German-funded programme on Right to Food. Looser links existed with TCP and possibly with other GCP initiatives.

264. For this group, the role of PCA-Norway funds varied greatly, ranging from critical to incremental, depending on the availability and relative contributions from other EBF resources.

## 3.6 *The management of the PCA Norway*

265. The Evaluation could not assess the precise extent of cross-departmental participation in the preparation of the PCA-Norway and in the allocation of financial resources. All FAO technical departments were represented in the IDWG and neither complaints nor criticisms were raised about the process that led to the signature of the 2005-2007 PCA.

266. Apparently, the recent re-formulation process for the PCA extension to 2008-09 was not as participatory and open a process as some members would have desired and required. The Evaluation appreciates that due to the existing plans of an in-depth revision of the PCA in early 2009, it may have been a rational management decision to choose a short-cut approach. Nevertheless, this also suggests that "time" under the current management structure is becoming the scarcest resource available and that more rational and transparent decision-making mechanisms should be put in place within the IDWG.

267. Equally, the Evaluation had no evidence that during the first PCA-Norway negotiation and preparation process, consultations took place with FAO decentralized offices, be these regional, sub-regional or country level. This was due most probably to two main factors: first, the absence in FAO of region-based programmes or Programme Entities within the RP, making it impossible for a normative-oriented programme like the PCA-Norway to provide direct support to the regions and the countries; second, the HQ-centred culture of FAO RP, mentioned above and in previous evaluations.

268. Allocation of financial resources was understandably the object of dynamic discussions, but the process did not produce quantifiable delays. In a purely managerial perspective, the decision on how to operate is based on best result and minimum effort. Decisions made by the IDWG for the management of the PCA-Norway 2005-07 fully responded to these requirements. The approach taken, opening a series of "parent projects" under ownership of BH/OCs was no doubt an effective pragmatic solution in the absence of a full time coordination unit.

269. On the other hand, one major result of channelling the PCA funds to each BH/OC was the dilution of accountability all over the structure and the disappearance of a clear hierarchical line

between Co-coordinators and BH/OCs, thus making it difficult to exercise financial and technical monitoring. The Co-Coordiators were left only with the power of moral suasion, as there was no written statement about respective functions, responsibilities and lines of accountability for the Coordinators, the IDWG, the BH or OCs. Fortunately, a good spirit of collaboration developed through a system of decision by consensus and no major dispersion occurred.

270. The coordination style of the IDWG was highly appreciated and has proved to be a rational approach so far. It has avoided duplication of structures and heavy bureaucratic procedures.

Coordination tasks included, among others:

- active liaison with the donor;
- leading role over the interpretation of the donor's strategies and priorities;
- definition of general criteria for activities implementation;
- catalyzing general consensus on attribution of OC and BH responsibilities;
- general monitoring and support over the performance of projects operation;
- interim reporting to the donor on the financial delivery of all Components.

271. The Co-coordinators also devoted some efforts to ensure that a more coherent approach be taken by PCA-Norway OCs and to fostering cross-departmental and inter-disciplinary focus. Success was mixed and achievements on this front were mostly attained outside the departments of the Coordinators. Indeed, the location of the coordination of such a complex and multi-sectoral programme in specific technical departments could raise issues of transparency of management and of fairness of treatment.

272. The Coordination has played a definite role in energizing the IDWG work and in generating enthusiasm; the spontaneous genesis of the Norway-PCA management structure yielded very good results, and can be regarded as a commendable initiative. The flexibility, enthusiasm and personal commitment infused in the coordination role were vital ingredients in the management process of the PCA-Norway. However, it is also widely acknowledged that the coordination role is a time-absorbing task that cannot be maintained in the medium to long run by any officer, and definitely not a senior one, as a permanent additional task as a long-term additional task to their usual work-load.

273. Furthermore, although no problems occurred in the sense of accountability and transparency of management, the current arrangement was not the best to ensure focus and coherence with the PCA criteria, in developing cross-sectoral and cross-component synergies and collaboration at HQ and country level, in monitoring relevance and effectiveness of activities.

274. The dual nature of the PCA-Norway required that the Evaluation assessed managerial aspects not only at HQ, but also at country level. The regional level was not included in the assessment, due to the lack of focus in the Agreement on this level.

275. The PCA-Norway was managed and implemented almost completely by HQ Units. The Evaluation identified two exceptions of decentralization in implementation: work in Nepal under Component A1.1/TCAs, delegated to FAO Policy Unit in the Regional Office for Asia and the Pacific (RAP) and Component B1.3/FOEL, wherein FAO Regional Offices played a key role as they are the Secretariats of the Regional Forestry Commissions.

276. In terms of consultation at national level in the phase of identification and planning of activities, it appears that only A1.1/TCAS, A1.2/FIEP and D1.1/AGNS in India consulted adequately with Governments to ensure their interest and involvement. The Evaluation found that in the countries visited most activities were relevant to country needs in general, and would contribute to poverty alleviation to different extent. Nevertheless, the lack of governmental involvement in the identification phase of activities entailed that spreading of outputs beyond participants in workshops or in field level work was very limited, if any at all, and that virtually no ownership was developed at national level for the work done. This clearly undermined the potential for results, impact and sustainability of activities carried out. A typical example was the production of national case-studies, which were not even promoted and diffused in the country or in FAO's decentralized offices.

277. Consultation with FAO Country Offices on what were priority areas for intervention seems to have been even more limited: if A1.1/TCAS was quite systematic and B2.1/AGNS seems to have

followed a similar approach, for other components the Evaluation found very little evidence of any form of previous consultation with the Representatives or their Assistants and of information shared with these about work on-going or completed.

278. This affected results and sustainability for several reasons. The PCA-Norway wanted to be a bridge between normative role and country level role of FAO and it wanted “to make a difference in a relatively limited number of low-income countries”. The non involvement of the FAO country offices prevented follow-up and potential development of synergies with other projects, including emergency interventions: this may result eventually in waste of resources and risk duplication of activities.

279. Furthermore, increasingly more FAOR are preparing National Medium Term Planning Frameworks (NMTPF), which set the priority areas for FAO’s initiatives in any given country for a five-year term. NMTPF have to be harmonized with UNDAF and meet relevant national policies, are revised by FAO HQ and Regional/Sub-regional Offices and have to be endorsed by the national governments. Once they are approved, all actions by FAO in that country should be coherent and contribute to any of the identified objectives. Thus, if HQ launches activities in any of these countries without adequate consultation with the FAOR, not only does it run the risk of devoting efforts to something which is not priority for the country, but it also contributes to a loss of image for the Organization as a whole.

280. The “invisibility” at country level due to low or absence of consultation was further exacerbated by the absence of “visible” project funds reaching the country<sup>54</sup>. Virtually all PCA-Norway Budget Holders used Field Disbursement Requests (FDRs) or Field Budget Authorizations (FBAs) to finance activities at country level. In a few cases, Letters of Agreement were drafted and signed with executing organizations, but most of these were negotiated directly by HQ without involving the FAOR.

281. The Evaluation concluded that the approach and the tools selected by most Objective Conveners for implementation of the PCA-Norway were short of being conducive to “making a difference”, since this would have meant in most cases, developing synergies across components and with other on-going or planned initiatives at country level. The PCA-Norway did not manage yet to change the HQ-centred culture of the Organization, wherein countries are not perceived as the primary users of its normative products.

282. The Evaluation is fully aware that for most HQ units putting country priorities first in their normative work requires a radical change of perspective and understands it may require time and adjustment. However, this was one of the PCA-Norway’s objectives and the OCs have failed in general in meeting this requirement.

283. The Evaluation also acknowledges that transaction costs associated with consultation, coordination and collaboration can be rather high, especially in some countries. The time-frames set out by the PCA and the focus on delivery may have indeed played against a more constructive approach at country level. Staff and non-staff resources should be made available and work should be planned within time-frames that allow such processes and ownership by key stakeholders to be developed adequately.

### *Recommendation 1*

**In future PCA-Norway should test new approaches for FAO normative work, to make it more relevant and effective at country level. FAO Representations and governments should be involved in planning to ensure national relevance, encourage collaboration and develop synergies. Where possible activities should form part of the National Medium Term Priority Frameworks (NMTPF). Adequate exit strategies need to be prepared to ensure sustainability.**

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54 See Appendix 1

### *Recommendation 2*

**Field Disbursement Requests (FDRs) or Field Budget Authorizations (FBAs) should be used only in the case of one-off, isolated activity or minimal materiality. In countries where more complex initiatives are planned, a country-level Baby Project should be opened, through which the FAOR will receive and manage all PCA-Norway funds for that country, on the basis of detailed six-months or yearly plans of action.**

## **3.7 Programme delivery and financial resources**

### *3.7.1 Delivery of the Programme*

284. The PCA-Norway 2005-07 was signed in early December 2005. FAO, however, did not enter in immediate possession of the funds required to run the global PCA Programme, as the donor's contribution was divided in two allotments (2005, 2006), eventually followed by an additional contribution for 2008. The life of the Programme at the moment of signature was two years and due to delays, it became 22 months. Overall, the time-span was too short to allow identifying and planning carefully activities that would have met best the PCA criteria and to encourage cross-sectoral work.

285. Although the IDWG/Coordination decided to proceed to immediate distribution of resources as soon as an agreement was reached on BH/OC responsibilities, funds reached the BH only around May 2006: this was due mostly to delays within FAO to make funds available to each project budget. The Evaluation verified that all components suffered from the late disbursement of funds in 2006 and in 2007, from the pressure to deliver by the end of each year and in general, from the short time span of the Programme. These compounded problems added to the inherent risk that the Regular Programme Budget could be used on temporary basis to maintain activities running.

286. The subsequent postponing of programme closing dates from September 2007 to March 2008 allowed some work to be completed, but increased the number of "final" reports.

287. Components that worked more at the cross-departmental level and on innovative areas were slower in delivery than components that used PCA-Norway funds to carry out activities fully embedded in areas of the RP that had suffered heavy cuts in budget. This means that some "fast" components had to wait for slower ones to disburse, and this created additional pressure. There is good evidence that this resulted in dispersion of activities, lack of strategic vision and poor coherence in funded activities. This suggests that a more timely, dynamic and flexible allocation of resources across components may be necessary to ensure smoother implementation of activities. One alternative would be to "go back" to completely independent trust-fund projects, each managed separately: this would lose the advantage provided by a master programme structure in terms of transaction costs, coherence of criteria, incentives to cross-sectoral work, etc. Therefore, the Evaluation considers that the set-up of a centralized "pot of funds" would be the most appropriate solution that would allow a rational "component-tailored" disbursement and delivery rate.

288. The management and operation of PCA-Norway incurred in the same obstacles that any programme/project manager faces daily in FAO. Project management requires support in project operation technology: this is hardly available in FAO HQ, where assistance is fragmented and limited to very specific areas. The dismantling over time of the administrative support structures removed the cluster of technology and experience (Operation, Budget, Human Resources, Finance, and Reporting) required for operating in a programme or project environment<sup>55</sup>.

289. As an interim solution to the problem, virtually all BHs/OCs adopted informal counter-measures by delegating budget/admin/operation/finance tasks to selected, but not adequately trained support staff. Inevitably, the quality of the work produced under these informal arrangements was uneven, as confirmed by the different financial reports drawn by the Evaluation on the financial status of the PCA-Norway Components<sup>56</sup>.

55 This was pointed out in the IEE Report, page 956 and Recommendation 8 b) page 1356.

56 See Appendix 2 for a list of problems encountered and suggestions for solutions.



**Suggestion 3.**

*FAO should introduce integrated training on administration, HR, Financial management, Reporting, Monitoring, etc. At the same time, the Organization should launch a support service on programme/project management with its various aspects linked together.*

290. As mentioned above, all Components in the PCA-Norway adopted FDRs and FBAs as financial tools to implement activities at country level. These are corporate tools for delivery at country level of short, well-contained activities, usually field payments; transactions through FDRs and FBAs do not appear in Oracle DataWareHouse. This has a number of negative consequences:

- Administrative Offices in FAO Representations are obliged to keep parallel/shadow accounting, adding to their work-load; the Evaluation noted in the visited countries that FAORs did not have the full picture of funds allocated and disbursed through them for any PCA-Norway component.
- FDRs and related activities can arrive at any moment, without consideration for the workload of the office; there were also cases of partial and contradictory instructions being provided to FAOR and users of FDR funds, creating tensions and conflicts at local level between the FAO Representation and partners.
- Administrative and Operational Support (AOS) are not available to FAO Representation when FDRs and FBAs are used: this means that the country offices work for free for the Programme. The Organization decided in 2006 to raise share of AOS for the Budget Holders at decentralized level to 50% from 19%, because it was recognised that otherwise, project management costs in the place of implementation could not be met by the decentralized offices. It should be noted that the use of tools that make AOS available to FAO Representations is no additional drawing on project resources, since AOS are part of FAO's 13% overheads.

291. Manual reports were maintained, particularly by OCs support structure, in order to monitor field expenditure vs. authorizations given. The reports followed up on the sequence of FDRs issued and indicated approximate value of expenditure. The costly efforts to maintain these reports are commendable; their requirement reflects the absence of a functionality covering this area, yet improvements here are possible with minimum investment, thanks to the use of "incremental FBAs" (see Appendix) and structuring a report on an existing data base (Field Accounting System-FAS). A major investment would be the introduction of a downstream functionality, which would appear like a "baby-to-the-baby" project. This would permit monitoring the whole chain, from Master to Field Project.

**Suggestion 4.**

*A simple, ready-to-hand report should be made available to BH with Field Components managed by FDR/FBAs, in order to intercept FAS/ORACLE data and provide information on disbursements by Field Station against single ORACLE codes.<sup>57</sup>*

292. In conclusion, the choice of these financial delivery tools was contrary to the corporate policy to grant compensation of work where it is actually being carried out; it did not allow proper financial monitoring of the PCA; it created additional and unpaid work for country offices; and it prevented potential support and collaboration by the country offices.

293. The Evaluation considers this to be one of the contributing factors to the low effectiveness of the Programme at country level: it stemmed partly from the lack of acquaintance with corporate

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<sup>57</sup> FAS: Field Accounting System; ORACLE: FAO main computer system.

financial procedures, partly from the “fight” over limited resources such as AOS and partly by the lack of more stringent culture of accountability in delivery.

### 3.7.2 *Cost analysis, monitoring and reporting*

294. The Evaluation’s assessment showed that the PCA-Norway operational costs were low in consideration of the complexity of the operation and in comparison with similar types of projects. It must be recognized, however, that a certain amount of activities was carried out at cost-zero to the PCA-Norway (staff time, use of facilities, etc). Allowance must also be given to the cost of manual follow-up systems needed to monitor expenditure (hidden charges, field expenditure, etc.).

295. On the full positive side, the IDWG approach ranks high in producing maximum effectiveness at lowest cost on all cross-departmental and inter-disciplinary activities. The consensus system materialized in relatively prompt and swift action in running the PCA-Norway.

296. The absence of a standard programme/project monitoring system in the Organization does not permit a cross-link between technical resources and financial data. The underpinning approach to monitoring in FAO based on the statement “a project with a high delivery is a good project” is clearly inappropriate and non-scientific and it does not permit any cost-effectiveness analysis. Equally, the lack of a monitoring structure for technical activities places a burden over financial systems imposing unnecessary fragmentations: reporting becomes functional to allotments, rather than to outputs or outcomes.

297. Notwithstanding limitations, it was possible to extrapolate data from the Field Programme Management Information System (FPMIS) and from the PCA Coordination delivery-monitoring tables. The analysis showed that the allocation of funds reflected the allocation set forth in the Agreement through the chain of projects that was set up; the system ensured an adequate repartition of resources and avoided excessive fragmentation at the Component level.

298. In addition, the comparative analysis of expenditure by components<sup>58</sup> showed a rather diversified use of funds across the different categories of expenditure; this was confirmed by the information available on the different types of activities and modalities of implementation (see Appendix 3):

- a. sensitive areas like “Professional Salaries” show an average 14.1%, ranking from 34.8% to 2.0%; these differences may depend on the nature of the project, although the Evaluation gathered evidence that different Components interpreted differently unwritten rules on the use of funds: there is a need for clear-cut operational guidelines in this respect;
- b. expenditures on “Consultants” averaged 16.6% with a peak of 50.3% in one case, due to the recruitment of long-term consultants in a division where RPB cuts had affected heavily staff resources (case of FOEP);
- c. expenditures for “Contracts” were on average 22.2%, but ranged from 41.3% to 7.70 in another case; this was clearly a factor of the type of work carried out, whether directly by FAO staff or by contracted institutions;
- d. “Travel” as well reflected the type of work, ranging from about 10% to 23%: the highest percentages were reached in the case of staff travel and attendance to global events of government and non government officers from low income Member Countries;
- e. “Chargeback” was on average an acceptable 1.3%, with one peak case (4.3%); reasons for this may required some adjustment in the specific case as well as in the general set-up.

299. The Evaluation considers that in this respect, as already partly mentioned in the Approach Paper, it is worth reminding that FAO RP is an intellectual endeavour which requires highly skilled and competent human resources. The Organization has core staff resources to comply with its PWB. It is also widely known that due to subsequent budget cuts and unchanged or even increased mandate, FAO human resources are in general over-stretched. This means that whenever EBF resources are made available, a certain portion of these have to be used to fund human resources, either staff or consultants, for the use and management of the resources themselves. It should be noted that these

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58 This analysis was carried out on a sample of eight components.

“additional” human resources often bring added value by managing other RPB and/or EBF resources. This was particularly visible in some components, where long-term consultants recruited with PCA-Norway funds allowed:

- efficient and effective management of PCA-Norway component (A1.2/NRLA; D1.1/AGNS);
- management of areas within FAO’s mandate for which no RPB or EBF resources were available, thus allowing opening up or maintaining streams of work open (A1.2/FOEP; A1.2/ESWD; B2.1/AGNS; B2.2/AGPC and AGAP; B2.4/FOEP; D1.1/AGNS);
- mainstreaming of particular aspects of FAO RP produced also with PCA-Norway funds in other EBF and TCP initiatives (B2.4/FOEP).

300. Overall, the Evaluation considers that in spite of structural and time stringencies, the PCA-Norway operations performed reasonably well in terms of financial performance/delivery, thanks to the efforts of the Coordination and of all OC partners (see Appendix 4).

301. The Evaluation also appreciated that in June 2008, the IDWG called for the operational closure of all projects created under the PCA-Norway 2005-2007. This will allow gathering detailed information on the state of expenditure of each project, and adjusting existing imbalances, if any. In addition, this means starting afresh with a new structure for PCA 2008-09.

### **3.8 Conclusions**

302. The PCA-Norway, due to its nature of EBF initiative closely mainstreamed in FAO Regular programme while maintaining a focus on the work at country level, has been a precious resource, characterized by flexibility and versatility in use. It has allowed FAO to respond to emerging and sometimes “emergency” issues from within the Regular Programme, in a rather unique manner for the Organization. It has allowed breaking the boundaries of Programme Entities, making staff and resources available across departments and divisions to cluster around themes, supporting the development of formal and informal PAIAs. These are great successes and both FAO and the donor should be praised for these.

303. The current IDWG management model and structure of the PCA-Norway emerged as the most functional set-up in the absence of a full-time coordinator/manager for the Programme. However, the creation of separate project budgets under the responsibility of ten different Units represented a transfer of full ownership, accountability and financial responsibility from the IDWG and its Coordination to the Budget Holders.

304. The non-formal nature of the IDWG and of its Coordination as well as the absence of written statements about functions, responsibilities and lines of accountability for the IDWG and its members was not the best to ensure focus and coherence with the PCA criteria, in developing cross-sectoral and cross-component synergies and collaboration at HQ and country level, nor in monitoring relevance and effectiveness of funded activities.

305. On the other hand, a good spirit of collaboration developed through a system of decision by consensus and no major divisions occurred. The coordination style of the IDWG was widely appreciated and has proved to be a rational approach to the situation. It has avoided duplication of structures and heavy bureaucratic procedures.

306. The weakness of FAO RBM system was fully mirrored in the design, implementation and monitoring of the PCA-Norway. This affected to some extent the coherence of the activities implemented and to a large extent, the quality of reporting. Discrepancies exist between the expected contributions by the PCA-Norway to FAO Strategic Framework and the PWB relation between the Programme Entities supported by each Component and the corporate Strategic Objectives.

307. The PCA-Norway was managed and implemented completely by HQ Units, with very low level of consultations at country level of government and of FAO country offices: this limited the scope and undermined results and potential for impact and sustainability of activities carried out. This also limited the potential for PCA-Norway funded activity to be a bridge between the normative and

country level role of FAO and prevented potential development of synergies with other PCA components or other projects in country, including emergency interventions.

308. The choice of using FDRs and FBAs as financial authorization tools for the PCA-Norway, although regular tools of the Organization, deprived the recipient FAOR of receiving their share of AOS. This was contrary to the corporate policy to grant compensation of work where this is actually carried out. In addition, it did not allow proper financial monitoring of the PCA; it created additional and unpaid work for country offices; and it prevented potential support and collaboration by the country offices.

309. The Evaluation is fully aware that for most HQ units putting country priorities first in their normative work requires a radical change of perspective and understands it may require time and adjustments. However, this was one of the PCA-Norway's objectives and the OCs have failed in general in meeting this requirement.

310. The Evaluation verified that all components suffered from the late disbursement of funds in 2006 and in 2007, from the pressure to deliver by the end of each year and in general, from the short time span of the Programme. Discrepancies between plans and budget availability were a major hindering factor in the implementation of the PCA-Norway.

311. The Evaluation considers that any new Agreement should ensure that overall contribution, funds disbursement, scope of action and time-horizon of implementation should be better coordinated to allow smooth progress of activities according to plans.

**Suggestion 5.**

*The negotiation of a Programme Cooperation Agreement should take into account all operational elements, inter-alia measuring required performance with availability of financial resources*

312. In the light of the evidence and analysis above, the Evaluation considered that the PCA-Norway management structure should be reviewed and corrected, placing the various responsibilities where they actually belong. The concentration of institutional, operational and financial responsibilities within the same institutional body (juridical or physical person) is essential towards definition of accountability over EBF in general and PCA operations in particular. The principles of clear, smooth and effective performance of operational functions are to guide decisions and actions in this area. The coordination role is a time-absorbing task that cannot be maintained in the medium to long run by any senior officer in FAO (or elsewhere!) in addition to their usual work-load.

313. The following management principles should be fully taken into account in any future PCA. The term Management includes coordination, management and monitoring functions:

- Coordination and monitoring mechanisms should be set up while minimizing bureaucracy and parallel structures;
- Management should be responsible for the various phases of PCA execution, and should acquire continuous full Budget Holder ownership over its resources;
- Management requires a minimal structure for operational support;
- Objective Conveners function needs to be merged with Budget Holder responsibility of Baby-Projects;
- Accountability and related chain of responsibilities and communication lines should be clearly defined;
- Operational tools should be identified that allow running this type of complex operations under the set of systems and functionalities presently available;
- Resources for Management should be negotiated between FAO and the Donor, possibly to be provided on a shared basis.

314. In the formulation of the proposed management structure, the Evaluation made its best to remember that the medicine should not be worse than the disease. Furthermore, the organizational structure of FAO might change quite substantially as a response to the IEE, from 2009 onward. This

means that the proposal below will have to be adjusted to the future organigram of FAO Secretariat, by transferring defined functions to the pertinent unit responsible for them in the future.

***Recommendation 16***

**FAO should adjust the management structure of the PCA-Norway to develop and build more effectively on principles of inter-disciplinarity and cross-sectoral work, with clear lines of responsibility and accountability, on fair and phased allocation of funds following delivery and on an effective Result Based Management system. Details of the new structure are illustrated in Figures 12 and 13.**

***Appendix 1: FAO operational and reporting tools***

***Operating tools***

*ORACLE structure*

- Parent project: contains comprehensive information
- Child project: main operational environment, under Project Manager/(Main)BH Control
- Eventual baby projects(s): hierarchically depending from the child project, under a separate BH. Contain portions of child project budget, for which the Baby Project BH is responsible towards the main BH.

*Non-ORACLE formal tools*

- Field Budget Authorizations (FBA): budget transfer paper document, generally on behalf of a field station. An “incremental” version of this tool exists (see Appendix 5)
- Field Disbursement request (FDR): request for disbursement on a single (‘one shot’) event, generally addressed to a field station

*Non-formal tools*

- Manually maintained by the various protagonists, normally through an EXCEL spreadsheet, to compensate non-existence of structural functionality

***Reporting tools***

*ORACLE reports (normally obtainable through the FPMIS system)*

- Project Status Report: Life-long summary report of Funds Received, Budget and expenditure
- Transaction Listing: Chronological sequence of financial ‘events’
- Financial Statement: one-year period, similar to Project Status Report (though more specific)
- FAS system reports: generated by the Field Accounting System. FAS data are downloaded into ORACLE through an interface programme.

*Non-formal reports*

- Manually produced by the various protagonists, normally through an EXCEL spreadsheet (e.g. ‘shadow budget’, maintenance of FBA/FDR disbursement record, monitoring of local commitments, etc).

*Appendix 2: problems encountered in the operation of PCA-Norway*

<b>Problem</b>	<b>Solution</b>
There is a general perception that time span from IDWG/Coordination decision to launch activities (projects) and their actual availability to the Budget Holder is excessive. A report of the segment 'project approval request' to 'project ready to operate' was requested but not made available to the Mission. The lack of data made available make it impossible to confute this perception.	Internal analysis of time span, reasons for, protagonists of actions ranging from the availability of document and funds over to the moment a project becomes operational.
Some charges against Travel Authorizations only appear at a much later stage and make it difficult to monitor costs. <b>Consideration:</b> lack of full ORACLE/ATLAS interface does not permit to identify Travel Authorizations as Purchase Orders (Commitments), thence Daily Subsistence Allowance element only appearing at a much later stage (on TEC processing).	There is no practical ready-to hand solution except a pencil note, until such a time as fully interlinked functionalities are available.
Chargeback entries only appear in period 13, leaving no possibility of correction, re-distribution, etc.	Back-charges should be imputed and recorded on a monthly basis, to permit cost monitoring.
Cost of certain services, chiefly meeting rooms, is considered excessive.	A review of back charging costs would be appropriate.
It's virtually impossible to monitor field expenditure. Field expenditure can be monitored: -Through a Baby Project, using standard functionalities -Through FBA/FDR authorizations and field FAS Reports Field Offices operate FAS on cash basis, and are unable to quote authorizing documents except in narrative field. Monitoring is only possible through one-to-one analysis of project Transaction Listing and manual copying in an EXCEL spreadsheet. In addition, the present accumulation of single FDRs over a period creates confusion at both field and HQ office. AFF seems to encourage exclusive use of FDRs instead of incremental FBAs (which surprisingly disappeared from the set of procedures).	Use of FBA and FDR to be reviewed, documented and publicized for BH use. Incremental FBA to be re-instated.
We do not have a clear idea of what is permitted/not permitted in terms of charges to the FNOP projects.	Assignment of Project BH Ownership must incorporate a set of complete and clear-cut guidelines on use of funds, including any possible restriction on 'permissible charges'. Perceptions and hear-say on project execution must be eliminated

*Appendix 3 - Comparative analysis of expenditure - % of components vs. total*

	FNOP/INT /101/NOR B1.1	FNOP/INT /102/NOR D.1	FNOP/INT /103/NOR B2.1	FNOP/INT /104/NOR B2.2	FNOP/INT /105/NOR B1.4	FNOP/INT /106/NOR B2.4	FNOP/INT /108/NOR A1.2	FNOP/INT /109/NOR A1.1	Average
	101	102	103	104	105	106	108	109	
<b>5011 Salaries Professional (Parent)</b>	34,77%	12,14%	7,95%	14,66%	0,00%	34,09%	7,44%	2,05%	14,14%
<b>5012 Salaries General Service (Parent)</b>	0,00%	0,00%	0,00%	0,00%	0,00%	0,00%	0,00%	0,01%	0,00%
<b>5013 Consultants (Parent)</b>	21,19%	25,26%	17,66%	17,15%	50,27%	12,97%	31,87%	36,79%	26,65%
<b>5014 Contracts (Parent)</b>	8,10%	22,24%	35,40%	41,25%	0,38%	29,62%	32,57%	7,70%	22,16%
<b>5020 Locally Contracted Labour (Parent)</b>	0,00%	0,33%	0,01%	0,00%	0,00%	0,00%	0,03%	0,24%	0,08%
<b>5021 Travel (Parent)</b>	20,64%	20,45%	17,53%	13,86%	11,56%	9,64%	9,79%	22,93%	15,80%
<b>5023 Training (Parent)</b>	0,00%	0,56%	2,76%	0,55%	8,28%	1,78%	0,03%	7,51%	2,68%
<b>5024 Expendable Procurement (Parent)</b>	-0,86%	0,04%	0,42%	0,26%	8,71%	0,00%	0,26%	1,09%	1,24%
<b>5025 Non Expendable Procurement (Parent)</b>	0,00%	0,14%	0,00%	0,41%	2,08%	0,06%	0,10%	1,97%	0,60%
<b>5026 Hospitality (Parent)</b>	0,00%	0,00%	0,00%	0,00%	0,00%	0,00%	0,00%	0,12%	0,01%
<b>5027 Technical Support Services (Parent)</b>	0,00%	1,77%	1,83%	0,00%	0,00%	0,03%	0,41%	3,42%	0,93%
<b>5028 General Operating Expenses (Parent)</b>	0,57%	6,08%	4,93%	2,14%	7,23%	0,92%	3,52%	5,14%	3,82%
<b>5029 Support Costs (Parent)</b>	11,01%	10,82%	9,78%	9,60%	11,48%	9,61%	10,27%	10,68%	10,41%
<b>5040 General Overhead Expenses (Parent)</b>	0,25%	0,06%	0,39%	0,10%	0,00%	0,47%	0,06%	0,14%	0,18%
<b>5050 Chargeback (Parent)</b>	4,34%	0,10%	1,35%	0,01%	0,00%	0,82%	3,66%	0,23%	1,31%
<b>Total Expenditure (%)</b>	100,00%	100,00%	100,00%	100,00%	100,00%	100,00%	100,00%	100,00%	100,00%

Source FPMIS, elaborated by the Evaluation


**Appendix 4 - Comparative analysis of % of expenditures by year out of total Component budget**

<b>Project codes/ Year</b>	<b>101</b>	<b>102</b>	<b>103</b>	<b>104</b>	<b>105</b>	<b>106</b>	<b>108</b>	<b>109</b>	<b>Average</b>
<b>2006</b>	<b>33,60%</b>	<b>19,44%</b>	<b>36,40%</b>	<b>35,42%</b>	<b>21,14%</b>	<b>31,31%</b>	<b>37,65%</b>	<b>30,29%</b>	<b>30,24%</b>
<b>2007</b>	<b>51,91%</b>	<b>59,10%</b>	<b>40,22%</b>	<b>52,64%</b>	<b>61,26%</b>	<b>64,26%</b>	<b>54,86%</b>	<b>54,51%</b>	<b>55,26%</b>
<b>2008</b>	<b>14,49%</b>	<b>21,47%</b>	<b>23,38%</b>	<b>11,94%</b>	<b>17,60%</b>	<b>4,43%</b>	<b>7,49%</b>	<b>15,20%</b>	<b>14,50%</b>
<b>Total</b>	<b>100,00%</b>	<b>100,01%</b>	<b>100,00%</b>	<b>100,00%</b>	<b>100,00%</b>	<b>100,00%</b>	<b>100,00%</b>	<b>100,00%</b>	<b>100,00%</b>

Source FPMIS, elaborated by the Evaluation



*Appendix 5, model of Incremental Field Budget Authorization*

	<b>FAO FIELD BUDGET AUTHORIZATION</b>	<b>(Incremental)</b>			
<b>TO:</b>	Date of issuance Revision number				
	Project Symbol:  Project name:				
	ORACLE CODES	Fund: Organization: Activity: Sub-Line			
The addressee of this document is considered to be the Budget Owner of in respect of the contents of this authorization. He/She can dispose of the funds indicated as mandated by the Main Budget Owner and signatory of this document. A new edition of a Field Budget Authorization automatically <b>CANCELS AND SUPERSEDES</b> all previous ones. This document <b>EXPIRES</b> at the end of the Financial Year in which it was issued.					
(All amounts in USD)					
Acct # (child)	Description	Previous allotment	+/- Variations (this allotment)	New total allotment	REMARKS
		0	0	0	
		0	0	0	
		0	0	0	
		0	0	0	
		0	0	0	
		0	0	0	
		0	0	0	
		0	0	0	
	TOTALS	0	0	0	
<b>NOTES AND SPECIAL INSTRUCTIONS</b>					
<b>Initiated by:</b>		<b>Approved by :</b>			
Initiating Officer's signature & date		Budget Holder's signature & date			

## Annex 4

### Component A1.1, Sustainable rural livelihoods and more equitable access to resources

#### 4.1 Introduction

315. Component A1.1 aimed at the inclusion of food security objectives, policies, programmes and monitoring mechanisms into PRSPs and other policy initiatives at country level. The Component received USD 2.1 million; this represented 54% of the RPB resources available for the related Programme Entity in the biennium 2006-7<sup>59</sup>, the second highest across the PCA-Norway components, after Right to Food which relies even more heavily on EBF funding. The financial weight of the PCA-Norway contribution in relation to EBF including TCP funds, was 17%<sup>60</sup>.

#### 4.2 Management

316. The Component was managed by TCAS, which systematically consulted with FAO country offices and Governments for the identification of activities to be funded through the Programme. This has ensured stronger ownership by national stakeholders and commitment to follow-up.

317. Funds allocation was relatively high for national consultants and for travel, because the work was focussed in remote countries and required less staff time because the work was largely coordinated by TCAS staff members. As for other components, the PCA-Norway provided key resources for extending TCAS work, although it also added substantially to staff members' work load.

#### 4.3 Assessment of activities

##### 4.3.1 *Supporting and improving capacities in formulating poverty and food security impact analysis of agricultural, fishery, forestry and rural development policies in Burkina Faso*

318. This activity contributed directly to building capacity, to strengthening cross-sectoral interaction in the country and to the inclusion of farmers and other stakeholders in national policy analysis. It used training in both fairly sophisticated and simple economic analytical techniques and applied these through established interdisciplinary working groups, to concrete country policy measures in the context of updating the National Poverty Reduction Strategy. The working groups provided an important liaison between various government agencies and farmers associations. The working groups with little economics training were involved in working on value chain analysis and were also exposed to the findings from other groups including those which focused on cross-sectoral interdependencies and macroeconomic linkages within the economy.

319. Working Groups participants indicated that not only did they find the training very valuable but that the social capital developed through this exercise is very important. This was highlighted by the farmers' representatives in particular, and by some of the other Ministry and Department members. At the technical level this is working beyond expectations and was something FAO and PCA-Norway can be proud to have been involved with.

320. More effort may need to be expended on bringing more senior people on board in the Steering Committee. It is unlikely that the results of the analysis and the continuation of the technical groups will be supported unless there is a better understanding by senior policy-makers on its potential contribution to their Department/Ministry/Organisation.

321. A series of glossy reports and guides were produced including value chain analyses of key sectors, training guides on developing specific policy and macroeconomic analysis tools and models

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59 The Programme Entity indicated by the OC as being of major relevance to the PCA-Norway work was not linked to any Strategic Objective

60 See Figure 1 in the Main report and Figure 1 in Annex 1

using Social Accounting Matrices (SAM) and Computable General Equilibrium Models (CGE) simulations to highlight the linkages in the economy and to consider the implications of various policy changes in particular sectors on incomes and poverty. Dissemination workshops were held but the impact of this was unclear from the meeting with the Steering Committee. In future perhaps less glossy publications would allow resources for more awareness-raising for decision-makers.

322. FAO succeeded in leveraging funds from the national EC Delegation, which will be instrumental in maintaining the experts' team back-stopping and coordinating the working groups until the end of 2008.

323. The Evaluation considers that this was an ambitious activity which has been remarkably successful: it is important that the gains achieved are not lost but are consolidated with more senior representatives brought on board and commitment to continue to constitute the groups, if less regularly, to update the information, to reinforce skills and the network and to continue to inform the policy process. This requires further investment by FAO in the short term to see if support can be leveraged through the World Bank and through government funds and commitments to institutionalise the process.

324. The activity could result in changes to policies that will have immediate, direct results or impacts on poverty or marginalised groups and it can in the future be adapted to simulate the effects of policies on climate change. It is suggested that the PCA Norway continue to support efforts to exploring these scenario that raise the profile issues of marginalised groups and assist in developing policies that take the poor into account.

325. In the next phase more women need to be included in the technical groups and it would be interesting to see if the various models could be developed in a way to consider the impact of policies on women. At the same time, an exit strategy needs to be put in place that would see the process institutionalised.

#### *4.3.2 Support for Inclusion of Food Security Objectives, Policies, Programmes and Monitoring mechanisms in the PRSP/Interim Plan of Nepal*

326. This activity was an interesting exception in the PCA-Norway because the relevant project proposal was formulated by the RAP Policy Unit in close liaison with the Nepalese government, a local consultant and the Assistant FAO Representatives in Nepal. This not only ensured the timeliness and relevance of the activity, it allowed also a very strong ownership by government, RAP and the Representation, which are committed to ensure follow-up actions.

327. In 2007, the Government of Nepal was in the process of developing the Three Year Interim Plan. The Interim Constitution of Nepal included right to food for the first time, opening the door to related issues of food security and food sovereignty. With PCA-Norway funds, FAO could provide excellent facilitation and coordination that led to the establishment of high-level, cross-sectoral thematic groups which worked very actively on a range of issues and wrote chapters which were included in the Interim plan. For the first time in Nepal, food security features as a separate chapter in a national development plan and systematic training materials on food security were prepared and capacity building workshop conducted at the national and district levels.

328. It would be most useful if these cross-sectoral thematic working groups could be institutionalised within the planning process to continue to contribute to the policy process and future development plans and the PRSP in Nepal.

329. Although the Letter of Agreement (LoA) specified the development of a final food security action plan and programme document for the government of Nepal, this was not achieved but a good document reviewing the Food and Nutrition Security Programmes in Nepal was produced which provides information on food security issues, outlines problems and opportunities as well as providing a synthesis of what is required when developing action plans and programmes.

330. In addition capacity building materials were developed, shared with the national decision-makers and then taken out and tested in three pilot areas before being refined and they are currently being published. These materials appear to be excellent and interviews at central level indicated they

were well received but it was not possible to go out and evaluate how effective they were in the districts.

331. A number of technical papers were commissioned for inclusion in the Interim (Three-Year) Plan of Nepal. These were only produced after the Interim plan was finalised, with some not yet completed. The summaries of these papers reflect a lack of new ideas and highlight the need to provide more technical assistance and to work with local consultants to ensure outputs that produce the innovative approaches called for. While the experience of former senior national officers can be invaluable, they do also need the injection of outside advice and new approaches for the reports to contribute effectively.

332. While this activity addresses poverty alleviation only indirectly through directing the attention of national policy more to food security and in particular to that of vulnerable groups, it is relevant and has generated interest among partners. The activity raised the profile of FAO and food security within government and the donor community but it is important that resources be found to consolidate the gains. The banning of exports by India has resulted in fervour for self-sufficiency and they will need good external technical assistance to develop optimal food security policies at national, district and household level.

#### *4.3.3 Comprehensive sector assessment of Agriculture to support the preparation of an agriculture and food security strategy; Preparation of food and agriculture policy and strategy: Liberia*

333. A Comprehensive Assessment of the Agricultural Sector was carried out in association with IFAD and the World Bank, led by FAO with PCA support. The work is a key step for the development of appropriate strategies for Liberia. The document emphasised the importance of developing strategies with a pro-poor focus with emphasis on interventions that will help to ensure food security and poverty alleviation and provided information relevant to developing appropriate policies and strategies. Support is still on-going in the development of strategies and further documents are anticipated. Although this activity does not immediately and directly impact on poverty it does have strong links to poverty alleviation by encouraging, and providing technical assistance, to the government of Liberia to develop policies that are pro-poor and environmentally friendly. It is also a good example of PCA-Norway supporting FAO to work in partnership with other agencies to meet specific requests by the government for support.

#### *4.3.4 Inclusion of HIV/AIDS considerations in Malawi PRSP and capacity building*

334. This was the only work explicitly on issues relevant to HIV/AIDS in the PCA-Norway programme. In addition to the integration of HIV/AIDS into the PRSP in Malawi, the work resulted in the production of a Fisheries and a separate Forestry sector HIV and AIDS Strategy. Working closely with these sectors to mainstream the issue into their policies and programmes was innovative and appears to have provided them with an opportunity to discuss the issue and to raise awareness. Evidence provided showed that these were timely interventions, welcomed by the Government of Malawi.

335. However, it would seem that more focus could have been given to the role forestry and fisheries could play in ameliorating some of the impacts from HIV/AIDS on poor households. For example it could have focused research and investment on appropriate technologies: households face especially severe labour and capital constraints and require innovative approaches to reduce these burdens. At the same time, local knowledge is being lost and it is very important that these sectors are aware of this and take steps to document existing knowledge and transfer it to the younger generation.

#### *4.3.5 Agricultural intensification and diversification experiences in Mozambique*

336. A power point presentation given at a workshop indicated PCA Norway support for what looks to be a very interesting activity with direct relevance to the Programme criteria and with potential links to other departments working on agro-biodiversity. Discussions at FAO HQ indicated that while the focus of the project was on livestock initially, this had broadened and currently work

was with a donors' group on intensification and diversification and on a more interdisciplinary approach including marketing, credit, input fairs, irrigation etc. The project generated technical support documents which the Evaluation did not see. The Evaluation has been advised that the project has been successful and worked closely with the national agricultural agencies and donor support group on the "Agricultural Intensification and Diversification Support Programme in Mozambique" as the main output of this activity.

#### *4.3.6 Inclusion of artisanal fisheries into the national food security policies and PRSP in Nicaragua*

337. PCA-Norway and FNPP funds were used to co-fund this activity, part of a wider support aimed at including food security more directly into national food policies. In addition to incorporating artisanal fisheries into the PRSP, participatory catch and monitoring policies were developed and increased awareness about small-scale fisheries issues. Despite interruptions (Hurricane Flix), the programme has been effectively completed and the primary objectives have been achieved. An assessment of the effectiveness of the work has not been possible but the documentation leads the team to conclude that this is an activity with both direct and indirect impacts for poverty alleviation and to sustainable development of artisanal fisheries.

#### *4.3.7 Inclusion of risk management aspects into PRSPs*

338. The activities in Niger and Madagascar only began late in 2007 and the reports produced indicate a comprehensive review of existing approaches to food supply risk management at both national and household level. The risk management work is complementing on going UNDP and World Bank work in Niger on developing a rural development strategy. There are also innovative efforts to include the private sector (Swissre) in designing appropriate and implementable risk management strategies. The approaches proposed do not appear to have taken into account the findings from India, where a review of existing systems was also funded by PCA Norway. It would be interesting to see more cross-fertilisation of the ideas arising from the full range of case studies on risk management (e.g. EasyPol papers reflect other work, presumably funded from elsewhere, also done in Haiti and Yemen). It would also be interesting for this activity to work more closely with other departments and with the FNPP Agro-biodiversity component which has some interesting results on village seed banks and seed markets which are important to risk management.

#### *4.3.8 Windfall Oil/Mineral Profits and Soaring Oil/Mineral Bills in Less Industrialised Countries: Policy Implications for Sustainable Development*

339. It is difficult to evaluate this activity based only on a workshop power point. However it was clear from the power point that this activity, as currently undertaken, has no relevance to PCA Norway criteria focussing on a very broad range of countries and looking at macro-economic indicators. It is an emerging issue and it could have been relevant if it had focussed on the impact of soaring oil bills on agriculture and on the environment and on the agricultural policies required to tackle these issues but then it would have been a very different study. This appears to have been an unnecessary diversion of PCA Norway funds.

### **4.4 Conclusions**

340. This component has effectively achieved most of its objectives and for almost all its activities has adhered well to the criteria established by the PCA Norway. They have responded to expressed needs by governments for their country work and where there is an emerging issue (risk management) they have sensitised and mobilised support for its inclusion in on-going policy work. Work in Nepal highlighted a general problem where some consultants may not always produce useful outputs unless they receive sufficient backstopping.

341. There has been good outreach across departments within FAO and work at country level has strongly encouraged cross-sectoral and interdisciplinary approaches (see Figure 2 in the Main Report).

The country emphasis has been relevant and is in accordance with PCA Norway criteria. It was stated that they took a medium-term perspective despite the short funding span in order to establish these activities. The Evaluation noted that they could in fact take even more steps, as part of an exit strategy, to ensure sustainability of the interventions and one way would be to involve partners in the forthcoming period (e.g. pursue the use of the thematic group established on vulnerability assessment and others in Nepal with WFP; in Burkina Faso macroeconomic analysis involving Ministry of Agriculture with the World Bank).

**Recommendation 6**

**Effective cross-sectoral policy development and analysis needs to be extended and future emphasis in policy work should be on holistic policy frameworks able to reflect production, employment, livelihoods, natural resources, income distribution and climate change issues.**

#### 4.5 List of outputs

342. The table below illustrates the outputs that were produced by Component A1.1. Information on outputs was provided by TCAS; the Evaluation assessed wherever possible the actual outcomes.

**Figure 15. List of outputs Component A1.1**

Activities/Outputs	Country	Actual Outcomes	Partners; other funding sources
<b>Formulation of poverty and food security impact analysis of agricultural, fishery, forestry and rural development policies in Burkina Faso</b>			
<i>Developed Capacity in Policy analysis and strengthened interdisciplinarity and multi-agency cooperation - established working groups and carried out training</i>	Burkina Faso	Effective joint engagement at technical level. Increased skills	Possible World Bank future
<i>Reports and guides incl. value chain analysis and SAMs and a CGE model developed by the groups as a result of the training</i>	Burkina Faso	Improved information for policy makers	Denmark
<b>Inclusion of Food Security Objectives, Policies, Programmes and Monitoring mechanisms in the the PRSP/Interim Plan of Nepal</b>			
<i>Established Thematic Groups and Inclusion of Food Security in Interim Plan and Capacity Building at Central and 3 Pilot districts</i>	Nepal	Chapter on Food Security in Interim Plan	Govt Depts
<i>Final food security action plan and programme document for the Government of Nepal</i>		not done	
<i>Technical papers/support for Inclusion in Interim (Three-Year) Plan of Nepal</i>		Too late for process	
<b>Liberia</b>			
<i>Comprehensive sector assessment of Agriculture to support the preparation of an agriculture and food security strategy; Preparation of food and agriculture policy and strategy</i>	Liberia		World Bank and IFAD
<b>Malawi PRSP</b>			
<i>Inclusion of HIV/AIDS considerations in PRSP</i>	Malawi	HIV/AIDS strategies for Fisheries and Forestry sectors	

<b><i>Mozambique</i></b>			
<i>Research on diversification options and support programme developed including livestock</i>	Mozambique	Agricultural intensification and diversification support Programme	PROAGRI
<b><i>Nicaragua</i></b>			
<i>Inclusion of Fisheries in the National Food security policies; Participatory catch and monitoring policies developed</i>	Nicaragua	Achieved	
<b><i>Risk management</i></b>			
<i>Lessons learned from India and inclusion of risk management strategies in food security policies</i>	India, Niger; Madagascar		
<b><i>Windfall Oil/Mineral Profits and Soaring Oil/Mineral Bills in Less Industrialised Countries: Policy Implications for Sustainable Development</i></b>			
<i>Preliminary research paper</i>			

## **Annex 5**

### **Component A1.2, Support to member countries and the High Level Commission for the Empowerment of the Poor**

#### **5.1 Introduction**

343. Component A1.2 aimed at providing evidence and support to the need of appropriate policies and legal frameworks providing secure access to land and other natural resources, for improving food security, alleviating poverty and improving rural development. The Component was also related to and wanted to impact on the Commission on Legal Empowerment of the Poor, by providing sound underpinning to its recommendations.

344. The Component benefited of a total amount of USD 2.1 million; this represented 11% of the RPB resources available for the related Programme Entity in the biennium 2006-7, and only 7% of the EBF resources available in the same period.

345. In terms of contribution to FAO Strategic Framework, the Component related to a wide range of Strategic Objectives.

#### **5.2 Management**

346. The Component was managed by NRLA as BH and Objective Convener, and was divided into five sub-components, that were managed by NRLA OC in close collaboration with staff or consultants from different units: LEGN, ESWD (2 sub-components), FIEP and FOEP.

347. Funds allocation was relatively high for consultants and for contracts, since work was largely carried out by international and national consultants.

#### **5.3 Assessment of activities in Support to the Commission for the Legal Empowerment of the Poor<sup>61</sup>**

348. Legal Empowerment of the Poor can serve as the driver of change in developing countries, in order to protect the poor and vulnerable groups from losing in the process of development. PCA-Norway supported FAO's engagement with the Commission on Legal Empowerment of the Poor (CLEP) by providing case studies and support information and by active engagement of FAO staff on the committees of the Commission.

349. As a result of the work of the Commission there are now several initiatives, with multi-lateral assistance partnerships being facilitated by UNDP and a World Bank Trust Fund for the Legal Empowerment of the Poor being established. FAO's contribution to the Commission was specifically recognised by the Executive Director of the Commission, in particular the inputs provided to the Working Group on Property Rights.

350. FAO is now leading a partnership for the development of global voluntary guidelines. A workshop was held to discuss a global alliance for the creation of Voluntary Guidelines (VG) for good governance in land and natural resource tenure, with participants from GTZ, IFAD, World Bank (WB), FAO, UN-HABITAT<sup>62</sup> and the Governments of Finland and the Netherlands.

351. While many of the activities for this new initiative have been identified and appear to be intended for funding from EBF resources, there does not seem to have been enough cognizance given to the potential contribution to the process of the guidelines and workshop proceedings generated so far (see below). Many of these were excellent pieces of work, highlighted important issues and made suggestions and proposals which need to be taken into account.

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61 In consideration of the strong links that exist across some of the sub-components, the Evaluation assessed activities based on themes, not following the sub-components hierarchy established by the OC and participants.

62 GTZ: Gesellschaft für Technische Zusammenarbeit; IFAD: International Fund for Agricultural Development.



352. The Evaluation considers it important that these activities clearly show that earlier work is built upon and incorporated into the new phase. The tendency of new initiatives to start afresh with new consultants who feel compelled to go back to the beginning should be avoided.

#### **5.4 *Assessment of activities under sub-components 1, 2 and 3 Issue Papers, country case studies and workshops.***

353. These sub-components were implemented in collaboration with ESWD and LEGN.

##### **5.4.1 *Improving tenure security for the poor in Africa***

354. A series of very comprehensive case studies funded by PCA-Norway in Ghana, Mali, Mozambique, Namibia and Rwanda were presented at a workshop in Nakuru, Kenya in October 2006 with representatives from 16 African countries and from CLEP, FAO, ILC, TSBF-CIAT<sup>63</sup>, UNDP, UN HABITAT. These studies raise important issues and some of them provide some suggestions for how to reconcile customary, constitutional and market-based perceptions of tenure issues. Interviews with government officers indicated that the workshop and the issue papers and case studies from other countries directly informed the Kenya National Lands Policy. It will be important to reposition the work so that it contributes to thinking in the Land Reform Commission which is being established. The workshop also helped to raise the profile of some of the NGOs working on property rights and empowering the poor. Some of these have been involved in working with FAO on these issues, building their knowledge and skills base and contributing to the normative work at HQ. It has also generated closer co-operation between FAO and UN Habitat and other donors on tenure issues. PCA-Norway activities in resource tenure will need to continue to work closely with the Land Donor Group which is rationalising support on land and tenure.

##### **5.4.2 *Gender, HIV/AIDS and access to land and other natural resources***

355. A considerable body of knowledge was developed through this work on gender and property rights particularly as a result of the pressures on traditional systems from HIV/AIDS. There were several workshops to share the information and workshop proceedings indicate high level of engagement and some priority actions for the future.

356. There is an excellent series of desk reviews and case studies of the legal rights of orphaned children's property and inheritance rights in selected African countries. These were carried out to inform the policies at national level to assist the orphans to achieve their livelihoods. Current systems of inheritance rights are inadequate in the forced rapidly changing society, but the studies found that the inadequacies of customary norms and resistance to statutory laws can be overcome by innovative, participatory approaches to address the issues. The case studies provide the potential for direct impact on the most marginalised group and for addressing the urgent need to assist the orphans in the short term and to reduce the negative social impacts of an increasingly large group of disaffected youth excluded from productive assets in societies overwhelmed by need.

357. It would be most interesting to provide assistance for piloting some of the proposals put forward in these studies in the rural areas of selected countries and to include baseline surveys which would allow measurement of the impact of securing property and inheritance rights for the orphans on their livelihood, environmental sustainability and future potential. Empirical evidence would be most useful and even if the impacts can only be measured in the future, they require a current baseline to be established. To some extent the Forestry programme has been establishing national baselines but pilot case studies would provide household and community information.

358. While there have been a series of regional and global workshops it is still unclear to what extent these results have been integrated into the national policy agenda, particularly in the countries where the case studies were developed. It could be interesting to work with TCAS in future bringing these issues to the fore in national policy agenda.

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63 CLEP: Commission for the Legal Empowerment of the Poor; ILC: International Law Commission; TSBF-CIAT: Tropical Soil Biology and Fertility Institute-International Centre for Tropical Agriculture

359. A few country-based activities have been commissioned. In Mozambique, PCA-Norway funds were used to support work with Save the Children UK (Mozambique) to identify good and bad practices and make recommendations on relevant interventions to assist orphans. The results of this work have been delayed and the value-added of the PCA-Norway contribution is questioned since this appears to be a direct transfer of resources from PCA-Norway to an NGO with little FAO involvement, no direct link to normative work nor to efforts to feed in to policy change<sup>64</sup>. No information was available on the country work in Malawi and the work on Tanzania has been evaluated along with the case studies outlined above.

#### *5.4.3 SARD and access to land and other natural resources*

360. The sub-component was implemented in collaboration with ESWD.

361. There has been some effective work to raise the profile of tenure issues in SARD and to work with communities in establishing conflict resolution over property rights and sustainable management in the Lake Naivasha basin in Kenya. Work with some of the NGOs (notably with Reconcile and the Kenya Land Alliance) has helped to build capacity; the very important and difficult tenure issues with respect to pastoralists have been raised through a series of case studies highlighting pastoralist perspectives on land tenure, carried out with CIAT. However this work showed in both Kitingela and Isiolo (Kenya), the dangers of carrying out case studies which are primarily extractive and foresee no follow-up, but still raise expectations and provide little or no feedback to the communities involved in the case studies. This was probably true for most of the other case studies carried out under A1.2. In future work on these issues efforts should be made to work with the communities and NGOs that have already been involved wherever appropriate, to consolidate awareness raising and build sustainable and effective capacity.

### ***5.5 Assessment of activities under sub-component “Fisheries”, support to Lake Victoria Fisheries Organisation and operationalisation of Regional Plan of Action/RPOA-Capacity***

362. The sub-component was implemented in collaboration with FIEP.

363. This Regional Plan of Action to strengthen capacity (RPOA-Capacity) is the first for inland waters. All the main objectives of operationalising the RPOA-Capacity were achieved and culminated in a regional consultative workshop held in Tanzania in March 2008. FAO’s role was instrumental in co-ordination and facilitation of the regional process and in particular of stakeholder-driven development and extending the concept of closed season and participatory and sustainable management practices. The support to decentralisation by supporting the involvement of stakeholders and emphasising more secure tenure and stakeholder participation and capacity building through the Beach Management Units (BMUs) in Lake Victoria were all well received.

364. The Kenya side emphasised that it would be useful to have more support to establish stakeholder-driven development of the marine fisheries. The Kenya government is now considering issues related to conflicts between the dugout (0-3 miles) and the shallow water (mainly crustacean trawlers) as well as the importance of rationalising the long line and ship trawlers and it feels apparently that it would be most useful to have FAO involved in providing technical support.

365. The Lake Victoria BMUs have been established and local capacity were apparently enhanced to enable them to manage and allocate resources. The intervention can contribute directly to the legal empowerment of the poor and to improving security of tenure and sustainable management of common resources.

366. Some support has also been given to establishing BMUs in Malindi at the coast but these still require considerable support and the establishment of property rights and conflict resolution mechanisms between different groups accessing marine resources. This requires a more strategic and

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64 Working with NGOs is important and contributes to effectiveness but there should be some direct links to other work or involvement of FAO, if only the involvement of the FAOR in awareness raising and assisting in mainstreaming the recommendations into national policy.

long term approach, also because the experience from elsewhere, while useful, needs to take into account the local realities and ethnic sensitivities. Support to the Malindi fishing communities included some support for income diversification particularly directed at women, however, any future support should assess whether support to diversification (poultry and other agricultural projects) is the best way for this component to support artisanal fishing communities.

367. This initiative was the only one within this Component to work in country directly improving the livelihoods of the poor and of their control of resources as well as in promoting sustainable management of inland fisheries. It has also contributed to regional co-operation and has been welcomed by the Government of Kenya who felt that FAO had an important role to play in providing technical expertise and information services. Both the Kenya government and the NGOs consulted considered that greater emphasis to the marine fisheries, and in particular to the very disadvantaged coastal communities, will be important in future.

### **5.6 Assessment of activities under sub-component “Forestry” – Clarifying the Links between Forest Tenure and Poverty Alleviation**

368. The sub-component was implemented in collaboration with FOEP.

369. This was an awareness-raising programme highlighting the importance of granting secure forest tenure rights to local people in Asia and Africa through a series of case studies, policy briefs and regional workshops. It also established a baseline of information regarding forest tenure in a wide range of Asian and African countries contributing to improving the forest tenure data sheet of the Global Forest Resource Assessment which is currently limited and of variable quality<sup>65</sup>.

370. The case studies will be useful to contribute to FAO’s work in other areas where tenure could play an important role in management (e.g. fire prevention and illegal logging). The collection of forest tenure data could be tested in collaboration with the National Forest Resource Assessment Programme. This would allow to FAO to identify and address possible confusion and bottlenecks related to data collection and reporting, prior to the 2010 global assessment.

371. There has been no country focus or direct support to national institutions and participatory forestry programmes on developing appropriate tenure regimes or incorporating tenure issues into policies. This could usefully be the focus of some of the work in the next phases, co-operating with other PCA-Norway supported components (e.g. on fire management and legal enforcement as well as NRLA) to carry out joint pilots that include granting secure tenure rights for access, control and management and providing capacity building to user communities on management techniques.

372. This component has so far only indirectly contributed to sustainable forest management and poverty alleviation by raising awareness on the current status of tenure on forestry in countries and highlighting important areas for intervention. The next phase should be focussed more on implementation in selected countries. It has also contributed to some strategic decisions by COFO (18th Session), recognising forest tenure as a fundamental building block for the achievement of sustainable forestry and urging FAO to maintain in-house capacity on participatory forestry

373. Work on forest tenure should be further developed with the links to participatory forest management, sustainable forest management and poverty alleviation strengthened. The inter-disciplinarity needs to be encouraged and tenure needs to be mainstreamed within Forestry programmes and forest tenure needs to receive more prominence in national debates on land tenure, together with water, wildlife, rangelands and fisheries.

374. Achievements should be widely publicised.. FAO could also help catalyse resources and technical capacity of country level CPF partners and UN (one UN) agencies to consolidate forest tenure systems, promote participatory forestry and forest sector governance as part of on-going or new local governance and decentralisation programmes.

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65 See tenure data set for Nepal showing 0% Community Forestry: <http://www.fao.org/forestry/tenure/en/>

## 5.7 Conclusions

375. There has been a considerable body of knowledge developed on tenure issues in a range of resources and for different communities with a strong emphasis on marginalised groups including women, orphans and pastoralists. There have also been some efforts to share this knowledge at workshops but there has, as yet, been too little to directly support and build capacity to mainstream tenure into national policies. The work done was taken into consideration in developing the Kenya National Land Policy, but by happenstance rather than through deliberate support. Tenure security is essential to empowerment and to environmental sustainability and use rights issues are currently under review in many African countries.

376. NRLA which co-ordinated this component reached out across departments to bring together an informal PAIA. Figure 3 in the Main Report demonstrates the effective outreach within FAO HQ. Although most of these activities have been separately implemented, they have benefited from interaction between the different activities and a number of them have worked with ESWD on gender and HIV/AIDS related agenda. However, all the work evaluated would benefit from closer collaboration between the clusters working on the individual activities.

377. Component A1.2 needs to harness its efforts and work more cohesively and coherently to provide the countries directly with technical assistance on land tenure, inheritance rights, rangelands, forestry and fisheries with special recognition to orphans, women and other vulnerable groups, using the case studies generated in 2005-2007 to inform this support. Developing the global Voluntary Guidelines will contribute to national policy change but work is also required at country level.

378. While FAO is a member organisation with obligations to all its members, the PCA-Norway is providing funds to support poor countries and so, although the work may be very relevant and necessary in all countries, PCA-Norway funded activities need to be focused on a few LDCs. This means that piloting activities and policy and legislative work needs to be focussed on the range of resources and marginalised groups in a few selected countries.

### **Suggestion 6.**

*It is suggested that the future focus is on fewer countries and that PCA Norway support in Asia, Central Asia, South-Central America and other areas be focussed only on LDCs.*

### **Suggestion 7.**

*It is suggested that the various groups working on tenure work more closely together so that their work is informed by findings from elsewhere.*

### **Recommendation 7**

**PCA-Norway should continue to fund work on resource tenure, which should be directed at informing national policy agenda, assisting countries wanting to change their legislation and work with communities to assess the effectiveness of different property rights regimes.**

### **Recommendation 8**

**All PCA-Norway work at country level, with communities and with government, should ensure that information gathered for global knowledge advancement is not extractive and provides some added value to those involved.**

## 5.8 List of outputs

379. The table below illustrates the outputs that were produced by Component A1.2. Information on outputs was provided by NRLA; the Evaluation assessed wherever possible the actual outcomes.

**Figure 16. List of outputs by Component A2.1**

Activities/Outputs	Countries	Actual outcomes	Partners
<b>A1.2.1 Improving tenure security for the poor (LEGN/NRLA)</b>			
<i>Legal Empowerment of the Poor - Working Papers #1 - 9, on Improving tenure security for the rural poor in sub-Saharan Africa: framework, country cases, workshop synthesis</i>	Sub-Saharan Africa, Ghana, Kenya, Mali, Mozambique, Namibia, Rwanda, Tanzania, Uganda	Different tenure systems issues documented and shared.	DfID-LSP
<i>Issue papers on legal empowerment of the poor for secure resource access</i>	Cameroon, Mali, Tanzania		IIED co-funding
<i>Research papers on the role of judiciary in customary land rights systems</i>	Burkina Faso, Ghana		
<i>Research papers on the revival of customary land law, impact on rural livelihoods and project proposal for ascertainment of customary land law and the building of capacity for its enforcement</i>	Kenya, Mozambique, South Africa, Southern Sudan		
<i>Discussion paper "Operationalizing constitutional and statutory recognition of customary land rights"</i>	Sub-Saharan Africa		
<i>b) Regional workshop(s)</i>			
<i>Regional Workshop for Sub-Saharan Africa: "Improving tenure security for the poor", Kenya, Oct 2006 (65 participants, 18 African countries)</i>	Kenya		UN-HABITAT
<i>Regional workshop on the concrete methods and tools to support legal empowerment for securing land rights, Feb 2008</i>	Ghana		
<i>Case study on the mechanisms of information, communication and sensitization of the Malagasy decentralised land services (guichets fonciers)</i>	Madagascar		
<i>Good practice: Tales from Angola - San Land Rights in Huila Province</i>	Angola		
<b>A1.2.2 Gender, HIV/AIDS and access to land and other natural resources (ESWD)</b>			
<i>HIV/AIDS Programme Paper N.2 - Social protection</i>			
<i>HIV/AIDS Programme Paper N.3 - Kenya/Zambia</i>	Zambia, Kenya		
<i>HIV/AIDS Programme Paper N.4 - Zimbabwe</i>	Zimbabwe		
<i>Policy brief on women's property rights</i>			
<i>Policy brief on children's property rights</i>			
<i>FAO Technical Consultation on Gender, Property Rights and Livelihoods in the Era of AIDS</i>			
<i>c) Legal-Empowerment-of-the-Poor-related</i>	Global		

<i>research / consultancies</i>			
<i>Strategy to address children's and women's property rights</i>	Mozambique		
<i>Support to the Legislative process of the Wills and Inheritance Bill in Malawi</i>	Malawi		
<i>Study on women's and children's property rights</i>	Tanzania		
<b><i>A1.2.3 SARD and access to land and other natural resources (ESWD)</i></b>			
<i>a) Issue papers and country case studies : "Land tenure and its linkages with poverty dynamics in the Nyando River Basin in Western Kenya" (with Maseno University): "We are the land. The land is us: Pastoralist perspectives on land tenure and legal empowerment" Maasai and other pastoralists communities. (with CIAT); Desk review and Report of the stakeholder consultation for Lake Naivasha Stakeholder Planning Meeting; Paper on "Cultural indicators of Indigenous Peoples food and agro-ecological systems", supported also by IITC and The Christensen Foundation; Case study on Good practices on legal empowerment processes in Namibia</i>	Kenya, Namibia, Global	Some capacity building but also expectations raised	
<i>b) National workshop on Lake Naivasha management (Nakuru, May 2007); Support participation of approx. 40 men and women from pastoralist and indigenous people's communities (Maasai, Samburu, Pokot, Borana, etc.) in World Social Forum (Nairobi, 20-25 January 2007).</i>	Kenya		
<i>c) Policy brief: SARD and rural property rights, in collaboration with IFAD and Reconcile(available in English, French, Spanish)</i>	Global (with special focus on Africa)		
<i>d) Good practices related to access to resources and legal empowerment documented and published in the SARD database (4 finalized; 3 in progress)</i>	Kenya		
<b><i>A1.2.4 Clarifying links between forest tenure and poverty alleviation (FOEP)</i></b>			
<i>Forest tenure assessment surveys</i>	Cameroon, Central African Republic, Congo DRC, Gabon, Ghana, Ivory Coast, Kenya, Madagascar, Mali, Morocco, Mozambique, Namibia, Niger, Senegal, South Africa, Tanzania, Uganda, Zambia, Zimbabwe Armenia, Azerbaijan, Georgia, Iran, Kazakhstan, Kyrgyzstan, Mongolia, Russia, Tajikistan,	Website updated and new data questionnaire for Global assessment	

	Turkmenistan, Uzbekistan		
<i>Forest tenure and sustainable forest management case studies</i>	Cameroon, Gabon, Ghana, Morocco, Mozambique, Senegal, South Africa, Tanzania, Uganda, Zimbabwe Azerbaijan, Iran, Kazakhstan, Kyrgyzstan, Mongolia, Russia, Tajikistan, Turkmenistan, Uzbekistan	NM	
<i>Understanding forest tenure in Africa: opportunities and challenges for forest tenure diversification</i>	sub-Saharan Africa		
<i>Policy brief on forest tenure diversification</i>			
<i>Symposium "Trends in forest ownership, forest resources tenure and institutional arrangements" in Sub-Saharan Africa, Kenya, Oct 2006 (25 participants, 14 countries)</i>	Kenya		
<i>Expert Meeting "Understanding Forest Tenure: toward supporting forest tenure diversification" Feb 2007, FAO, Rome</i>	Global		
<i>Regional workshop on forest tenure and sustainable forest management for Central Asia, Mar 2008, Turkey</i>	Central Asia		
<b><i>A1.2.5 Securing fisheries access: legal empowerment and capacity building of BMUs in support of creating sustainable and profitable fisheries (FIEP)</i></b>			
<i>Stakeholder-driven development of the Implementation Plan for the RPOA-Capacity --Regional Stakeholders Workshop (45+ participants)</i>	Kenya, Tanzania, Uganda	RPOA Agreement signed	
<i>Creation and dissemination of local language versions of RPOA-Capacity</i>	Kenya, Tanzania, Uganda	Better participation and understanding	
<i>Training of 220 Beach Management Unit members &amp; the development of Action Plans for getting 4 BMUs operational plus Training of BMU Executive Committee members (12 from coastal KE BMUs)</i>		Active management of resources now being undertaken	
<i>Training of women for livelihoods diversification (poultry raising, aquaculture)</i>	Kenya		
<i>Development of training materials and pilot trainings of MBU leaders to improve their role in management of fishing capacity</i>		Materials available for scaling up BMUs	

## Annex 6

### **Component B1.2, Development and implementation of international instruments related to Fisheries; and Component B2.3 Implementation of the Code of Conduct for Responsible Fisheries and associated instruments at the national level**

#### **6.1 Introduction**

380. PCA-Norway established that 13.75% of its funds would be in support of fisheries, specifically to develop and implement international agreements related to fisheries and to implement the Code of Conduct for Responsible Fisheries (CCRF) and associated instruments at national level. Components B1.2 and B2.3, were created within the PCA-Norway for this purpose. In addition, further support to the fisheries sector was provided through other PCA-Norway components, namely A1.1/TCAS-FIEDP, A1.2/FIEP and B1.1/NRDC-FIMA. These are covered in detail under respective Component's annexes and raised the total PCA-Norway contribution to fisheries approximately to 16%-18% of the PCA-Norway funds.

381. It was also agreed that PCA-Norway funds for components B1.2 and B2.3 were to be channelled through the FishCode multilateral trust fund wherein they represented approximately 17% of the total programme funds (22.5% of the 2005-07 portfolio). The targeting and management of funds was under the responsibility of FIED (see below). The two Components corresponded to 9% of the Regular Programme Budget allocated to the relevant Programme Entities. In terms of contribution to FAO Strategic Framework, the two Components related to a wide range of Strategic Objectives.

382. The Evaluability Assessment for the PCA-Norway concluded that an in-depth analysis of the work carried out only with PCA funds without considering the full FishCode Programme would be neither cost-effective nor meaningful. Following a specific request by the donor, it was decided that the Evaluation would provide an "in between assessment" of the work developed through FishCode with the support of PCA-Norway.

383. The Evaluation had access to complete information on FishCode activities only very late in the process. This inevitably affected the depth of analysis. No assessment was made of the work at country level.

#### **6.2 Background**

384. Given the strong support to the CCRF and to FishCode by PCA-Norway, a short background is provided. The CCRF was unanimously adopted by FAO Member States on 31 October 1995. The Code and its related International Plans of Action (IPOA), which are voluntary instruments, are now widely recognised by governments and NGOs as the global standard for setting out the aims of sustainable fisheries and aquaculture and as a basis for reviewing and adopting national fisheries legislation.

385. In adopting the CCRF, FAO members also requested an inter-regional programme of external assistance to upgrade capabilities of developing countries to facilitate compliance with their obligations under the Code. Through preparatory work that began in 1996, FAO Fisheries Department established FishCode, a special programme of global partnerships to promote responsible fisheries. It now serves as the principal means through which the Fisheries Department seeks to combine its regular budget with EBF resources in support of activities to facilitate implementation of the CCRF and related international fisheries instruments.

386. FishCode is the umbrella programme for CCRF implementation, which aims at strengthening ongoing projects and ensuring follow-up of component activities that have not yet received adequate support. Its overall objective is to raise the economic, social and nutritional benefits obtained from fisheries and aquaculture, especially in developing countries, through the adoption of responsible fisheries management and resource conservation practices, including improved institutional and legal arrangements.



387. Contributions to the FishCode trust fund are encouraged in the form of untied resources that become part of the general pool of resources to support Programme initiatives; however, donor partners may also earmark funds for a particular activity or an individual project operated under the Programme umbrella. Norway initiated its support to the multilateral trust fund in 1998 and has been one of the major partners since 2002.

388. An ad-hoc Advisory Group composed of representatives of all Fisheries Department services and LEGN was established to decide on resource programming in support of specific activities.

### **6.3 Assessment of activities**

389. PCA-Norway funded through FishCode a total of 21 activities in 2006 and 15 in 2007. The Evaluation decided to assess only activities with a budget above USD 30,000 and only those that could be analysed through personal interviews.

#### *6.3.1 Implementation of the FAO Strategy Status and Trends in Fisheries (STF)*

390. PCA-Norway contributed 50% of the funds for these activities, complementary to the Regular Budget. This is a continuing project developed in close collaboration with Regional Fisheries Bodies, international NGOs and other stakeholder organisations. It includes global and regional inventories of fisheries monitoring systems (Central America, Pacific, and Western Africa), studies on Illegal, Unreported and Unregulated (IUU) fishing and the development and implementation of follow up actions to improve information on fisheries worldwide.

391. The improvement of fisheries data collection in China through the development of pilot studies on sample based fisheries surveys by FAO contributed to amending the Chinese Statistics Law. China has now adopted a Plan on Sustainable Fisheries Production which includes "zero growth" in fisheries production, thus stemming risks of over reporting at province level.

#### *6.3.2 Assessment and management of risks in Aquaculture*

392. Funded exclusively by PCA-Norway, this activity was implemented by FIMA<sup>66</sup> in reply to recommendations from the 2nd and 3rd sessions of Sub-Committee of COFI<sup>67</sup> on Aquaculture on the development of studies on risk assessment. It produced the Manual on Understanding and Applying Risk Analysis in Aquaculture Process which was prepared based on methods developed by WTO. An Expert Workshop was convened by FAO and NACA in Thailand (June 2007) to initiate the development of the Technical Guidelines on the Application of Risk Analysis in Aquaculture.

393. The Manual is a useful decision making tool in particular for Government organizations, to understand and decide whether to undertake a risk analysis or not. The overall process had a strong element of capacity building on risk assessment.

#### *6.3.3 Policy advice and international instruments for responsible fish trade and food security*

394. PCA-Norway funded 80% of this activity, implemented by FIIU<sup>68</sup> in line with Art. 11.2 and Art. 11.3 of the CCRF. It produced the Technical Guidelines for Responsible Fish Trade in accordance with the principles, rights and obligations established by WTO and other relevant international agreements. COFI Sub Committee on Trade adopted the Guidelines in June 2008 and recommended their publication.

395. The guidelines can contribute directly to food safety and quality establishing minimum requirements imposed by importing States. They acknowledge the need for capacity building in areas such as improving fishery management, and implementing catch documentation, trade certification and eco-labelling schemes. It is too early to assess the adoption and results of this normative instrument on national policies.

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66 FAO Aquaculture Management and Conservation Service

67 FAO Committee on Fisheries

68 FAO Fish Utilization and Marketing Service

#### *6.3.4 Development of guidelines for aquaculture certification*

396. PCA-Norway contributed 50% of the funds for this activity complementing Regular Budget funds. Global guidelines were developed by FIMA in response to a request from the 3rd session of COFI Sub-Committee on Aquaculture, to which they will be presented for approval at its next session.

397. These global guidelines were developed in partnership with NACA and NGOs, through a transparent and exhaustive consultation process that ensured ownership. They establish minimum substantive criteria on animal health and welfare, food safety and quality, environmental integrity and social responsibility to be used by entities that develop and implement a certification scheme for aquaculture. There is potential for capacity building as they expressly recognise the special circumstances and requirements of certification bodies in developing countries.

#### *6.3.5 Capacity building for sustainable exploitation of small-scale fisheries*

398. Fully funded by PCA-Norway, this activity was implemented jointly by FIIT and ESWD and aimed at building capacity for sustainable exploitation of small-scale fisheries. The specific objective was to build awareness about responsible small scale fisheries development and management and to strengthen capacities to engage in good practices through a sustainable partnerships network of capacity-building institutions and fishers' organizations.

399. Work was carried out in several West African countries (Gambia, Guinea Bissau, Sierra Leone, Mauritania, Senegal, Guinea and Cape Verde) and included the review and inventory of activities and training materials related to CCRF and safety-at-sea. PCA-Norway funds allowed extending the work through the Sustainable Fisheries Livelihoods Programme (SFLP), by reaching out to other communities. In particular, it contributed to setting up pilot projects in fishing communities in the Gambia for the organization and capacity building of sea safety groups and for the strengthening and capacity building of legalized fish dryers and smokers community groups.

400. This activity contributed directly to poverty alleviation through the legalisation of two sea safety groups which involved over 60 men. It also incorporated a gender perspective enhancing the knowledge and skills of over 20 women fish dryers and smokers on fish handling, processing and quality control.

#### *6.3.6 Umbrella support to NGOs*

401. Thanks to financial contributions from the PCA-Norway and FAO Regular Budget, NGOs have been supported through FIEL in convening national and regional workshops for the promotion of responsible fisheries and aquaculture in various areas, including awareness raising for artisanal fishing professionals in West Africa (Mauritania, September 2006) and asserting rights and defining responsibilities from the perspective of small-scale fishing communities on coastal and fisheries management in Asia (Cambodia, May 2007).

402. Since FAO's capacity to undertake field development work decreased in the last few years, development of partnerships with NGOs for grass-root/field level implementation is a way of strengthening the link between normative and operational activities at country level and facilitating implementation of FAO's policy assistance at national level. This activity has also contributed to strategic cooperation with other international organisations and partners and to working with a broader range of stakeholders. Contribution to poverty alleviation is indirect and medium to long-term.

#### *6.3.7 Support to Species Identification Programme (SIDP) and support to IPOAs: Sharks/SIDP:*

403. With the objective of improving the identification of marine organisms of actual and potential interest to fisheries, PCA-Norway has almost fully funded the development of some publications: Catalogue of Cephalopods of the World (II Volume not printed yet); FAO Species Identification Cards on Sharks and Rays of the Red Sea and Gulf of Aden; CD-Rom Sharks, Rays and Chimaeras – International Plan of Action for the Conservation and Management of Sharks.

404. These publications are substantial sources of knowledge contributing to the improvement of fisheries data quality; they are only directly relevant to the PCA-Norway criteria except indirectly through MDG 7. However the adoption of IPOAs for the conservation and management of sharks at national and regional level are important to their conservation and sustainable management. Their long-term dissemination and use at country level has yet to be determined.

## **6.4 Conclusions**

405. PCA-Norway has generally been described as an essential, effective and flexible source of funding which has not created a parallel structure in FAO in general and within the Fisheries Department in particular.

406. The great majority of activities supported with PCA-Norway funds were relevant to both B1.2 and B2.3 Components, due to the inter-linkages between the international dimension of the CCRF and the national policies, legal instruments and supporting mechanisms to implement it at domestic level.

407. The decision making process within the Advisory Group seems to lack transparency and there appears to be an implicit agreement in place that PCA-Norway funds are evenly split among the different divisions without prioritisation or measuring of activities against the Agreement's criteria. It should also be noted that in spite of LEGN being part of the Group during the assessment period, it was not involved in any legal activity funded by FishCode.

### ***Suggestion 8.***

*Evidence gathered during the evaluation of the FishCode Component of the PCA-Norway suggests the need for an independent evaluation of the FishCode programme. This should be agreed among all contributing partners and should aim at improving the implementation mechanisms of the Programme.*

408. PCA-Norway funds were directed mostly to support FishCode normative and global work, in particular for the development of guidelines, manuals and publications. These have set up the framework to facilitate implementation of national policies and legal instruments in the future. Focus at country level was very limited, confined to the work in West Africa and to the support provided to a few NGOs.

409. The nature of this normative work and the allocation of funds entailed that overall contribution to poverty alleviation was indirect and inadequate, exception made for work in West Africa. On the other hand, relevance to environmental issues and to countries' needs was satisfactory throughout. None of the activities contributed to HIV/AIDS and only one took account of gender specifically.

410. Capacity building was better mainstreamed included across many activities. In particular, the umbrella support to NGOs aimed at improving capacities at national and regional level on a number of activities, but budget allocated limited the scope of this activity to only three NGOs.

411. Some of the activities were based in strategic cooperation with other international organisations (such as WTO for responsible fish trade) or developed in cooperation with other relevant partners (such as NACA for aquaculture). No cases of cross-sectoral and interdisciplinary work were found and there was no work across departments.

412. Information gathered on the process and mechanism of funds allocation by the FishCode Advisory Group seems to indicate that the current process prevents a use of PCA-Norway funds more coherent and consistent with the Agreement criteria. This is indeed confirmed by the analysis of the list of activities reported as funded by PCA-Norway, to be found below in chapter 6.5. Neither was it possible to assess the number of countries that have benefited from the support of Component B2.3.

413. In conclusion, the Evaluation sees discrepancies between FishCode allocation of PCA-Norway funds and the Agreement's criteria, in particular in relation to poverty alleviation, interdisciplinary and cross-sectoral work, gender mainstreaming and focus on LDCs.

***Recommendation 9***

**In the fisheries sector PCA-Norway should give priority to strengthening the link between normative and operational activities, including support to the design and improvement of national legal, institutional and regulatory frameworks. This should be both directly at country level and/or through Regional Fisheries Bodies in a way that is compatible with the Programme's criteria using a more inter-disciplinary and inter-departmental approach.**

### 6.5 List of outputs

414. The list of outputs here below was provided by FishCode management.

**Figure 17. List of Activities funded by PCA-Norway/Components B1.2 and B2.3 in 2006 and 2007 through FishCode Trust Fund (MTF/GLO/125/MUL) 2006**

Activity Code/ [PCA Objective Reference]	Activity Title	Budget (USD)	RP Technical Links/ Other Programme Links	Inter-Dept	Results/Outputs	Report Available
Att:NOR/06/1a [B1.2 + B2.3]	Implementation of the FAO Strategy for Improving Information on Status and Trends of Capture Fisheries (STF Project)	251,286 (PCA share = 57%)	FIES (ex-FIDI) x		Continuing activity. For 2006: (a) completing a worldwide inventory of fisheries data collection systems and identifying improvements to existing methods; (b) regional workshop for Central America and Caribbean (with Central American Organization of the Fisheries and Aquaculture Sector – OSPESCA); (c) regional workshop for the South Pacific (with the Secretariat of the Pacific Community – SPC); (d) collaborative work with the Fishery Resources Monitoring System (FIRMS) on a worldwide inventory of the status of fish stocks; (e) workshop on inland fisheries monitoring of the AQUINF Project (SE Asia); (f) support to the workshop on stock assessment of FIPECSA (Central America); (g) national workshop on sample-based surveys in China; (h) support to the improvement of Queen Conch monitoring in Central America; (i) support to increasing the profile of small- scale fisheries in Nicaragua; (j) participation in an Expert Meeting on Fishery Statistics, Information and Indicators organized by SEAFDEC; (k) study on the implications of illegal unreported and unregulated (IUU) fishing in the Arafura Sea (Indonesia); (l) preparation of FishCode STF activities in West Africa in collaboration with CECAF.	STF Working Papers; STF 6 month Progress Reports
Att:NOR/06/2a [B1.2 + B2.3]	Assessment and management of risks in aquaculture (FIRI)	114,131 (est. PCA share = 100% for activities (a) through (c); very minor	FIMA (ex-FIRI)/FIEP (ex-FIPP)		(a) Study on understanding the risk analysis process and how it can be applied to the aquaculture sector; (b) an Expert Workshop to present study results initiate development of 'Technical Guidelines on the Application of Risk Analysis in Aquaculture'; (c) Participation in the OIE Global Conference on Aquatic Animal Health, October 2006, Bergen, Norway; (d) Participation in the Regional Workshop on Aquaculture	Manual on Understanding and Applying Risk Analysis in Aquaculture Production and the Expert Workshop's Report (not yet published) FAO Fish Tech Pap 496;

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Att:NOR/06/2b [B1.2]	Inland fisheries ecolabelling consultation.	for (d) 34,536	FIMA (ex-FIRD)/FIU/FIE P (ex-FIPP)	Insurance, (planned April – May 2007, Bali, Indonesia). Expert Consultation convened (23-26 May 2006).	FAO Fish Rpt 804
Att:NOR/06/2c [B1.2]	Support for Straddling & HM Stocks Review	11,512	FIMF (ex-FIRM) + UN Division of Ocean Affairs and Law of the Sea (DOALOS)	Review completed (FAO contribution to preparation of report of the UN Secretary General to the Review Conference, Agreement for the Implementation of the Provisions of the UN Convention on the Law of the Sea of 10 December 1982 Relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks, New York, 22-26 May 2006).	FAO Fish Tech Pap 495
Att:NOR/06/2d [B1.2]	Support for Species Identification Programme (SIDP)	56,570 (PCA share = 100%)	FIMF (ex-FIRM)	Support to SIDP objective of improved identification of marine organisms of actual and potential interest to fisheries through: (a) provision and dissemination of tools to facilitate species identification in fisheries, and in so doing, improve fisheries data quality; and (b) provision of a global and coherent system of scientific and common nomenclature.	Catalogue of Cephalopods of the World: Volume II
Att:NOR/06/2e [B1.2 + B2.3]	Support to WECAFC working groups/ Capacity-building missions to the member countries of WECAFC.	57,560	FIMF (ex-FIRM)/ SLAC	Technical missions to facilitate preparations for and implementation of Regional Workshop on the Assessment and Management of the Caribbean Spiny Lobster ( <i>Panulirus argus</i> ), Merida, Mexico, 19–29 Sept. 2006.	FAO Fish Rpt 826
Att:NOR/06/3a [B1.2]	Support to FI GEF Project Formulation	45,795	FIIT	Allocation to support FishCode GEF Advisor, for project formulation work, by agreement with Norway.	Consultant inputs.
Att:NOR/06/3b [B1.2 + B2.3]	Human capacity building for sustainable exploitation of small-scale fisheries	109,365 (PCA share = 100%)	FIIT/ Rural Institutions and Participation Service (SDAR)	Awareness building for responsible small scale fisheries development and management and capacity strengthening to engage in good practices in poor fishing communities within seven countries of West Africa.	Misc. mission and project reports.
Att:NOR/06/3c [B1.2 + B2.3]	Development of policy advice and international instruments for responsible fish trade and food security	114,131 (est. PCA share = 80%)	FIU	Preparations for and convening of Expert Consultation on Technical Guidelines for Responsible Fish Trade.	FAO Fish Rpt 835
Att:NOR/06/4a [B1.2 + B2.3]	Regulatory process and the sustainability of Small Scale Fisheries in Latin America	57,560	FIEP (ex-FIPP)	<i>FAO Expert Consultation on fishing access regulations and the sustainability of small scale fisheries in Latin America</i> , took place in Lima, Peru during four days from 9 May 2006. Twenty invited experts participated in the meeting, with a programme that included: (i) evaluation of the status of the small-scale fisheries in the region and identification of main trends that may	<i>FAO Informe de Pesca</i> . No. 803. Roma, FAO.



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Att:NOR/06/ PRG_CON (d)	Tech Papers on shrimp aquaculture	9,210	FIMA (ex-FIRI)	Publication of two technical papers.	
Att:NOR/06/ PRG_CON (e)	Initiatives in Ecosystem-based & Integrated Coastal Fish. Mngmt	28,780	FIEP (ex-FIPP)/ FIMF (ex-FIRM)	Preparations for and convening of Expert Consultation (June 2006).	FAO Fish Rpt 799
Att:NOR/06/ PRG_CON (h)	Support to International Working Grp on construction standards for wooden fishing vessels.	41,167	FIIT	Collaborative activities with Norwegian University of Science and Technology for development of international standards.	Project progress reports.
Att:NOR/06/ PRG_CON (i)	"African Water Resource Database"	8,000	FIMA (ex-FIRI)/ FIMF (ex-FIRM)	Support for publication of "African Water Resource Database".	"African Water Resource Database", Parts 1 & 2.
Att:NOR/06/ PRG_CON (j)	Support for preparations towards the Workshop on Sustainable Use of Sea Cucumber Fisheries (18 - 23 November 2007, Galapagos Islands).	7,500	FIMA (ex-FIRI)/ FIMF (ex-FIRM)	(a) Organization of the International Workshop on "Sustainable use and management of sea cucumber fisheries", held in the Galapagos Island, 19 - 23 November 2007 (see BTOR attached). The results of the workshop are currently being used to prepare Technical Guidelines on the Sustainable Use and Management of Sea cucumber Fisheries. (b) Preparation of a global review of the status of sea cucumber stocks, fisheries and trade. The publication is being finalized and should be available for distribution by the second semester of 2008.	Mission reports.
Project Support Costs (PSC – 13%)		189,980			
	TOTAL 2006	1,535,000			

2007

Activity Code/ [PCA Objective Reference]	Activity Title	Budget (USD)	RP Technical Links/ Other Programme Links	Inter-Dept	Results/Outputs	Report Available
Att: NOR/07/1a [B1.2 ]	Development of guidelines for aquaculture certification	63,685 (est. PCA share = 50% for activities overall)..	FIMA (ex-FIRI) N.B.: Complementary funding from PCA/D1 Objective on		(a) Establish expert group (Advisory Committee) on aquaculture certification. (b) Review existing certification procedures and systems and develop guidelines for aquaculture certification for global acceptance and transparency through a comprehensive participatory process. (c) Develop more globally accepted norms and standards for aquaculture production to improve	Mission/Workshop reports. Guidelines for Aquaculture Certification (Draft) Beijing Certification



Annex 6, Components B1.2 and B2.3

			biosecurity and Reg Prog		harmonization and facilitate mutual recognition and equivalence of aquaculture certification schemes. (d) Elaborate <i>International Principles</i> on other important aquatic commodities and develop appropriate BMPs to encourage a minimum acceptable level of performance (and eliminate bad practices). (e) Promote partnership in implementation of the IPs among Consortium partners, regional and national stakeholders. (f) two dedicated expert workshops – Bangkok Expert Workshop – March 2007 and Brazil Expert Workshop – August 2007.	Workshop Report (06-08/May/2008) <a href="http://www.fao.org/fishery/about/cofi/aquaculture">http://www.fao.org/fishery/about/cofi/aquaculture</a> or <a href="http://www.enatac.org/certification">http://www.enatac.org/certification</a>
Att:NOR/07+/1b [B1.2 + B2.3]	Development of CCRF technical guidelines on genetic resources management in aquaculture	16,231	FIMA (ex-FIRI)		Response to requests by governing and advisory bodies of FAO and the international community to examine CCRF articles related to genetic resource management and to develop comprehensive technical guidelines.	CCRF technical guidelines on genetic resources management in aquaculture (Draft).
Att:NOR/07/1d [B2.3]	Analysis of the Legal Feasibility of Tradable Access and Harvesting Rights (Entitlements) in the Mozambique Sofala Bank Shrimp Fishery	5,217	FIMF (ex-FIRM)		Study to determine and document legal feasibility in the context of Mozambique law of using tradable rights to units of fishing effort or fractions of the total allowable catch in the Sofala Bank shrimp fishery, identify issues of law that may need further clarification or red-drafting of legislation, and to provide draft text on changes in existing and proposed legal texts that would be necessary to enable strong property rights to be introduced in controlling the amount of fishing effort permitted in the Sofala Bank Shrimp Fishery.	Draft report.
Att: NOR/07/1e [B1.2]	Support to IPOAs: IUU & Sharks/ Species Identification Programme (SIDP)	89,052 (est. PCA share = 90% for activities overall)..	FIMF (ex-FIRM) N.B.: Some complementary funding Reg Office for Latin Am.		Support to SIDP objective of improved identification of marine organisms of actual and potential interest to fisheries through: (a) provision and dissemination of tools to facilitate species identification in fisheries, and in so doing, improve fisheries data quality; and (b) provision of a global and coherent system of scientific and common nomenclature. Support for NPOA workshops, Latin America. Funding was used by the Latin Am. Regional office for work related both to IPOA IUU and IPOA Sharks. We are still awaiting a complete set of reports. Further queries have been made.	Shark and Rays CD Rom; Shark and Rays pamphlet for the Red Sea and Gulf of Aden.
Att: NOR/07/2a [B1.2 + B2.3]	Technical Consultation: Technical Guidelines for Responsible Fish Trade	62,284 (est. PCA share = 80% ; rest from Reg. Prog.)	FIU		Preparations for and convening of Technical Consultation.	FAO Fish Rpt 854 The Sub-Committee for Fish Trade (02-06/June 2008) adopted the Technical Guidelines and recommended their publication

## Annex 6, Components B1.2 and B2.3

Att: NOR/07/2b [B1.2 + B2.3]	Support to IPOAs: IUU. FAO Case Studies - Vessel Registry Project	46,063 (PCA share = 100%)	FIIT	In support of the IPOA IUU Fishing, conduct of a series of case studies on vessel registry systems (form and design, operation and maintenance, issues of ownership, flag State practices, compliance with IMO Conventions, confidentiality, etc., analysis).	Case study: Cook Islands FAO Fish. Rpt: Expert Consultation Development of a Comprehensive Global Record of Fishing Vessels, Refrigerated Carriers and Support Vessels (Draft in preparation).
Att: NOR/07/3a [B1.2 + B2.3]	Support to implementation of the FAO Strategy STF	204,387 (PCA share = 47%)	FIES (ex-FIDI)	Continuing activity. For 2007: (a) Continued collaboration with Fisheries Resources Monitoring System (FIRMS) on global fisheries inventories. (b) Expert working group on Small Scale Fisheries Assessment Framework (Rome, 7 – 17 May 2007), organized jointly with WorldFish Center. (c) Sub-Regional Workshop on Improving information on Status and Trends of capture fisheries in the West Central Gulf of Guinea (Accra, Ghana, 26 – 28 June 2007). (d) Joint project to facilitate the scaling up of pilot sample surveys to the provincial level. Shandong Province, the largest fish producer province in China. (e) Follow-up recommendations of the 2005 FAO/SEAFDEC Workshop. (f) Follow up on recommendations of the 2006 FAO/OSPESCA Workshop. (g) Follow-up of the recommendations of the 2006 FAO/SPC Workshop. (h) Technical assistance for meeting of the CECAF working group on small scale fisheries, (Cameroon, 17 – 19 September 2007). (i) Technical assistance for expert meeting and the Ministerial conference on the establishment of the Fishery Committee for the West Central Gulf of Guinea (FCWC; 5 – 8 November 2007, Cotonou Benin).	STF Working Papers; STF 6 month Progress Reports
Att: NOR/07/3b [B1.2 + B2.3]	Support to implementation of the FAO Strategy STA	32,508	FIES (ex-FIDI)	(a) Develop appropriate terms of reference for the Coordinating Working Party on Aquaculture Statistics. (b) Develop a plan for moving forward towards establishing a more formal arrangement for the CWP for Aquaculture including institutional and financial aspects. (c) Provide comment on the full project document developed for the implementation of the Strategy.	FAO Fish Rpt 863. Mission reports. STA Project Document
Att: NOR/07/4a [B1.2 + B2.3]	Development of the Aquatic Commons: an information network for Open Access to inland fisheries and aquaculture	17,941	FIES (ex-FIDI), KCEL/ NACA/ IAMSLIC	(a) Prepare preliminary training packages on the use of Internet based fisheries information systems and on the digitization and dissemination of published information via the Internet. (b) Organize and convene training Workshop in Africa. (c) Prepare report of Workshop and finalized training packages for Internet	FAO FishCode Review No. 20. Mission reports.

Annex 6, Components B1.2 and B2.3

	information.					dissemination.	
Att: NOR/07/4b [B1.2 + B2.3]	Legal assistance to LAO PDR for drafting fisheries legislation.	4,234	FIEP (ex- FIPP)/LEGN	X	To develop a fisheries law that encompasses appropriate elements for fisheries management and regulation through direct legal assistance and a consultation process to ensure that other relevant law and policy is either accommodated or are not contradicted.	TBC w/ LEGN	
NOR/07/PRG _	Programme Coordination/ Development/Administrat ion	32,641			Core Programme support		
NOR/07/PRG _CON_a [B1.2 + B2.3]	Expert Consultation on Low-Cost Fisheries Management	65,870 (PCA share = 807%)	FIEP (ex-FIPP) N.B.: Complementary funding Reg Prog & Reg. Off for Latin Am..		Preparations for and convening of Expert Consultation.	FAO Fish Rpt 853 (in press).	
NOR/07/PRG _CON_b [B1.2 + B2.3]	Support to SFLP Extension	69,839 (PCA share = 23%)	FIEP (ex-FIPP)		Interim bridging support for Sustainable Fisheries Livelihoods Programme follow-up activities, development of successor programme for West Africa.	African Small Scale Fisheries Study	
NOR/07/PRG _CON_d [B1.2 + B2.3]	Expert Consultation on "improving planning and policy development in aquaculture	7,014	FIEP (ex-FIPP)		Preparations for and convening of Expert Consultation.	Draft meeting reports.	
Att:NOR/07/ PRG_CON_e [B1.2 + B2.3]	Umbrella support to NGOs	23,000 (est. PCA share = 50%)	FIEL (ex-FIPL)		International Collective in Support of Fishworkers – preparations for and convening of a regional meeting of fish worker organisations in Eastern Africa - 'Asserting rights, Defining responsibilities: Small scale fishing communities and coastal fisheries management perspectives.'	Letter of Agreement.	
Project Support Costs (PSC –13%)		96,220					
	TOTAL 2007	836,372					

## Annex 7

### **Component B1.3, Development and implementation of the International Arrangement on Forests and Component B2.4, Support to member countries in their efforts to achieve sustainable forest management**

#### **7.1 Introduction**

415. The PCA-Norway agreement stated that two components should be directed to support the work of FAO Forestry Department, namely:

- Within Corporate Strategy B1, “International Instruments concerning Food, Agriculture, Fisheries and Forestry and the production, safe use and fair exchange of agricultural, fishery and forestry goods”, Component B1.3 in support of the development and implementation of the International Arrangement on Forests.
- Within Corporate Strategy B2, National policies, legal instruments and supporting mechanisms that respond to domestic requirements and are consistent with the international policy and regulatory framework, Component B2.4 in support of increasing assistance to countries in achieving sustainable forest management, including through support to national forest programmes in partnership with the National Forest Programme Facility..

416. Component B1.3 benefited of a total contribution of USD 829,496 and Component B2.4 of a total amount of USD 1,547,783. This represented 13.75% of the total PCA-Norway budget. Other funds from Component A1.2/FOEP (see Annex 5) also benefited the forestry sector, in the range of USD 300,000, thus raising the total allocation to the sector to 16%. This sub-component is assessed in Annex 5, Component A1.2.

417. Component B1.3 represented 10% of RB resources available for the biennium 2006-07, and 29% of the EBF resources in the same period, calculated on the basis of the Programme Entities supported through the PCA-Norway. In the case of B2.4, respective financial weight was 25% of the RPB, which was the fourth highest across components, and 5% of the EBF in the biennium. In other words, both Components have been an essential source of funding for the Forestry managing units, and complemented rather substantially financial resources available to these in the biennium.

418. In terms of contribution to FAO Strategic Framework, both components related to a wide range of Strategic Objectives.

#### **7.2 Management**

419. The two components were implemented by FOEL and FOEP respectively; parts of B2.4 were managed by both the Forest Management Division and the National Forest programme Facility (NFPP). In the case of B1.3, FAO Forestry Regional Teams were strongly involved in the work in support of the Forestry Regional Commissions. FOEP devoted about 34% of its resources to salaries of professionals, the highest share among eight components<sup>69</sup>.

420. The disbursement of PCA Norway funds was very much intertwined with the RB and other EBF: the Evaluation had difficulties in identifying the specific contribution of PCA Norway funds to the Regular Programme work.

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<sup>69</sup> The BH of the Component stated that the unit had suffered from severe cuts in RPB staff resources at the beginning of the biennium, more than others in Forestry.

### **7.3 Assessment of Activities under Component B1.3**

#### *7.3.1 Support to the Regional Forestry Commissions*

421. Six Regional Forestry Commissions were established by the FAO Conference between 1947 and 1959. Every two years, the Commissions bring together the Heads of Forestry in each major region of the world to address the most important forestry issues in the region, to consider both policy and technical issues. The Commissions play a key role in the international arrangement on forests, serving as a link between global dialogue at the Committee on Forestry (COFO) and the United Nations Forum on Forests (UNFF), and national implementation. Some of the Commissions depend on external funding for their work.

422. Component B1.3 has been instrumental in improving the global recognition of Regional Forestry Commissions (RFCs) as important regional fora for information exchange and a channel to disseminate and implement internationally agreed actions. Norwegian funds were used to encourage more participation of national and regional NGOs and to improve meeting procedures. Regional Forestry Commissions contributed to the development of voluntary guidelines (sustainable logging, plantation forests, forest fires, law enforcement) and PCA funds were used to disseminate these guidelines through regional meetings and workshops. The important Asian initiative “In search of excellence, compiling best practices in participatory forestry” was replicated in Latin America through PCA-Norway funding.

423. Regional Forestry Commissions are considered important fora for information exchange. Increased participation of non-government stakeholders is seen as a big improvement compared to the past “government dominated” commission meetings. Document analysis and evidence from a few participants to these Regional Forestry Commissions highlighted a number of positive and negative issues regarding the organisation of RFCs’ meetings including Member Countries’ inability to participate in the preparation of meetings’ agendas: there is some evidence showing that it has been increasingly difficult to discuss important issues such as the relevance of FAO’s support programmes to Member Countries’ priorities.

424. FAO’s support to the revitalisation of Regional Forestry Commissions has been instrumental in the development and implementation of international agreements on forests. This activity however contributes only indirectly to some of the main PCA-Norway criteria such as country focus and contribution to poverty alleviation. Contribution to environmental sustainability is more visible and direct however the level of intervention makes it relevant only in the medium- to long term. It would be most useful if PCA could support efforts to ensure that the agenda and recommendations of the Regional Forestry Commission meetings are developed and prioritised with the participation of stakeholders at all levels enabling country priorities to have a stronger say on the agenda and on FAO’s support at regional and country level.

#### *7.3.2 Support to the Collaborative Partnership on Forestry (CPF)*

425. PCA-Norway funds have allowed FAO to play a key role in the CPF, involving all the significant international organisations involved in forestry. The partnership has consolidated collaboration between these key players and focuses on the promotion of sustainable forest management. CPF’s efforts to standardise and facilitate forestry related reporting by countries, was an important initiative but only a partial success due to the specificity of some legally binding reporting requirements. The establishment of a list of funding sources for forestry projects was another important global output of the CPF. Increased participation of CPF members in Regional Forestry Commission meetings has contributed to the quality of these meetings and the more systematic sharing of information. Networking, coordination, joint publication of documents and information sharing is not new to members of the CPF but this initiative has certainly increased and formalised collaboration.

426. No specific examples of consolidated CPF activities at national level could be found despite stated intentions although evidence of inter-agency collaboration between some CPF members and other organizations exists at country level (in Burkina Faso and Kenya) in the form of the more traditional “Forestry Donor Working Groups” and UNDAF process.

427. The Evaluation formulated one suggestion for the Forestry department, to improve effectiveness of work with the CPF at country level.

***Suggestion 9.***

*At country level, FAO should work toward better consolidation and prioritization of the work of existing “Forestry donor working groups”, UNDAFs and other existing partnership structures, aiming at more systematic joint implementation or co-funding of important national forestry or natural resource management programmes by members of the CPF and beyond. Among others, a first step could be strengthening collaboration between CPF with the National Coordination Committees set up by the NFP Facility.*

## **7.4 Assessment of Activities under Component B2.4**

### **7.4.1 Promote participatory approaches for national forest programmes**

428. The National Forest Programme Facility (NFPF) is a multi-donor trust fund established within FAO Forestry Department. Its objective is to strengthen the development, implementation and monitoring of National Forest Programmes through the promotion of active participation of all relevant stakeholders. The NFPF has a global strategy but focuses on national level support. The process is driven by national committees, including forestry professionals from government and non-government organisations but also representatives from other relevant sectors.

429. So far, 57 countries have benefited from NFPF support, mainly through the allocation of grants of variable size to support work at country level, often directed to participatory forestry projects. The capacity building package on “How to make national forest programmes process work through participation” has been widely shared with the countries.

430. The Government of Norway initially contributed directly to the NFPF Trust Fund, but since 2004 it channelled resources to the NFPF through its PCA funds. The PCA-Norway 2005-07 contributes with about 26% of B2.4 support to the NFPF accounting for approximately 7% of the NFPF total budget.

431. The NFPF has been instrumental in bringing together government and non-government stakeholders in the forestry and related sectors and the small grants system has allowed forestry administrations to develop their ability to hire non-government service providers (NGOs, research institutions, consultancies, etc.) through a transparent selection process. These changes seem to have represented in many cases, a radical improvement in the way forest administrations develop and run their national forestry programmes.

432. Overall, the work of the NFPF is coherent with PCA-Norway 2005-07 thrust, in particular it has the potential to meet better than other forestry components’ activities, key criteria such as poverty alleviation, gender perspective, strengthening the link between normative and operational activities and can be important both in addressing and mitigating climate change.

433. On the other hand, the Evaluation notes that a relatively high percentage of the Component’s funds contributes a rather small percentage to NFPF budget; understandably, such a small contribution does not allow influencing the NFPF to allocate funds towards particular regions and countries that may be the focus of the PCA-Norway nor towards more holistic, inter-disciplinary and/or cross-sectoral work.

### **7.4.2 Integration of forestry issues into national Poverty Reduction Strategy Papers**

434. The Component selected 10 African countries to conduct country studies to assess and improve the visibility of the forestry sector in relation to national development strategies and/or PRSPs. A regional workshop was organised in collaboration with the NFPF, to share results among participating countries and to develop follow up activities for each country. Country reports and workshop proceedings provide a good baseline or measurement of the problems. The main conclusion of country studies and of the review workshop was the need to increase the apparently very limited

visibility of the forestry sector in national development strategies by improving relevant data collection and strengthening capacity. The process raised awareness about and the profile of forestry in other sectors and improved the capacity of Forestry Departments to reach out. At the same time close collaboration with the NFPF has raised the importance of taking poverty alleviation into consideration in the development of National Forestry Plans.

435. The case of Kenya illustrates this improved awareness and capacity to reach out. With PCA-Norway funds, the Kenyan Forest Service has developed and submitted a proposal for a follow up phase, to the country level NFPF steering committee. This also seems to be the case for other participating countries.

436. The country focus of this activity, although limited, has been targeted to low-income countries. Country specific follow up plans were developed during the regional workshop: their implementation will depend on resources availability in each country. Contribution to poverty alleviation was indirect, as per the nature of the activity. The work contributed to improving capacity and awareness that should facilitate future follow up activities in the implementation of the PRSPs.

437. Some of the country studies (e.g. Zambia) highlighted the potential of participatory forest management programmes in relation to poverty alleviation and therefore in increasing the visibility of the forestry sector in PRSPs. However, this important link was not emphasised in the workshop proceedings and country follow up plan.

#### **Suggestion 10.**

*Future country level work could include the evaluation of past, on-going or planned forestry interventions, especially participatory forestry programmes, in terms of their contribution to poverty alleviation. Encouraging countries to make that analysis and to focus their NFP on activities contributing directly to poverty alleviation, should significantly contribute to the improved visibility of the forestry sector in PRSPs. Developing poverty or people focussed NFPs, based on this analysis, should also contribute to the improved funding of the sector by governments and donors.*

#### **7.4.3 Forest micro-enterprise development**

438. PCA-Norway funds were directed to fund FAO's Small and Medium Forest Enterprises (SMFE) development programme which originally targeted a small number of countries in Africa (Burkina Faso, Uganda, Gambia, Mozambique), Asia and Latin America but has slowly expanded through spin-off projects (GCPs and TCPs) and partnerships with NGOs.

439. The SMFE programme uses a community based development approach and promotes multi-stakeholder involvement in programme development. This programme has benefited from an informal cross-departmental collaboration with the IDWG working on agricultural producer organisations and AGSF working on micro-finance and small enterprise development, as well as from collaboration with international and national NGOs (e.g. IIED<sup>70</sup> and SNV<sup>71</sup> in Nepal with ANSAB; in Burkina Faso with Tree Aid).

440. There is some evidence that FAO's work on forest micro-enterprise development has directly contributed to poverty alleviation and livelihood improvement for women in Burkina Faso where local partners helped create and develop some 116 micro-enterprises with support from FAO. The National Forestry Department was the main partner, together with other relevant administrations and NGOs, including the Ministry of Women Affairs.

441. PCA-Norway support was provided to accompany beneficiaries through the different steps of the micro-enterprise development model or cycle. Inputs focused on training and capacity building and it resulted in the elaboration of new and well funded micro-enterprise development programmes by the original partner NGO (TREEAID) and UNDP. The newly established Non Timber Forest Product (NTFP) working group includes important international organisations such ICRAF, UNDP, CIFOR, etc., and will now work together with FAO on a TCP on legal framework development.

70 International Institute for Environment and Development

71 Netherlands Development Organisation

TREEAID, has developed a complementary Participatory Forest Management programme to support its micro-enterprise development activities.

442. The Forest Connect Initiative (2007) was developed by FAO with PCA-Norway funds in partnership with IIED, to support the SMFE programme. The aim is to develop national networks of small forest enterprises, to promote the creation of associations and to improve access to information about markets, policies and service providers. The initiative is open to other sectors such as agriculture. The current phase of Forest Connect is the assessment of existing structures and needs. The second phase will focus on the development of a toolkit for the establishment of micro-enterprise networks with a third phase to test and disseminate the toolkits. Additional World Bank funding (PROFOR) and active participation of the NFP Facility has been secured for ten countries in the second and third phase of Forest Connect.

443. Work on micro-enterprises development has highlighted the essential link between the sustainable management of forest resources and the viability and sustainability of small forest enterprises and the Evaluation considers that the importance of strengthening local forest tenure and promoting participatory forest management as part of micro-enterprise development strategy should be fully recognised and internalised.

#### *7.4.4 Improving forest law compliance/combating illegal practice*

444. PCA-Norway funds were used to collect information regarding best practices in improving law compliance and published “Best practices for improving law compliance in the forest sector”. Among these, security of tenure by local communities is considered one of the most important mechanisms to ensure accountability and for improvement in combating illegal practices.

445. This publication was presented at four regional workshops (Amazon, Central Africa, Central America and Southeast Asia) funded by PCA Norway and organised in collaboration with the International Tropical Timber Organization (ITTO). This regional approach allowed comparison of best practices and analysis of cross boundary collaboration to combat illegal logging. Workshop findings will be used to update and consolidate this toolkit on best practices. Although the best practices recognised that community participation and securing secure tenure rights was essential to success, the workshop proceedings did not clearly highlight this important aspect of forest law enforcement as one of the main priorities for future FAO FO intervention in this field.

446. The work at regional and sub-regional level seems to have been an appropriate entry point to commit countries to common objectives of combating illegal logging and improving forest law compliance, which could have positive effects at the national level. However, results at country level may not materialize before long and the global and regional approach adopted by this programme has not allowed results at country level recommended in the PCA-Norway. The programme has significantly contributed to the promotion of sustainable forest management but links with poverty alleviation are only indirect.

447. To improve forest law compliance and combat illegal logging more attention needs to be given to forest tenure and participatory forest management and it would be appropriate for PCA-Norway to fund joint activities on improving tenure security to encourage forest law compliance with Component A1.2 and other Forestry divisions..

#### *7.4.5 Develop national forest monitoring and assessment programmes*

448. A small amount of PCA Norway funds contributed to complement the budget of the National Forest Resource Assessment Programme. The programme focuses on developing national capacity to conduct resource assessments and improve data analysis and has triggered responses ranging from a review of the national forest harvesting regime, institutional reorientation and to updating legal frameworks. Normative work includes the improvement and/or harmonisation of internationally accepted land use classification and definitions as well as the improvement of monitoring methodologies, through capacity building at national level. Ultimately, the programme aims at triggering or consolidating policy responses. Some examples include the review of national forest



harvesting regimes, the institutional reorientation and improvement of national forest programmes, the update of relevant legal frameworks and policies, among others.

449. Kenya's Integrated Natural Resources Assessment (INRA) developed in partnership with PCA-Norway funds and FNPP, was a good example of a totally integrated land use and natural resources inventory, involving a wide range of national institutions and promoting inter-sectoral policy dialogue. This multi-disciplinary approach allows wider use of inventory data (for food security assessments, land degradation, agro-biodiversity, impact of climate change, carbon accounting, etc.), but it also makes inventories more expensive and complicated. INRA is having some difficulties in completing data analysis for the original 3 sample plots (10% of country area) and to expand its coverage, despite apparent local and donor interest.

450. The country focus of this programme has been very strong and its contribution to sustainable forest management, through more informed and appropriate policy response, is well established. The direct contribution to poverty alleviation however is limited. The collection and use of sub-national data could be beneficial for local development initiatives, but a more careful cost-benefit analysis would be necessary before suggesting such steps.

451. National inventories include data on forest tenure (ownership and custodianship or user rights) and other socio-economic aspects of forest utilisation and management. There appears to be limited collaboration between the National Forest Assessment Programme and the work undertaken for the Global Forest Resource Assessment (FRA) through the forest tenure work in Component A1.2.

452. The National Forest Assessment Programme should work more closely with Global FRA, the Forest Policy Service and the NR Department to ensure activities on the improved assessment of forest tenure is coordinated and leading to better data quality at country level and in the FRA 2010. The programme would also benefit from closer collaboration with FAO participatory forestry experts in order to direct forest inventory efforts towards more practical and local applications such as the monitoring of forest management models and the development of systems to facilitate payments for environmental services.

#### *7.4.6 Develop widely supported voluntary fire management guidelines*

453. PCA-Norway support was instrumental in developing FAO's work on Fire Management. It leveraged the creation of a new Programme Entity on Forest Fires and Health within the Forest Management Division, and funded the operational budget and staff costs of the Forest Fire Management component.

454. Three major outputs on forest fires were achieved under this activity: a global assessment of forest fires, based on regional assessments; the development of a code of practitioners; and a scoping report on existing cooperation, that had been identified as a need during the global assessment.

455. The "Fire Management – Global Assessment 2006" aims at complementing the last Global Forest Resources Assessment (FRA 2005) regarding incidence, impact and management of fire. It is based on 12 regional working papers, its assessment recognises the positive and negative roles of fire and the need for more holistic management and also suggests that community based fire management approaches are probably the only sustainable, long term approach to improving the fire situation especially in Africa where incidence of fire is the highest.

456. The "Voluntary Guidelines on Fire Management" cover more than forest fires, and are technically sound in terms of fire management. They relate to some extent to community based approaches, including in the training of trainers in Community Based Fire Management. However, they did not address the need to establish secure access to benefits and control of the resource (tenure) to provide incentives for the active community participation so important to controlling fires. The approach envisaged recognises the importance of fire management on agricultural land and pastures, where most of the fires originate. Next steps should involve work at country level, to establish multi-stakeholder groups and to analyse strengths, weaknesses and needs, leading to consolidated national action plans on fire management.

457. There were several requests for translation of the guidelines in local languages, paid for by member countries themselves: these are good indicators of a keen interest in the subject and of the good quality of the product.

458. However, neither the Global Assessment nor the Guidelines refer to more effective mechanisms to provide incentives to communities to participate in forest fire management, such as the importance of forest tenure and secure users' rights and control.

459. Thanks to the PCA-Norway support to FAO on forest fires, a coordinator for this area of work could be recruited and the Organization was designated the Secretariat of the Fire Management Actions Alliance. PCA-Norway funds had a multiplier effect through multi-stakeholder contributions to the Alliance (World Bank, private sector, etc.). FAO resources and staff for this area remain limited and the resulting strategy is to work on policy and legal framework development and help existing programmes and projects.

460. This activity had so far had limited country focus, and although potential contribution to sustainable forest management is significant, the link with poverty alleviation would be only indirect.

### ***Suggestion 11.***

*There is a need to link the different aspects of FAO's work on Forest Fire Management to normative and country level work on NR tenure and participatory forest management. This multi-disciplinary subject and activity, as suggested by concerned staff, also needs involvement of other FAO departments.*

#### ***7.4.7 Responsible Management of Planted Forest***

461. The Forest Management Division (Forest Resources Development Service) used PCA-Norway funds to organise regional and sub-regional workshops to discuss the "Voluntary Guidelines on Planted Forests" which had been produced with RB funds, and to develop 3 year action plans to promote the responsible management of planted forests. A follow-up workshop took place during the last Asia Regional Forestry Commission meeting. China has expressed interest in developing its own national guidelines on planted forests, with support of the NFPF. Laos and Thailand are also interested in follow-up support. Next steps include the organisation of a workshop in Central America.

462. The guidelines are a sound technical product, which highlights important issues such as clarity of land and harvest tenure, multi-stakeholder participation in planning of reforestation or afforestation programmes, respect of indigenous and traditional ownership of land, etc. The activity shows a good use of PCA-Norway funds to take closer to the country-level one of FAO's normative products.

463. Follow up activities related to planted forests could emphasise the importance of land tenure issues and options. Contribution to poverty alleviation, social conflict, environmental impact, and potential land use conflicts are other important aspects to be considered when developing FAO's normative and field work on planted plantation forests. The importance of agro-forestry and appropriate bio-fuel production could also be considered and would be relevant under emerging and/or cross-sectoral issues to be addressed by the PCA Norway.

## **7.5 Conclusions**

464. The contribution of the PCA-Norway to the Forestry Department was fully mainstreamed into on-going RP and EBF programmes and projects, which allowed an efficient delivery by both Components.

465. It is evident that the support provided through the PCA-Norway contributed significantly to the outreach of the normative work of the Forestry Department. Interesting work has been done, covering many different forestry topics, some new some more traditional.

466. Component B1.3 has allowed strengthening work on forestry issues at global and regional level. Support to both Regional Forestry Commissions and the CPF structures contributed to raising country awareness on emerging global forestry issues such as implications of climate change, forest fires and invasive species and have increased political commitment to Sustainable Forest Management. Furthermore, this work has contributed to a more active participation of civil society and

other sectors in Regional Forestry Commissions, enhancing multi-disciplinarity and multi-stakeholder participation.

467. Component B2.4 has been instrumental for work on small and medium forest enterprises and NFTP and has contributed to a limited extent to the wide-reaching mandate of the NFPF. These cases showed the strongest, if not the only direct link to PCA-Norway criteria of poverty alleviation and gender mainstreaming.

468. The Evaluation noted that the NFPF has been instrumental in some really good work relevant to both poverty alleviation and environmental sustainability and to assisting countries meet their international obligations, but the Evaluation considers that it would be more appropriate for such funding to be made directly to the Facility and for the PCA-Norway to have direct control and influence over the activities it funds, unless a specific arrangement for transfers to Trust Funds is agreed to with the donor (Recommendation 3).

469. Other activities implemented through Component B2.4 were very wide ranging, including important areas of work contributing indirectly to poverty alleviation and directly, but in the medium to the long term, to sustainable forest management.

470. Neither Component reached out to other sectors and departments in FAO, being focused almost exclusively on forestry disciplines. For example, the work on natural resource and forest tenure funded by Component A1.2/NRLA-FOPE could have been reinforced and mainstreamed across forestry activities and programmes.

471. The Evaluation considers that one aspect of forest management highly relevant to PCA-Norway criteria is the issue of tenure security: this is widely recognised as fundamental to ensuring sustainable use of natural resources and is a founding block for sustainable forest management and poverty alleviation. Participatory forestry has been identified by countries in a number of fora as a key priority, as much as COFO also indicated its support for more participatory forestry at country level.

472. In terms of contribution to wider forestry issues, much of the normative work funded through the PCA-Norway clearly identified the importance of secure access rights and participatory forestry. Nevertheless, with the exception of the micro-enterprise activities and some FNPf activities, this recognition was rarely prioritised in the strategies, action plans, workshops and activities. This may result in part from the concentration on international agenda and on the focus on the more technical aspects where FAO has strong capacity to take the lead.

473. Reasons behind the limited practical measures to address secure tenure and participatory processes into policies, guidelines and actions are not clear. What appears clearer is that the Component's work seems to have been carried out in isolation within FAO, in spite of the PCA-Norway thrust on inter-disciplinary and cross-sectoral work. This is highlighted in Figure 6 in the Main report, which clearly demonstrates involvement in the PCA-Norway of only three divisions from within the Forestry Department.

474. There was more cross-sectoral and interdisciplinary work at country level where a range of government departments, NGOs and other stakeholders were included in most of the activities and where FAO was instrumental in bringing outside stakeholders to the Regional Forestry Commissions. However future PCA-Norway Forestry work needs to make a concerted effort to ensure that it works more closely with other Departments in FAO to position Forestry more effectively for the essential role it has to play both for food security and for climate change.

#### ***Recommendation 10***

**In the forestry sector the allocation of PCA-Norway resources to international and regional agreements, instruments and bodies should be directed to providing support to Least Developed Countries giving them voice in the debate and in setting the agenda, to develop their capacity to benefit from, and adhere to, international norms and to provide support for inter-sessional and follow-up work. More practical country level support mechanisms need to be developed.**

**Recommendation 11**

**In line with the main PCA-Norway criteria relating to poverty alleviation and climate change, Programme funds in support of forestry should be directed more at mainstreaming forest tenure and participatory forestry issues in the work of FAO Forestry Department and other PCA-Norway Components.**

**7.6 List of outputs**

475. The table below illustrates the outputs in the Forestry Sector produced through Components B1.3, B2.4 and A1.2. Information was provided by FOEL and FOEP, the evaluation assessed wherever possible the actual outcomes.

**Figure 18. Outputs of Components B1.3 and B2.4**

<b>Outputs</b>	<b>Country</b>	<b>Actual Outcomes</b>	<b>Partners; other funding sources</b>
<b><i>B1.3: International Arrangement on forests</i></b>			
<i>Support to Regional Forestry Commissions</i>	Africa and Asia	RFC more participatory and functional, better platform to discuss global emerging issues	
<i>Support to CPF: Harmonisation of forestry reporting obligations and improved access to financing for sustainable forest management</i>	Global	More coordinated support to countries	
<b><i>B2.4 Sustainable forest management</i></b>			
<b><i>Support to NFPF</i></b>			
<i>Improved NFP process through multi-stakeholder participation</i>	57 Countries primarily in Africa, Asia and Latin America, plus 3 sub-regional organisations	Improved capacity and system to develop NFPs	NFPF
<i>Improved NFP process through multi-stakeholder participation</i>	Burkina Faso and Kenya		NGOs
<i>Support to implementation of priority NFPs</i>	57 Countries primarily in Africa, Asia and Latin America		
<i>Support to implementation of priority NFPs</i>	Burkina Faso and Kenya		
<i>Capacity building package developed, tested and improved</i>	China, Kyrgyzstan, Mongolia, Pakistan, the Philippines and Uzbekistan		
<b><i>Forestry in PRSPs and micro-enterprise development</i></b>			
<i>Country Studies</i>	10 countries in Africa	Improved awareness and capacity to reach out, baseline information on forestry sector in PRSPs	
<i>Regional Workshop</i>	10 countries in Africa		

<i>Support to forest micro-enterprise development</i>	20 countries in Africa, Asia and Latin America	Improved capacity to support micro-enterprise development (national and local) and to develop them (local)	
<i>Support to forest micro-enterprise development</i>	Burkina Faso		NGO; UNDP
<i>Establishment of national information networks in support of forest micro-enterprises (Forest Connect initiative)</i>	10 countries (for assessment phase) in Africa, Latin America and Asia		
<i>Establishment of national information networks in support of forest micro-enterprises (Forest Connect initiative)</i>	Burkina Faso and Nepal (implementation phase)		
<b>Forest law compliance</b>			
<i>4 regional workshops on forest law compliance and combating illegal logging</i>	40 countries in Amazon, Southeast Asia, Central America and Central Africa	Improved awareness and capacity regarding law enforcement and combating illegal logging, consolidation of regional and cross-border collaboration	
<i>Improvement of publication on “Best practices for improving law compliance in the forest sector” based on results of regional workshops</i>	Global		
<b>National Forest Resource Assessment Programme</b>			
<i>Capacity building for improved data collection, analysis and policy response (country support)</i>	50 countries in Africa, Asia and Latin America	Improved national capacity for data collection, data analysis and policy response	
<i>Capacity building for improved data collection, analysis and policy response (INRA)</i>	Kenya		
<i>Harmonisation of natural resource or land use definitions and inventory methodologies</i>	Global	Harmonisation of data facilitating analysis and policy response	
<b>Forest fires and planted forests</b>			
<i>“Fire Management – Global Assessment 2006”</i>	Global	Baseline information leading to a better understanding of multi-disciplinary nature and impact of fires	
<i>“Voluntary Guidelines on Fire Management</i>	Global	Increased capacity to address fire issues	
<i>Development of Methodology to test Voluntary Guidelines on Fire Management</i>	Caribbean		
<i>Secretarial and technical support to Fire Management Actions Alliance</i>	Global	Better coordination of international efforts on fire management, consolidation of technical support to existing programmes and projects	

Annex 7, Components B1.3 and B2.4

<p><i>Regional and sub-regional workshops to discuss and disseminate “Voluntary Guidelines on Planted Forests”</i></p>	<p>Asia, Southeast and central Asia</p>	<p>Improved awareness on technical, social and environmental issues related to planted forests, development of national action plans</p>	<p>TNC</p>
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## **Annex 8**

### **Component B2.1, Improved Food Safety and Quality at National Level**

#### **8.1 Introduction**

476. The PCA-Norway agreement defined the objective of Component B2.1 as “Improved food safety and quality at national level”. This became more articulate in the final report of March 2008: “Strengthen national capacities of production practices aimed at improving food safety, reducing food losses, and enhancing food quality, thus increasing food availability; help improve livelihoods and natural resources management and promote sustainable agriculture and rural development (SARD).” The Agreement also stated that “All activities on food safety and quality should be developed with a food-chain approach in mind. Priority should be given to assist developing countries to build capacities in food safety and quality control”.

477. For technical reasons, Component B2.1 was further divided into sub-objectives by the FAO Coordinators:

- i. Building effective food control systems and fish inspection services [B2.1.1]
- ii. Capacity development to improve safety and quality in fruits and vegetables [B2.1.2]
- iii. Improving food quality and safety management along the fruits and vegetables chain through capacity building in the Small and Medium Enterprise (SME) sector [B2.1.3]
- iv. Regional training in Good Practices for the animal feed and livestock industries [B2.1.4]
- v. Capacity building and awareness-raising on SARD and GAP to contribute to food safety and quality and integrated natural resources management in Burkina Faso [B2.1.5]
- vi. Capacity building and awareness-raising on SARD and GAP to contribute to food safety and quality and integrated natural resources management in East Africa [B2.1.6].

478. Of these, sub-objectives 5 and 6 can obviously be taken together and it is possible to take 2, 3 and 4 together as well.

479. Component B2.1 benefited from a total contribution of USD 1.5 million USD, this represents 8.75% of PCA-Norway total budget. This amount corresponded to 57% of the Regular Budget available for the Programme Entities supported by the Component in the biennium 2006-07 and 32% of the corresponding EBF resources. Both values are the second highest across PCA-Norway components.

480. In relation to the Strategic Framework, Programme Entities supported by this Component were linked to Strategic Objectives B2, C1 and E1<sup>72</sup>.

#### **8.2 Management**

481. The Component was implemented by AGNS, who appointed two senior staff members to both roles of Objective Convener and Budget Holder. Activities were carried out by the OC and by other Headquarters staff as part of or in addition to their normal duties. No additional staff were employed with PCA funds.

482. The Objective Convener and others close to the centre of activities were clearly burdened by this additional work. On the other hand, especially in the interaction across Divisional and Departmental lines, there was a spirit of energetic cooperation and experimentation that resulted in the genuine synergies that were otherwise not apparent under the Regular Programme.

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72 The largest contribution went to C1, Policy options and institutional measures to improve efficiency and adaptability in production, processing and marketing systems, and meet the changing needs of producers and consumers

### 8.3 *Assessment of activities*

#### 8.3.1 *Building effective food control systems*

483. Through this Component, FAO completed and published the Manual for Risk-Based Food Inspection, the text having previously been prepared with Regular Programme Budget funds and with WHO input. WHO was unable to provide financial support for completing and publishing the document. In addition, with funds from the PCA-Norway a section on fish inspection was prepared by FAO Fisheries Department and included in the manual. It is too early to assess the outcome of normative documents such as the Manual, but the long-term prospective for its use in countries as a knowledge resource is high.

484. FAO Guidelines to Assess Capacity Building Needs were developed under FAO's Regular Programme in 2006. These were found to be too detailed for general application and the Quick guide to assess capacity building needs was developed and published under the PCA in 2007. At least in three countries in East Africa (Kenya, Tanzania and Uganda), the Quick Guide was used and a series of national country reports (case studies) were developed by interaction at the country level resulting in national ownership of the outputs. In the case of Tanzania, the report was presented to a special meeting of parliamentarians and stakeholders for consideration in the development of a national food safety policy.

485. In the case of Kenya, there was a substantial positive impact, even if the country report (case study) was not accepted in its entirety. The activity acted as a catalyst for change in the current system leading to the development of a national food safety policy and plans for the establishment of a national Food Safety Authority. The outcome is somewhat different from what was envisaged in the Action Plan developed under the PCA (a National Food Standards Coordinating Committee) but it should be pursued and supported. It should be noted that, in part, the reason for not pursuing the Action Plan was the parallel activity undertaken by WHO with funding from SIDA<sup>73</sup> that resulted in the concept of a national Food Safety Authority. Also, parallel work is being sponsored by UNIDO under a general programme of trade capacity building in agro-industry products (with NORAD<sup>74</sup> funding), specifically the up-dating and harmonization of national food safety legislations and regulations in the East African Community (EAC) countries as well as other capacity-building activities.

486. In summary, the application and testing of the Quick Guide in three selected East African countries appears to have had mixed results: quite successful in Tanzania and mixed success in Kenya. The situation in Kenya is complicated by the parallel activities of other development agencies which have only partially been taken into account and which create conflicting currents of interest amongst ministries and other institutions involved. The Evaluation could not assess results in Uganda.

487. The Quick Guide itself is a useful addition to FAO's base of resource materials for country use and its application to LDCs within the framework of future PCA-Norway should be pursued, taking into account the observations stated here about the importance of inter-agency cooperation. This may require more time, particularly of the FAO staff who should be directly involved. In fact, the Evaluation considers that this work should not be left exclusively to consultants and contractors.

#### 8.3.2 *Capacity development and training: Food-chain application at country level*

488. The "food-chain approach" was apparent in the work undertaken in several countries to improve the quality and safety of fresh fruits and vegetables, including in the SME sector. This involved genuine interdisciplinary work between AGN and the Rural Infrastructure and AGS and the development of a combined approach to food safety and quality and the underlying principles of Good Agricultural Practice (GAP).

489. A sector-specific application of the food chain approach to food quality and safety and GAP was applied to the fresh fruits and vegetables marketing chain. In Africa, use was made of South-South cooperation with the University of Pretoria in South Africa, and a workshop included

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<sup>73</sup> Swedish International Development Agency

<sup>74</sup> Norwegian Agency for Development Cooperation



participants from governments, research institutes and the private sectors in the countries covered (Kenya, Malawi, Tanzania, South Africa and Uganda). Outputs included a series of technical guidelines on the application of hygienic practices in four commodity-specific produce chains. These detailed guidelines are targeted at extension services for their application and need to be condensed into simple messages to be successful. There is a question on how these guidelines should be published as they are each about 150 pages in length. It seems that these matters were not thought through when the documents were contracted with PCA funds. One of the participants in the Pretoria Workshop has proposed a similar activity in Uganda for common fresh fruits and vegetables targeted at women's groups engaged in fresh fruits and vegetables sales in local fresh produce markets.

490. In Asia, a workshop on *Improving the Quality and Safety of Fresh Fruits and Vegetables: A practical approach* was hosted by the National Institute of Nutrition in Hyderabad, India: the participants were mainly government officials or researchers from South and South-East Asia<sup>75</sup>. The outputs of this workshop have been used in national follow-up workshops in India by the Ministry of Agriculture.

491. The PCA also supported joint AGN/AGS work in Honduras in the processed and semi-processed fruit and vegetable chain with the application of combined preservation techniques that allow products to meet food safety, quality and plant health requirements.

492. Regulations and other normative measures for the fisheries sub-sector were developed in Cambodia and training in fish/food quality and safety was undertaken in Cambodia and Laos. Activities in Cambodia covered both domestic and export markets while those in the Lao PDR concentrated on the small-scale local market. In the latter, there is interest in combining the PCA work with the FAO-managed New Zealand project (GCP /RAS/207/NZE Improving Food Safety and its Management in Cambodia, Laos and Viet Nam). Again, there was a high degree of collaboration between AGN and FAO Fisheries Department. Especially in the Lao PDR, future PCA funding in this area should be used to consolidate the progress already made and to ensure that it becomes sustainable with donor funding.

493. In the area of good practices for livestock and animal feed two high quality manuals were produced on on-farm mycotoxin control in food and feed grains (for farmers) and on handling during storage, transport and processing of food and feed grains (for traders, retailers and processors). A regional workshop in Nairobi and workshops in Uganda, Kenya and Tanzania were held for small-scale feed millers/producers on one hand and for larger-scale operators and technical staff on the other. This activity was managed jointly by AGA<sup>76</sup> and AGS for the PCA. It would be appropriate to use future PCA funds to explore the possibility of longer-term funding for the continued implementation of this work in these and other LDCs.

### 8.3.3 Capacity building and the total food chain –SARD, GAP, Food Safety and Quality

494. Food safety, food quality, the food chain approach and GAP have been described thematically by FAO since 2005 and, as noted above, the PCA allowed FAO to explore the possibilities of applying this integrated approach in very practical terms in the countries mentioned above. The PCA also allowed the exploration of the linkages between food safety and food quality, GAP and SARD to provide a total picture of the food production chain that includes environmental and socioeconomic considerations and integrates issues such as occupational health and safety of farm workers. To some degree, these aspects have become the interest of specialized marketing chains that require conformity to social and environmental standards as well as to “classic” food safety and quality standards.

495. Work was undertaken at two levels in two sub-regions. In West Africa (Burkina Faso) a highly innovative programme was directed to improving SARD issues within a GAP framework and thereby contributed to the food quality and safety of locally-marketed fresh produce, with the prospect of higher returns to small-scale producers. This work involved the participation of AGN, AGS and the Gender, Equity and Rural Employment Division (ESWD). Field training was based on a cascade

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<sup>75</sup> Bangladesh, Bhutan, Cambodia, Lao PDR, Maldives, Myanmar, Nepal, Sri Lanka and India

<sup>76</sup> FAO Animal Production and Health Division

system of training of “facilitators” who in turn trained local people (mainly lead farmers), through Farmer Field Schools. The content of the training has been established in a tool kit for trainers, prepared under the PCA funds with the participation of producer associations and the national institute for agricultural research. Using the tool kit, more than 350 farmers were trained in 13 of the provinces of the country, mostly in the south-west of the country.

496. To a certain extent, this PCA activity has achieved its immediate aims. The modules on Good Agricultural Practice, food quality and safety, and health and safety of workers are well integrated into a sustainable programme that has the support of both producers and the government. The activity was innovative and interdisciplinary with strong relevance to the goals of the PCA. The technical quality of the outputs was high to very high. Improved yields and margins to the producers suggest substantial improvements in poverty reduction. The activity has met its immediate goals and has demonstrated the feasibility and practicability of integrating wider social issues and food safety into established Integrated Pest Management (IPM) programmes. This success needs to be followed up. Future work should include market gardeners as a main group of beneficiaries of the training because of the problems associated with uninformed use of pesticides. The geographic coverage, which also implies coverage of different commodities, should also be considered. This could form the basis of a GCP project for long-term application of the training and resulting changes in basic agricultural practice.

497. The success of integrating food safety, quality, GAP and SARD issues within an existing network of Farmer Field Schools in Burkina Faso lends support to this model for small scale farmers, as it had been recommended as well by the IEE<sup>77</sup>.

498. In East Africa (Kenya) the work concentrated on more sophisticated (and more lucrative) marketing chains including export to the European market. A Regional Workshop on Good Agricultural Practices in Eastern and Southern Africa: “Practices and Policies” was held in cooperation with the Kenyan National Task Force on Horticulture and UNCTAD in March 2007. The Workshop was mainly targeted to GAPs in the high-value export fruit and vegetable sector and involved a number of the development agencies active in this area, including those working directly with the private sector. There were two inputs to the Workshop prepared under the PCA: a report on the potential for the reduction of GAP compliance costs; and a presentation on the relationship between SARD, social standards and GAP.

499. The workshop’s objective was to identify potential areas of cooperation on GAP at regional level and to discuss follow-up activities and coordination needs by donors and other actors. Although a number of significant donors and support agencies participated, including those working directly with the private sector, there is no evidence of any immediate impact and FAO’s comparative advantage in this area has not been established. Furthermore, the views of one key participant were dismissive in terms of its usefulness for the private sector. The workshop tended to target the agri-business chain and it should perhaps be considered in light of Recommendation 3.17(c) of the IEE as it raises similar issues. However, given the criteria of PCA and in the light of success in Burkina Faso, it would be appropriate if further work in Kenya were to take a more farmer-driven approach directing attention at the lower-income market-gardeners.

***Suggestion 12.***

*The Burkina Faso model of Farmer Fields Schools that integrates SARD, GAP, food quality and safety with Integrated Pest Management should be considered as a model for other countries. In Burkina Faso itself, consideration should be given to finding donor support to expand this activity geographically and to include more local commodities.*

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77 IEE Recommendation 3.17(b)

## 8.4 *Conclusions*

500. In general the quality of the normative technical documents developed under the PCA was high, but a number of technical reports and guidelines prepared under contract by national consultants or institutions that have been presented without further review give rise to concern as to their acceptance and usefulness. Also, although in general it is difficult to assess the outcome and impact of workshops, those held under the PCA were generally well received, with one only exception. There is good evidence of follow-up in some countries, through the integration of elements of the FAO workshops in national exercises, training courses, etc.

501. The outputs produced under Objective B2.1 were notable for their relevance to countries' needs and policies, for their inter-disciplinarity, innovativeness, and for the involvement of multiple units at FAO Headquarters. Some of these, especially in the food chain approach to SARD, GAP, food quality and safety, are likely to be sustainable in the medium to long term. In this, the PCA has been a catalytic force for the development of synergies and cross-division and cross-department cooperation. There has been an overall strengthening of the relationship between normative activities at Headquarters and the country programmes, although the greater impact was probably at headquarters staff and programme level.

502. On the other hand, attempts to enter into closer cooperation with other partners (local NGOs, other UN agencies, donors, etc), have been patchy at best. The best example of positive cooperation with donors is in the Lao PDR while the case of Kenya (development of a food safety policy) is a good example of lack of cooperation between UN agencies. From the Headquarters side, the problem is in undertaking country-level work by remote control, without proper consultation with the FAO country office, which in any case lacks the resources to inform and/or follow up on local partnership opportunities. Another part of the problem seems to be the lack of a strategic approach to partnership, especially involving other UN agencies, in particular WHO and UNIDO.

503. Finally, the assessment of the different Component's outputs against other criteria set by the PCA-Norway shows that overall the contribution to poverty alleviation and relevance to the environment was rather poor, exception made for direct work with farmers. To some degree, this was inherent in the subject matter: food safety measures and standards reduce the social and economic costs associated with food-borne illnesses, thus their contribution to poverty alleviation exists but indirectly and usually in the medium to long term after the initiative.

### *Recommendation 12*

**PCA-Norway funded country-level activities in the field of food safety should be directed primarily to the development of food chain approaches involving Sustainable Agriculture and Rural Development, Good Agricultural Practices, food safety and quality. To the extent possible, these activities should be used to develop and ensure positive cooperation with relevant UN Agencies in particular WHO, UNCTAD/ITC, UNIDO and ILO, as well as to leveraging longer-term programmes.**

## 8.5 List of outputs

504. The table below illustrates the outputs that were produced by Component B2.1. Information on outputs was provided by AGNS; the Evaluation assessed wherever possible the actual outcomes.

**Figure 19. List of outputs by Component B2.1**

<b>Outputs</b>	<b>Country</b>	<b>Actual Outcomes</b>	<b>Partners; other funding sources</b>
<i>Manual for Risk-Based Food Inspection</i>	Global	NM	WHO
<i>Food control systems: Quick guide to assess capacity building needs</i>	Global	NM	
<i>Assessment of Capacity Building Needs of the Food Control System, Republic of Kenya; 5 years National Action Plan</i>	Kenya	Draft Food Safety Policy	Although other agencies work in the country on the same topics, no partnerships were developed
<i>Assessment of Capacity Building Needs of the Food Control System, Tanzania; 5 years National Action Plan</i>	Tanzania	Seminar in parliament	
<i>Assessment of Capacity Building Needs of the Food Control System, Uganda; 5 years National Action Plan</i>	Uganda	NM	
<b>2. Capacity development and training</b>			
<i>Training program on Horticultural Chain Management and four crop papers (Pretoria)</i>	Kenya/Malawi/ Uganda/Tanzania	Informal request for follow up from Uganda private sector	
<i>Workshop on Improving the Quality and Safety of Fresh Fruits and Vegetables: A practical approach (Hyderabad)</i>	Sub-regional - Asia	Mainstreaming in national training courses	
<i>Regulations and other normative measures for the fisheries sub-sector in Cambodia</i>	Cambodia	Draft regulations	New Zealand
<i>Training of Trainers in fish/food quality and safety in Cambodia and Lao PDR</i>	Cambodia/Laos	Food Safety Action Plan	New Zealand
<i>Manual: Mycotoxin control in food and feed grains</i>	Global	NM	
<i>Workshop on Mycotoxins for small-scale and for larger-scale millers/producers of animal feeds</i>	Kenya/Tanzania/ Uganda	NM	
<i>CD-Rom on Fruits and vegetables: combined preservation techniques</i>	Honduras	NM	
<b>3. Capacity building and the total food chain</b>			
<i>Formation participative sur les bonnes pratiques agricoles dans les systèmes de production coton-céréales-élevage à travers les champs-écoles de producteurs dans la province du Houet, Bobo-</i>	Burkina Faso	NM	

Annex 8, Component B2.1

<i>Dioulasso</i>			
<i>Formation sur le module 'santé et sécurité sanitaire des producteurs au champ', 29 février 2008 à Bagré, province du Boulgou.</i>	Burkina Faso	NM	
<i>Regional Workshop on Good Agricultural Practices in Eastern and Southern Africa: Practices and Policies</i>	Kenya	NM	UNCTAD

NA= Not Assessed; NM= Not Measurable

## **Annex 9**

### **Component D1.1: Support to national bio-security initiatives and policies including countries facing high risks of outbreaks of pests and diseases**

#### **9.1 Introduction**

505. The PCA-Norway agreement defined the objective of Component D1.1 as “Strengthening national resilience to animal and plant disease impacts”. The purpose of this work was to reduce risks of pest, disease and related outbreaks, increase preparedness, and manage emergencies. It was also directed towards strengthening national capacities to meet domestic and international bio-security marketing requirements and international agreements.

506. The Component benefited of a total contribution of USD 3.4 million USD, representing 20% of the total PCA-Norway budget. This amount corresponded to 44% of the Regular Budget available for the Programme Entities supported by the Component in the biennium 2006-07 and 46% of the corresponding EBF resources. Both values were rather high across PCA-Norway components.

507. The work on Biosecurity was assigned in the Agreement to Strategy D1, Integrated Management of Land, Water, Fisheries, Forest and Genetic Resources: as analyzed in detail in the Approach Paper for the Evaluation (see Annex 1), Biosecurity-related issues are not mentioned in FAO’s Strategic Framework/Corporate Strategy D. Indeed, the Programme Entities supported by PCA-Norway through Component D1.1 were related to other FAO Corporate Strategies<sup>78</sup>, whereas other PCA-Norway Components contributed to Corporate Strategy D1<sup>79</sup>.

508. The Evaluation could not identify where the “misuse” of terms came from. However, the Donor was well informed about the thrust of this Component and agreed fully to it. Therefore no further enquiries were considered necessary on this aspect within this evaluation exercise.

#### **9.2 Management**

509. Biosecurity is managed in FAO as a Priority Area for Interdisciplinary Action (PAIA) which itself is managed by an interdepartmental group of senior technical officers and Division Directors. The PAIA’s Chair was the Component’s Budget Holder during most of the PCA-Norway implementation period. The Secretary of the PAIA was seconded to the PCA-Norway and acted as Objective Convener of the Component.

510. Through the PAIA mechanism, the Component launched a call for proposals to IDWG member departments and developed activities to be funded by the PCA-Norway. This resulted in a range of Biosecurity-related activities across a range of disciplines (see table attached): the involvement of other departments made the process more complex, but resulted in much more relevant and sustainable outputs and outcomes that, for the most part, reflect the criteria established for PCA-Norway funding.

#### **9.3 Assessment of activities**

511. FAO’s programme on Biosecurity dates from at least 2003 when a paper was considered by FAO Committee on Agriculture (COAG). Since then a considerable amount of experience has been gained and new interdisciplinary areas have been explored including the socioeconomic dimensions of Biosecurity. Also, an increasing number of governments have begun to apply Biosecurity systems but with somewhat different approaches. The activities of the PCA-Norway have expanded the original Biosecurity concept beyond the strategies formulated in the 2003 concept paper.

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78 One PE contributed in equal shares to Strategic Objectives B1, B2, C1 and C2 (25% each); the second PE contributed to Strategic Objectives A1 (75%) and E1 (25%).

79 9% of the total PCA-Norway budget complemented PEs linked to Strategic Objective D1. This came from Components A1.2 and B2.2, Genetic Resources; B1.2+B2.3, Fisheries; and B2.4, Forestry.

512. Biosecurity involves the biological protection of agricultural production and natural biotic resources and as such is related to food security, poverty reduction, climate change, and environment protection among other issues<sup>80</sup>. These protective measures also have a strong bearing on international trade as products in trade must conform to the Biosecurity requirements of importing countries (mainly Sanitary and Phyto-Sanitary Measures/SPS). Biosecurity has therefore both an inward-looking and an outward-looking aspect.

### 9.3.1 Normative instruments: Tools and advice for capacity assessment and evaluation

#### Major publications

513. One of the principal normative outputs was the publication of the *FAO Biosecurity Toolkit* which contains a Guide to Assess Biosecurity Capacity and an overview and framework Manual for Biosecurity Risk Analysis. It was prepared with the participation of WHO and WTO during the peer review process and was tested in Bhutan, Haiti and Namibia; regional workshops on its content were held in Chile, Ghana and Thailand and a global workshop was held in Rome.

514. Part of the Toolkit, the capacity assessment section, is used by the Standards and Trade Development Facility (STDF), an inter-agency body<sup>81</sup> that provides funding to country projects for SPS-related matters. The Toolkit was used for a Biosecurity capacity needs assessment in Nepal, resulting in an STDF-funded project on training. It is reported that the Toolkit has been used successfully by USAID in assessing the Biosecurity situation in Rwanda and it is being used to good effect in India as a resource for the development of an Integrated National Biosecurity System.

515. A training kit *GM Food Safety Assessment: Tools for trainers* was prepared and published with PCA-Norway funds. The kit provides a practical guide to trainers in the interpretation of the relevant Codex Guidelines for the food safety evaluation of GM plant foods. An expert peer-review meeting on this document was held in Bangkok, May 2007, under funds allocated by the PAIA from the Regular Programme Budget.

516. Another major normative output was the publication of *FAO Legislative Study 96: Development of an analytical tool to assess Biosecurity legislation*. This publication contains individual case studies from Ethiopia, Ghana, India, Kenya, Uganda and Viet Nam.

517. In the fisheries area, two desk studies were prepared for publication: a *Manual of Procedures for the Quarantine of Live Aquatic Animals* and an *FAO Diagnostic Guide to Aquatic Animal Diseases*. The quarantine manual is the first of its kind, presented within the framework of risk analysis and Biosecurity and will serve as a key reference. A *Training Manual on Molluscan Health Management* was completed with PCA-Norway funds, including the organization of a workshop held in Bangkok, June 2007, to complete the third and final module of the Manual.

518. These publications are substantial contributions to knowledge and are highly relevant to the PCA-Norway by encouraging inter-disciplinarity, creating synergies and improving FAO's ability to respond to emerging issues and to be more innovative. The long-term diffusion of such documents and their impact at the country level can only be estimated, but the outlook is positive.

#### Electronic media, early warning

519. A portion of the PCA-Norway funding was allocated to the maintenance and enhancement of the *International Portal on Food Safety, Animal and Plant Health* (IPFSAPH) which was set up under the FAO PAIA in 2002. The Portal is a major contribution to the diffusion of knowledge and is a cooperative effort of FAO with UNEP/CBD, WTO, WHO, and OIE together with Codex Alimentarius and the IPPC<sup>82</sup> (both under FAO). A Regional Portal has been established in Benin, with STDF funding.

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80 It should be noted that FAO's definition of "Biosecurity" includes food safety, handled under the PCA-Norway in Component B2.1.

81 Members are : FAO, WHO, OIE, World Bank, WTO

82 International Plant Protection Convention

520. PCA funds were also used to support updating of the internet-based FAO *Aquatic Animal Pathogen and Quarantine Information System* ([www.aapqis.org](http://www.aapqis.org)) information system. The aquatic animal pathogen database provides basic scientific and technical information and is an important tool for risk analysis. At the moment, the AAPQIS is not linked to the IPSAPH portal.

521. A Wikipedia-type site was created to enhance communication on Biosecurity within FAO and has been made publicly available ([http://km.fao.org/biosecwiki/index.php/Main\\_Page](http://km.fao.org/biosecwiki/index.php/Main_Page)). The site contains information on the PCA related to Biosecurity.

522. PCA-Norway funding was used to support a project manager in setting up the FAO-OIE Crisis Management Centre for animal health, in its start-up phase with special reference to avian influenza and to provide enhancements to the internal FAO animal health database and mapping system, contributing to the FAO/WHO/OIE Global Early Warning System (GLEWS). Work included commissioning a facility with improved communications technology, developing operating procedures, and managing deployments to test arrangements. The Crisis Management Centre is linked both to EMPRES and GLEWS and is now operational.

### **Suggestion 13.**

*Internet-based information systems are able to convey considerable amounts of information – and in the case of IPSAPH and AAPQIS in a very dynamic fashion – but they are not accessible to primary users in the many countries where access to the Internet is still limited. FAO should explore opportunities to improve access to these information systems, as was done in the case of Benin under STDF funding.*

### **9.3.2 Capacity building: integrating international standards into national policy-making processes and implementation**

523. The major instrument for capacity building in Biosecurity is the Toolkit mentioned above. As noted above one global and three regional workshops were held under PCA funds with a total of 114 participants from 58 countries trained in the use of the toolkit. From the evaluation forms compiled at the conclusion of these workshops, they seem to have been well received by participants, but as the last of these workshops was held only in January 2008, it not possible yet to identify any result in terms of changes to national policies or implementation strategies. Nevertheless, it was reported that 8 countries from amongst those trained have formally requested policy or technical support indicating a real need and a positive response to the workshops.

524. A discussion paper on Biosecurity and Aid for Trade was prepared for the Africa Review Meeting of the Aid for Trade Initiative, Dar-es-Salaam, Tanzania, October 2007. Although the paper had little immediate impact it has since been used as the basis for presentations on Biosecurity measures (principally SPS requirements) within the context of trade facilitation and by the STDF, and has assisted in diffusion of knowledge about the relevance of Biosecurity and may have contributed to its inclusion in national policies.

525. A sub-regional workshop for training of trainers on “GM Food Safety Assessment Training within Biosecurity Approach” was held in Kenya in April 2008: 29 participants from Burundi, Rwanda, Tanzania and Uganda and 27 from Kenya were invited. This activity raises questions of interdisciplinarity as countries that are contemplating the introduction of GM foods must consider both the food safety and the environmental aspects of their decision, including issues covered by the work of the IPPC<sup>83</sup>. It cannot be said that consideration of food safety risk assessment on its own falls within a Biosecurity approach.

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83 International Plant Protection Convention



***Suggestion 14.***

*Capacity building activities in Biosecurity should always take into account its multi-disciplinary nature and attempt to build on the synergies between its components.*

**9.3.3 Capacity building: country level and policy activities**

**Biosecurity and Plant health in India**

526. The objectives of this component were to support the reform of plant protection surveillance system in India, and to assist with the development of national Biosecurity concepts. Activities included: the revision of the training curricula for plant health protection; the establishment of the National Plant Protection Training Institute (NPPTI) as an autonomous body; and a highly innovative pest reporting system that uses hand-held pocket PCs for field data entry into a central data bank. The device, produced locally to specifications was developed with funds from PCA-Norway and allows for the determination of both beneficial insects as well as pests.

527. Overall, these activities also helped to develop a larger awareness of Biosecurity issues in India, including at the highest political level, and have informed an on-going internal process of discussions between responsible ministries and departments leading to an Integrated National Biosecurity System covering plant and animal health, fisheries, forestry and wildlife and including a review of related fields such as the recently-established Food Standards Authority. The influence of FAO's activities and the Biosecurity Toolkit has been catalytic in the rapid development and acceptance of this programme as a national priority.

528. The NPPTI is struggling to maintain its status as a centre of excellence and is in a critical phase of re-organization including its transition to an autonomous self-funding body. This is a challenging period in terms of availability of resources for restructuring including improvements to infrastructure, and to address its staff demographics. The assistance given to the NPPTI was intended to address the problems associated with this transition.

529. In summary, the PCA-Norway was catalytic in reforming the Biosecurity system in India and in introducing modern information technologies to the process of pest surveillance. The Evaluation feels that the technology should be scaled out to other countries that may have the required potential.

**District Biosecurity on the Tanzania/Uganda Border**

530. Under the general theme of support to national Biosecurity initiatives and policies in countries facing high risks of outbreaks of diseases and pests, work was carried out in two phases along the Tanzania/Uganda border. The activities envisaged systematic research to fill the gap in the literature, and make the nature of these interactions clearer, with a view to producing guidelines that can be used by policymakers to address issues involving crop, livestock and human pests and diseases, particularly those that are transboundary in nature.

531. Phase I of the project used a household survey to assess the magnitude and dynamics of diseases affecting humans (HIV/AIDS), plants and animals, their transboundary aspects, and the combined or cumulative impact on food security, biodiversity, livelihoods, and rural development in general. The aim was to generate information relevant to policy formulation in responding to Biosecurity risks and threats. Phase 2 involved the pilot testing of a cell-phone SMS-based system as a means of early warning collaboration between villages, district officials and research stations, for reporting outbreaks of pests and disease. It should be noted that the activity was highly interdisciplinary and involved social issues as much as technical ones. Due to changes in the districts' infrastructure (road-building), it is probable that the pest and disease situation will be aggravated by increased traffic flows and there may be need to address the situation at levels above districts.

532. This work was highly innovative in its use of socioeconomic methodology to examine a Biosecurity situation. It is too early to assess the success of the model, but as it was found in Burkina Faso under B2.1 Food Safety, that small-scale producers and households are able and willing to

address multiple concepts of Biosecurity when they view it to be in their social, economic and family interests. The activity corresponds to the aims of the PCA-Norway: the Evaluation suggests that it would be useful to develop it to the stage where on-going activities could be funded by an external donor.

533. The Component also supported initial activities in Biosecurity protection in Tanzania that resulted in the budgeting of USD 1million for FAO to address plant and animal health within the Biosecurity framework of the One-UN Joint Programme for strengthening national disaster preparedness and response capacity in three key areas: disaster risk assessment; disaster preparedness planning and early warning mechanisms on all administrative levels; and building response capacities.

#### *Policy advice and support in relation to Highly Pathogenic Avian Influenza (HPAI)*

534. Two reports were prepared on the socio-economic and gender impact of HPAI outbreaks: in Cambodia a case study of 36 villages in four provinces and in Viet Nam a comprehensive report (in excess of 1,000 pages) on the economic impact of HPAI. These reports were intended to inform future policies for the control of HPAI and other catastrophic disease outbreaks. They have been referenced in international meetings and in a brief on livelihoods and HPAI published by FAO in 2007. Such lengthy reports by external contractors without adequate peer review and usable summaries makes their usefulness to policy and decision makers open to question. Nevertheless, consideration of these aspects allowed FAO to be well positioned to advise the government, and donors on the restructuring of the poultry sector in Viet Nam in the wake of the HPAI epidemic, including issues such as compensation for culling losses.

535. The work in Cambodia is reported to have been taken up and expanded by a German-funded project that is looking at relationships between animal health recommendations, biodiversity and livelihoods, and by a DFID-funded project working on influencing HPAI control policies.

536. In Indonesia, policy advice was related to a rapidly-executed ban on poultry keeping in Jakarta province initiated in 2007. Discussions have been on-going between government and industry about restructuring of the poultry sector in Jakarta Province, in which FAO has been involved. Also in Indonesia, a radio project worked with two local radio stations to brief their reporters on HPAI issues and help them to design broadcasts using different formats, including a phone-in. The subject matter and format were guided by focus groups of radio listeners. The long-term impacts are difficult to estimate.

537. In West Africa, maps of the main poultry market chains in four countries (Burkina Faso, Côte d'Ivoire, Ghana, Togo) were developed to increase preparedness against HPAI outbreaks in the region so that control strategies can target risk areas. Previously very little systematic risk assessment for HPAI had been done. The completed market chain maps are expected to become available to the Chief Veterinary Officers of the relevant countries in mid-2008 and were not available for assessment by the Evaluation. The work was co-funded by PCA-Norway and available HPAI funds in the region.

#### ***Suggestion 15.***

*The introduction of socio-economic studies into the Biosecurity work (including also food safety under B2.1) is a welcome approach; however such outputs need to be carefully designed to ensure that they provide useful and usable information for decision makers and other workers in the field.*

#### *Biosecurity and aquatic animal health*

538. In addition to the major publications described above, PCA-Norway funding was used in association with Regular Budget funds to undertake sub-regional training workshops in Asia on Biosecurity aspects of aquaculture including: international market access, certification for food safety, social and environment factors, and the implications of certification to small-holders.

539. A Regional Training Workshop on Information Requirements for Aquatic Animal Biosecurity was held in Cebu, Philippines, February 2007. The objective of the workshop was to increase awareness and build capacity on general principles of Biosecurity and to deliberate on key information required for maintaining aquatic animal bio-security focusing on aspects of risk analysis;

diagnostics, health certification and quarantine and epidemiological surveillance and reporting. The workshop was held in association with the Network of Aquaculture Centres in the Asia-Pacific (NACA).

540. Based on country case-studies (India, Bangladesh, China, Viet Nam, Thailand, Brazil, Mozambique) a review of the implications of international standards and certification schemes for aquaculture on small-scale aquaculture producers has been completed with special emphasis on aquatic animal health and welfare, food safety and quality, environmental integrity and social responsibility. The document is being finalized for publication.

541. Global guidelines on aquaculture certification, developed through a strong consultative process, financially supported by the PCA and Regular Programme Budget funds, will be presented to the next session of the COFI Sub-Committee on Aquaculture to be held in Puerto Varas, Chile, from 6-10 October 2008 for approval and decision.

542. A successful investigation was undertaken of a serious and emerging fish disease outbreak affecting several countries surrounding the Chobe-Zambesi River system in southern Africa. D1.1 Component provided funds for an emergency investigation team, including experts from OIE, to assess this disease outbreak which was previously unknown in the region. This investigation led to a sub-regional TCP project<sup>84</sup> to protect the livelihoods of fishing communities and to protect aquaculture farmers from introducing the disease into their farms. As a follow-up to this investigation, PCA-Norway funding under the 2008 extension was used for a regional workshop, held in association with OIE. Based on FAO National Aquatic Animal Biosecurity Capacity Assessment Questionnaire survey conducted in 10 countries (Angola, Botswana, Kenya, Malawi, Mozambique, Namibia, Tanzania, Uganda, Zambia and Zimbabwe), a draft Aquatic Animal Biosecurity strategy for southern Africa has been developed to increase preparedness. This will serve as a basis for possible follow-up activities towards aquatic Biosecurity capacity building in southern Africa.

543. This has been a good example of PCA-Norway providing FAO with the opportunity of responding to urgent and immediate needs in countries or regions and then leveraging other funds and working with the regional office to inform regional action and policies.

#### *Policy studies related to Bio-secure agriculture*

544. A national workshop was held in Nepal, May 2007, on policies for bio-secure agriculture with special reference to questions of market collapse when Biosecurity issues impacted negatively on markets. This workshop was part of a larger FAO Programme on issues associated with re-orienting agriculture sector policies and programmes towards a Biosecurity approach. This event, along with PCA-Norway support to mainstreaming food security issues in the national policy framework, raised awareness on Biosecurity issues and on the need for the country to improve its legislation to access export markets. The country still requires significantly more technical assistance in both understanding bio-security and food safety and in developing strategies and policies that are implementable. Apparently the World Bank is preparing a large programme on food safety and Biosecurity issues and the FAO Representation is well positioned in this process, through the PCA-Norway funding.

## **9.4 Conclusions**

545. Although described as “interdisciplinary”, the programme of activities under D1.1 tended to be a collection of separate discipline-specific activities under a single umbrella. Nevertheless, there was some attempt at interdisciplinary work similar to that of the integration of SARD, GAP, food safety and quality described under Objective B2.1. The work on the socioeconomic and gender consequences of the avian influenza outbreak in Cambodia and Vietnam is one example; the work on district Biosecurity along the Tanzania/Uganda border (bringing together animal and plant health issues, human health (HIV) gender and social issues) is another. Studies of policy responses to market collapse are a third example, but not a great deal was done in this area and perhaps the better approach

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84 Emergency assistance to combat Epizootic Ulcerative Syndrome in the Chobe/Zambezi TCP/RAF/3111

would be policy preparedness which is addressed in much of the Biosecurity work as an underlying theme.

546. If not always “interdisciplinary”, the programme was certainly “cross-disciplinary” with inputs from at least 7 FAO Divisions in 4 different Departments (see Figure 8 in the Main Report). Of all the technical Departments, only the Forestry Department seems not to have participated in Component D1.1. The cross-disciplinary network that had been created by the PAIA was maintained and strengthened by PCA-Norway Component D1.1. The use of some funds allocated to the PAIA in concert with the PCA funds strengthened this linkage. The Component received the highest portion of funding within the PCA-Norway, which created a strong pressure for delivery. There may have been over-funding in relation to the capacity of implementation for this complex and cross-disciplinary work in a limited time-frame. This may have contributed to the dispersion of funding across such a very broad range of activities.

547. An example of pressure to delivery could be the responses to the HPAI emergency in Asia, here it was shown how social issues can be integrated with classical scientific issues and the methodology used demonstrated innovation and the willingness to experiment with different techniques. However, the quality of these outputs, as it was the case for some in B2.1, is debatable: much more inputs in terms of technical backstopping from HQ or the Regional level would have been necessary to make these products fully usable and effective.

548. This having been said, the work undertaken as part of Objective D1.1 was of high quality and in some cases highly innovative (India, Tanzania/Uganda). Flexibility in the use of PCA-Norway funds as compared to the Regular Programme Budget proved to be critical in the case of the rapid response to the emerging issues. The response to aquatic disease in Southern Africa demonstrates the ability of the PCA funds to be used to intervene timely. This raises the question of the availability of resources from FAO, whether from the Regular Budget or EBF sources to investigate emerging Biosecurity issues as they arise so as to determine what type of follow-up is most suitable to address the issue at hand.

549. This Component was strongly oriented to the normative work, with considerable emphasis placed on the development and application of normative tools and training kits, and on information-sharing by electronic media, including the internet. The use of the internet as a primary source of delivery of normative information creates problems for low-income countries where access is difficult or unreliable and solutions must be found to the delivery of normative information by other means and involving the countries in the collection and dissemination of information.

550. Strong linkages were developed between the normative development at Headquarters and the country-level development and application of the normative texts. Almost all of the normative documents were developed through a series of country-level consultations, usually in the form of workshops.

551. Inter-Agency cooperation is also apparent, not least in the operation of the multi-agency IPFSAPH information portal but also in the field work in fisheries in Southern Africa with the OIE and the multi-agency response to the HPAI emergency. The fact that the PCA-funded Crisis Management Centre has close links with the tripartite FAO/WHO/OIE Global Early Warning System also indicates good inter-agency ties. There are also strong linkages with the multi-agency STDF, but it should be noted that this operates outside the UN system. Other than these examples, however, there are few examples in the field of inter-agency cooperation, the One-UN project in Tanzania perhaps being an exception.

552. As noted above, Objective D1.1 was the objective that received the highest proportion of funding under the PCA 2005-2007. To some degree, the method used to ensure cross-disciplinarity (a call for proposals to be funded) combined with the pressure to deliver such a large programme, and the absence of a clear strategy for Biosecurity, led to a certain dispersion of activities. As mentioned earlier, the current strategy dates back to 2003: considering the novelty of the concept then and the long way it has come to by now, there is a clear need for an in-depth revision and systematization of concepts and principles.

553. In addition, in relation to the PCA-Norway, the reduction in funding in the extension 2008-09 for Component D1.1 and the donor’s requirements to focus on bringing the normative programme

of FAO closer to a smaller number of LDCs will impose new priorities and will require that D1.1 activities be identified and selected more carefully to be relevant and effective.

554. In developing a strategy for Biosecurity under the PCA, attention should also be to the nature of the activities. Under the present PCA there were 6 major normative publications, 2 large consultants' reports, and at least 7 international training workshops, seminars or expert meetings. These global or regional activities restricted the resources available to country-based activities on Biosecurity issues even though some of the latter have resulted in significant results and have led to funding from other sources. Challenges will include maintaining a balance between the focus on enhancing the links between the normative mandate and work at country level and identifying countries where suitable country-based programmes and partners exist and effective progress can be made.

555. Overall, the activities under the PCA helped to develop a larger awareness of Biosecurity issues. Especially in India, including at the highest political level, they have informed an on-going internal process of discussions between responsible ministries and departments leading to an Integrated National Biosecurity System covering plant and animal health, fisheries, forestry and wildlife and including a review of related fields such as the recently-established Food Standards Authority. The influence of FAO's activities and the Biosecurity Toolkit has been catalytic in the rapid development and acceptance of this programme as a national priority. These developments may serve as a useful model for other countries.

### ***Recommendation 13***

**PCA-Norway funded activities on Biosecurity should be developed based on a clear FAO Strategy for Biosecurity. This Strategy should take into account the experience of PCA-Norway Component D1.1, in particular in relation to issues of post-crisis rehabilitation and restructuring, and on modalities of assistance to low-income countries in identifying the nature of emergency situations. Risk assessment, preparedness planning, and building of response capacities would be part of a Biosecurity Strategy and are appropriate activities for PCA-Norway funding.**

### ***Recommendation 14***

**Future work under PCA-Norway should follow and document the development on Biosecurity in India closely, so that this work can be adapted where appropriate for application in Least Developed Countries.**

## **9.5 List of outputs**

556. The table below illustrates the outputs that were produced by Component D.1. Information on outputs was provided by AGNS; the Evaluation assessed wherever possible the actual outcomes.

<b>Outputs</b>	<b>Country</b>	<b>Actual Outcomes</b>	<b>Partners; other funding sources</b>
<b><i>Normative instruments</i></b>			
<i>FAO Biosecurity Toolkit</i>	Global	NM	
<i>GM Food Safety Assessment: Tools for trainers</i>	Global	NM	
<i>Development of an analytical tool to assess Biosecurity legislation</i>	Global	NM	
<i>Manual of Procedures for the Quarantine of Live Aquatic Animals</i>	Global	NM	OIE

<i>FAO Diagnostic Guide to Aquatic Animal Diseases</i>	Global	NM	OIE
<i>Training Manual on Molluscan Health Management</i>	Global	NM	
<b>Electronic media, early warning</b>			
<i>International Portal on Food Safety, Animal and Plant Health (IPFSAPH)</i>	Global	NM	WTO, OIE, WHO, EC, USAID
<i>FAO Aquatic Animal Pathogen and Quarantine Information System</i>	Global	NM	
<i>Biosecurity Wiki</i>	Global	NM	
<i>Crisis Management Centre Animal Health</i>		Now operational	OIE
<b>Capacity building</b>			
<i>Biosecurity and Aid for Trade</i>	Global	NM	WTO, WB, others (potential)
<i>GM Food Safety Assessment Training within Biosecurity Approach</i>	Regional - East Africa (Kenya)		
<i>Surveillance system of plant health</i>	India	National Biosecurity system under preparation	
<i>District Biosecurity system on the Tanzania/Uganda Border</i>	Tanzania/Uganda	System adopted	
<i>Some small scale plant-health activities were initiated; Also country missions to develop the One-UN project</i>	Tanzania	Follow-up initiative funded with One-Un funds	Tanzania UN System
<i>Policy advice on HPAI</i>	Indonesia	NA	
<i>Mapping market chains for HPAI in West Africa</i>	Ghana/Côte d'Ivoire/Togo/Burkina Faso	NM	
<i>Socioeconomics of HPAI control (Cambodia &amp; Viet Nam)</i>	Cambodia/Vietnam	NA	
<i>Information Requirements for Aquatic Animal Biosecurity</i>	Regional - South East Asia	NA	
<i>Review of the implications of international standards and certification schemes for aquaculture</i>	India, Bangladesh, China, Viet Nam, Thailand, Brazil, Mozambique		

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<i>Global guidelines on aquaculture certification</i>	Global		
<i>Epizootic Ulcerative Syndrome in the Chobe/Zambezi: assessment mission</i>	Southern Africa	Regional TCP project prepared and funded	TCP, OIE
<i>Workshop on Bio-secure agriculture</i>	Nepal	NM	

NA= Not Assessed; NM= Not Measurable

## **Annex 10**

### **List of organizations and institutions met by the Evaluation team**

#### FAO Head Quarters

Inter-Departmental Working Group for PCA-Norway;  
PCA-Norway Objective Conveners, Budget Holders and involved staff;  
TCAP  
PBEP  
Norway Permanent Representation to FAO  
Norway Delegation to FAO, 8 June 2008

Burkina Faso

#### FAO Representation

FAO Representative/OiC;  
Assistant FAO Representative/Programme,  
Administrative Assistant

#### National organizations

Ministre Délégué chargé de l'Agriculture  
Direction Générale des Prévisions et des Statistiques Agricoles  
Direction de la Prévision et des Analyses macro-economiques  
Direction Générale des Productions Végétales  
Direction Générale de la Prévision et des Statistiques de l'Elevage  
Direction des Forêts  
Comité de Pilotage de la Composante A1.1  
Groupes de travail de la Composante A1.1  
Confédération des Paysans du Faso  
Secrétariat Permanent de la Coordination des Politiques Sectorielles Agricoles  
Programme GIPD et producteurs  
INERA  
ONG TREEAID  
NATURAMA  
Coordination UITA  
CIFOR

#### UN and donors

European Commission  
UNDP  
World Bank

Kenya

#### FAO Representation

FAO Representative;  
Assistant FAO Representative/Programme,  
Administrative Assistant  
FNPP Coordinator



National organizations

Ministry of Livestock  
Ministry of Agriculture  
Fisheries Department  
Ministry of Health  
Kenya Forestry Service  
Kenya Plant Health Inspection Services  
Fresh Produce Exporters' Association of Kenya (FPEAK)  
Kenya Bureau of Standards  
DRSRS  
KIPPRA  
NGO Reconcile  
NGO CISP  
Maa Resource Centre  
WASO Trustland Project  
Hussein Sora Foundation for Human Rights and Democracy  
Department of Resource Surveys and Remote Sensing  
Forestry Society of Kenya  
Moi University, Department of Forestry and Wood Science  
Narom Consultancy Ltd.

UN and donors

UN-Habitat  
UNIDO

Nepal

FAO Representation

FAO Representative;  
Assistant FAO Representative/Programme,  
Administrative Assistant  
Coordinator of Component A1.1

UN and donors

WFP, Food security monitoring and analysis unit  
GTZ  
Royal Norwegian Embassy

National organizations

National Planning Commission  
Secretary, Ministry of Agriculture and Cooperatives  
Joint-Secretary/Planning, Ministry of Agriculture and Cooperatives  
Joint-Secretary/Evaluation, Ministry of Agriculture and Cooperatives  
Joint Secretary, Ministry of Finance  
Joint-Secretary, Gender Equity and Environment Division (GEED), Ministry of Agriculture and Cooperatives  
Regional Directorate of Livestock Services, Ministry of Agriculture and Cooperatives  
Department of Food Technology and Quality Control, Ministry of Agriculture and Cooperatives  
Ministry of Local Development  
University

Annex 10, List of organizations and institutions met by the evaluation team

Institute for Policy Research and Development (IPRAD)  
NARMA  
Asia Network for Sustainable Agriculture & Bio resources (ANSAB)

India

FAO Representation

FAO Representative  
Assistant FAO Representative/Programme  
Administrative Assistant

National organizations

Joint Secretary, Dept. of Agriculture and Cooperation, Ministry of Agriculture  
Additional Commissioner/Horticulture, Dept. of Agriculture and Cooperation, Ministry of Agriculture  
Assistant Director-General/Research-Extension, ICAR, Ministry of Agriculture  
Assistant Director-General/Process Engineering, ICAR, Ministry of Agriculture  
Assistant Director-General, Plant Protection, ICAR, Ministry of Agriculture  
Plant Protection Advisor to the Govt. of India and Director Locust Control, Directorate of Plant  
Protection Quarantine and Storage, Ministry of Agriculture  
Head, Division of Plant Quarantine, National Bureau of Plant Genetic Resources  
National Plant Quarantine Station  
Former Joint Secretary, Plant Protection  
Acharya N.G. Ranga Agricultural University, Andhra Pradesh  
National Plant Protection Training Institute, Andhra Pradesh

## **Annex 11**

### **Profiles of Evaluation team members**

Ms Kay (Kathleen) Muir Leresche, Zimbabwean/South African national, PhD in Agricultural Economics. Team leader, with 30 years of experience in agricultural and natural resource economics and policy analysis and gender issues; Professorial Chair in the Department of Agricultural Economics and Extension, at the University of Zimbabwe until 2005, international consultant for various financial and international institutions and Universities. She was team member of the FAO evaluation of the FNPP.

Ms Tullia Aiazzi, Italian, staff member of FAO Evaluation since 2003, Evaluation Manager; MSc in Agricultural and Rural Development; more than 20 years of professional experience in development related issues, including institutional and gender issues.

Mr Alan Randell, an Australian national, PhD in chemistry, with over 30 years of experience in food safety and quality and in biosecurity. He was Secretary of the Joint FAO/WHO Codex Alimentarius Commission, before retiring from FAO in 2003.

Ms Teresa Amador, Portuguese, Master of Laws (LL.M.) in Environmental Law, with 10 years experience in environmental and fisheries law. She worked for European Governments and for the European Commission; she was the expert in fisheries law in the team for the Evaluation of FAO Strategic Objective B.1.

Mr Franco Franchini, Italian, with more than 30 years experience in FAO administration, finance and operations, from where he retired in 2003. He was team member of one country evaluation (Honduras) as expert on FAO financial and administrative management system.

Mr Bruno Cammaert, Belgian with 15 years of experience in forestry and natural resources management; he worked with FAO, the World Bank and the European Commission and was team leader of a FAO project evaluation in Syria in 2003.

Ms Luisa Belli, Italian, Assistant to the Evaluation Manager; MSc in Tropical Agriculture, ten years of experience in rural development and project monitoring and evaluation; research assistant in FAO Evaluation Service since 2005.

