



Food and Agriculture
Organization of the
United Nations



OFFICE OF EVALUATION

Thematic evaluation series

Evaluation of FAO's Contribution to Strategic Objective 4: Enabling Inclusive and Efficient Agricultural and Food Systems

ANNEX 2. Progress toward stated
results that FAO has contributed to
through its work under SP4

October 2017

THEMATIC EVALUATION SERIES

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1. Introduction

- 1 The Food and Agriculture Organization of the United Nations' (FAO's) Results Framework, as endorsed in the Medium-term Plan (MTP) 2014-2017, lists targets at three levels: Strategic Objective, Outcome and Output. Although FAO contributes to the objective and outcome level results, the results depend upon the collective accountability of FAO, member states and development partners, with no attribution to any one entity. However, output level results are fully attributable to FAO: FAO produces, controls and is fully accountable for their delivery.
- 2 For the period between 2014 and 2017, the results indicators are all numeric and indicate the number of countries, standards and agreements for which FAO provides support. While these are measurable, they reflect more the input side than the qualitative impact of FAO's work. When considering these targets, SP4's performance is shown to be exceptional, with indicators achieved (or exceeded) in most cases.
- 3 While the evaluation takes note of these numeric results (see Appendix 1), qualitative assessments were undertaken by this evaluation to better understand the results attained by FAO across the areas of work undertaken under SP4. Given the large footprint of activities, the evaluation considered a selection of interventions that were significant and representative of the nature of contributions FAO makes, and the emerging evidence of results and outcomes. Although the evaluation focuses on results for the period between 2014 and 2017, this could not be applied rigidly, considering that: i) some projects had begun earlier and were continuing in this period; and ii) the results from some key interventions manifest over a longer time or can be visible only in special circumstances or events (e.g. situations such as food-borne illnesses, or plant and animal disease outbreaks).

2. Contributions to Output 40101 - New and revised international standards for food safety and quality and plant health are formulated and agreed by countries and serve as references for international harmonization

- 4 FAO's work on international standards setting in food safety and plant health is undertaken through statutory bodies – Codex Alimentarius Commission (CAC) and the International Plant Protection Convention (IPPC) – formed under Article VI and Article XIV of the FAO constitution.¹ The two bodies are explicitly recognized under the World Trade Organization (WTO) Sanitary and Phytosanitary (SPS) agreement as setters of international reference standards on food safety and plant protection, respectively. These bodies have their own work programmes that combine both standard setting and capacity development aspects. FAO's support to these bodies has been consistent and secured through ring fenced contributions to ensure a predictable, stable level of resources, in addition to resources mobilized by these bodies directly.
- 5 As an Article XIV body of FAO, the IPPC has its own governing structure, the Committee on Phytosanitary Measures (CPM), and its own Strategic Plan 2012-2019. The work programme covers standard setting, information exchange (especially national reporting obligations), monitoring and evaluation, national capacity building, and phytosanitary dispute settlement and avoidance, carried out under the Committee on Phytosanitary Measures and its subsidiary and oversight bodies. FAO hosts the IPPC Secretariat, which is responsible for coordination and operational support to the IPPC work programme. FAO also supports the IPPC work programme through its technical units, especially the Forestry Department, Agriculture and Consumer Protection Department, Trade and Markets Division, Investment Centre Division (TCI) and other units as needed. FAO's technical units and regional office teams play a significant role to realize the IPPC implementation, especially through support to surveillance and monitoring of transboundary plant pests and capacity building of member countries. Table 1 below presents some of the capacity development activities delivered on plant health.

Table 1: Capacity Development in Plant Health

Activities	Description
Regional workshops	Organized with Regional Plant Protection Organizations (RPPOs) and FAO regional/subregional offices in all seven regions: 212 participants from 112 contracting parties.
Capacity development trainings	Trainings for phytosanitary capacity evaluation facilitators - five two-week trainings for 40 international PS experts from 36 countries, 21 lawyers from 13 countries and FAO staff; production of technical materials (funded by the STDF).
National capacity development	2016: Seven national projects implemented with involvement of IPPC Secretariat: Azerbaijan, Botswana, Georgia, Moldova, Namibia, Palestine, and South Sudan.
Pilot project on surveillance	In line with the principle of supporting members in implementation of standards, a pilot implementation project has been formulated on surveillance. The preparatory phase activities include: manuals and guidance materials for pest surveillance; revision of ISPM 6 (guidelines for surveillance) (2009-004); IPPC diagnostic protocols for regulated pests.
National reporting obligations	Adoption of national reporting obligations (NRO) procedures by CPM; guide for NROs and supplementary materials prepared by Secretariat; monthly newsletters.
International phytosanitary portal	All information relevant to IPPC work, official information on national contact points, PS legislations and regulations, pest reports, lists of regulated pests, ports of entry with restrictions.
Phytosanitary Capacity Evaluation Tool (PCE)	An SPS diagnostic tool developed in 1999, to determine gaps and technical assistance needs and priorities in phytosanitary legislation and implementation arrangements. Applied in over 110 countries.

¹ For details on these bodies, please refer to <http://www.fao.org/docrep/meeting/019/k9003e.pdf>

- 6 The evaluation notes, however, that there have been difficulties in harmonizing the structures and processes of the IPPC (which has its own member-driven charter) with the administrative procedures of the host Organization (FAO), and aligning them to the Strategic Framework architecture. The difficulties are compounded due to the IPPC's role straddling both standards-setting (which involves all the contracting parties) and implementation of projects to strengthen phytosanitary capacities in countries, which extends into the FAO technical cooperation area. Even though the Secretariat is made up by FAO staff, there has been insufficient coordination between the IPPC Secretariat and other parts of the house, which limited the access to the full suite of technical skills in the house. Also, because the IPPC has its own extra-budgetary resources, there is more autonomy in formulating and implementing technical assistance projects directly.
- 7 The Codex Alimentarius Commission is a joint body of FAO and the World Health Organization (WHO), which has its own governing body, charter, strategy and operation plans and reporting structures. As this is not an evaluation of Codex, the evaluation limited its assessments to FAO's contributions only, notably the scientific advice and Codex-related capacity development aspects. Findings of the evaluation of the Codex Trust Fund (CTF) have been noted, as these are relevant for an understanding of the quality of participation of developing countries, which are reported under SO4 results.
- 8 **Secretariat.** The Codex Secretariat, consisting of 19 staff, is housed in FAO and is funded from the regular budgets in line with an Article VI body. There is very little interaction with SP teams, although the Secretariat operates in coordination within the Agriculture and Consumer Protection Department (AG), especially the Office of Food Safety. Senior staff at the Secretariat considered the Strategic Framework as useful in principle, but observed that the SO4 indicators do not correctly reflect the results of their work: a high throughput of standards is not necessarily a means to market openness; rather it could be seen as an added burden of complying with market regulations. An appropriate assessment of FAO's contributions to Codex can be seen in the support to member capacities, provision of scientific advice and resource mobilization.
- 9 **Scientific advice.** The availability of independent, expert scientific advice is the backbone of the Codex standard setting process. This is provided by a number of joint FAO/WHO expert bodies that are independent of CAC: Joint Expert Committee on Food Additives (JECFA), Joint Meeting on Pesticide Residues (JMPR), and the Joint Expert Meeting on Microbiological Risk Assessment (JEMRA), as well as ad hoc consultations and expert meetings on specific Codex-related issues. The secretariats of these bodies are divided between FAO and WHO according to the relevant areas – food production and inputs (FAO); human health and toxicity (WHO).
- 10 A survey commissioned by FAO in 2011 reviewed FAO's (JECFA and JEMRA) food safety scientific advice provided to three Codex Committees. The survey found that the scientific advice provided was rated as good or excellent, and useful for development of Codex standards and for national food safety management.² The survey further found that explanations provided by the Secretariat were adequate or more than adequate, although there were some concerns over delays in the issue of detailed reports.
- 11 However, the evaluation noted concerns that funding is inadequate to meet the increasing requests for scientific advice to Codex. To meet the emerging needs and retain the global authoritative standing of the scientific advice programme, an increased financial commitment of USD 1.1 million per year, plus the addition of at least two professional staff, has been requested of both FAO and WHO, assessed over a six-year horizon. With a constant regular budget and a policy of not seeking private contributions from private entities, the evaluation notes that this will be a key challenge for support to substantive work.
- 12 **Participation in Codex processes.** A related area of support is to strengthen national institutional processes to improve participation in Codex deliberations and standard setting. This includes creating National Codex Committees and nominating Codex Contact Points in an appropriate ministry, defining procedures for standards drafting and adoption, and preparing submissions including collection of scientific/technical data to inform the expert bodies and relevant Codex committees. Support to member delegates attending Codex

2 The three CODEX Committees provided with food safety scientific advice were the Codex Committee on Food Additives (CCFA), the Codex Committee on Contaminants in Foods (CCCF), and the Codex Committee on Food and Hygiene (CCFH).

meetings include two useful tools: a joint FAO/WHO training pack; and an interactive e-learning course on enhancing participation in Codex activities. FAO and WHO also facilitate networking among delegates to exchange information and foster collaboration for food safety at bilateral and regional levels. More recently, another type of support to developing countries has been provided through twinning and mentoring arrangements to host/co-host regional Codex committee events.

- 13 **Codex Trust Fund.** To support developing countries’ effective participation in Codex processes and activities (e.g. trainings) to support national capacities (see Table 2), an FAO/WHO Codex Trust Fund was set up in 2003, funded by aggregate contributions of USD 21 million from 15 members and the European Commission. Using a clear set of criteria for profiling of beneficiaries, including the need for consultations with FAO/WHO country offices, support was provided for three to seven years and included a progressive increase in self-funding or alternative financing.

Table 2: Codex Trust Fund and supported activities

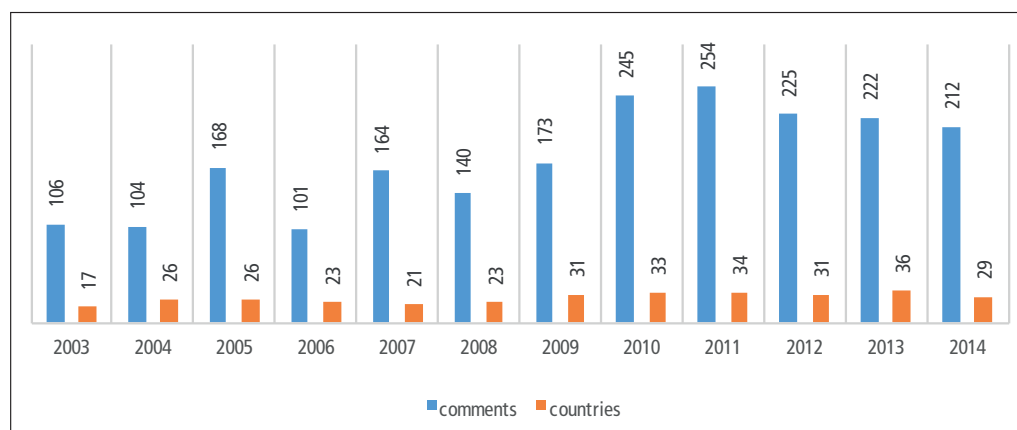
Area of support	Countries supported (non-exhaustive)
Strengthening national Codex Committees	Africa: Angola, Benin, Cabo Verde, Cameroon, Côte d’Ivoire, East African Community; Bangladesh, Lao PDR, Moldova, Mongolia
Harmonization of national standards with Codex	Fiji, Solomon Islands, Vanuatu
Evidence-based positions on food safety issues	Types and levels of mycotoxin contamination (sorghum) Burkina Faso, Ethiopia, Mali, Sudan, in preparation for Codex MRLs for mycotoxins in sorghum

- 14 An evaluation of the CTF in 2015³ noted that the fund had been successful in enhancing participation of developing countries and countries in transition, supporting over 2 350 participations from 145 countries to attend 192 Codex sessions between 2004 and 2013; this represented 14 percent of the eligible participants, with an average contribution of over USD 4 600 per participation. Additionally, CTF trained 1 200 participants from 149 countries at 42 regional workshops and events. In support to scientific evidence building, the CTF contributed to evidence gathering on mycotoxin in sorghum in four African countries.

- 15 **Results.** FAO gauges the results of its support to Codex through the progress and magnitude of standards-setting at Codex, and the level of participation by developing countries in the Codex committee discussions. While these can be preliminary indicators, they have their shortcomings.

- 16 The CAC’s data on participation of members shows positive trends, even after countries graduated from CTF support. There has also been an increase in participation, as measured by submission of comments to the committees.

Figure 1: Codex Comment Submissions



Source: Codex documents

3 CX/CAC15/38-18-Add.3: FAO/WHO Project and Fund for Enhanced Participation in Codex – Final evaluation.

- 17 A survey⁴ carried out by the CAC of its entire membership (188 members, 117 responded) on the use of Codex standards by members yielded the following insights:
- Although adoption rates varied across type of standards, a high percentage of respondents (ranging 87 to 97 percent) had partly or fully adopted Codex standards for the categories surveyed: pesticide maximum residue limits (MRLs); food additives; contaminants; and labelling.
 - 85 percent of respondents (100 countries) reported aligning legislation with general food hygiene principles.
 - 62 percent (73 countries) have legal requirements for hazard analysis and critical control points (HACCP) systems.
- 18 An important, independent indicator of the increasing use of Codex standards in national legislation is the trend of official SPS and TBT notifications to the WTO. Data released by a recent FAO and WTO joint publication shows the sharp increase in the share of SPS notifications referencing Codex standards (see Table 3), which attests to their use in setting national standards.

Table 3: SPS and TBT regulations referencing Codex standards

Year	2007 (total =100%)			2016 (total =100%)		
	Food Safety Notifications	Notifications referencing Codex	Other	Food Safety Notifications	Notifications referencing Codex	Other
SPS Notifications	35	9	56	47	27	26
TBT Notifications	13	5	86	23	5	72

Source: FAO/WTO Publication 2017

- 19 In field missions, the evaluation received anecdotal evidence of the improved capacities of developing countries in standards setting and providing scientific evidence. For example, Viet Nam delegates regularly attend meetings of some Codex Committees, including food hygiene, food import and export certification systems, labelling and sampling and testing. These are now funded by the government. Viet Nam is also active in the standards setting processes at Codex. The country's participation has improved over the past ten years, including providing national data and comments relating to draft standards, responding to all questionnaires of JECFA and JEMRA and furnishing national data on metal and pesticide residues. Viet Nam has joined the debate on tea MRLs in the European Union, joining China, India and Kenya in representing against the European Union measure with national data.

4 Survey results- use of Codex Standards, March 2017.

3. Contributions to Output 40102 - Countries and their regional economic communities are encouraged to effectively engage in the formulation and implementation of international agreements, regulations, mechanisms and frameworks that promote transparent markets and enhanced global and regional market opportunities

20 Some important results have been achieved under this output, to which FAO has made notable and useful contributions in line with its mandate and comparative advantages. The most significant among these are the indicators of progress in important international treaties:

- Agreement on disciplines on export subsidies – Nairobi 2015;
- Members’ support to call for action on disciplining harmful fisheries subsidies and preventing illegal, unreported and unregulated (IUU) fishing – Nairobi 2015, Oceans Conference 2017;
- Coming into force of the Port State Measures Agreement (PSMA) – 2015;
- Forest Law Enforcement, Governance and Trade (FLEGT) licence for Indonesia, and Ghana and Viet Nam in advanced stages – 2016.

21 The evaluation took note of the large body of FAO’s work in supporting countries in the consideration, formulation and implementation of international and regional trade treaties and frameworks in agriculture, forestry and fisheries. This work can be found at all three levels: global, regional and national, and is illustrated in Table 4. FAO’s contributions under each category are summarized below.

Table 4: Nature of support linked to trade issues in agriculture and allied sectors

Area	Scope of FAO support
WTO negotiations	Geneva briefings for delegates, observer engagement with WTO Committees, issue papers and policy briefs, participation at events of partners, dissemination of FAO flagship products and reports.
Support with WTO accession/implementation	Capacity building of post-Soviet countries on agriculture trade issues, including non-tariff aspects - SPS and food safety compliance, export market access/diversification of agriculture products.
Support with regional trade agreements	Common Market for East and Southern Africa (COMESA) - assistance in improving coherence between trade and agriculture policies and processes and mechanisms (Comprehensive Africa Agriculture Development Programme - CAADP, European Investment Fund - EIF).
Fisheries trade governance	Port State Measures Agreement to prevent and reduce IUU fishing Voluntary Guidelines on smallholder sustainable fishing.
Forestry trade governance	FAO-EU FLEGT Programme- national level support towards FLEGT Action Plan in Voluntary Partnership Agreement (VPA) and non-VPA countries.

Source: Compiled by evaluation team.

22 Senior officials of permanent missions in Geneva met by the evaluation team expressed high appreciation of FAO’s briefing events and highlighted the usefulness of FAO’s specialist understanding of agriculture, especially of issues on the ground which enhanced awareness of the food security dimensions of trade for policymakers and negotiators. A new need was expressed for FAO’s support in monitoring members’ implementation of commitments on domestic support and export subsidies, especially international food aid.

23 FAO’s contributions to the WTO Committee on Agriculture consisted of annual briefings on the food security concerns of food deficit countries; trainings and panel interventions at

WTO's regional events; and, until recently, the sharing of global market and price data for 22 commodities. Persons in the WTO conversant with FAO's work cited these contributions as very useful in enabling a nuanced understanding of agriculture policies and development, and poverty alleviation aspects.

- 24 In the Europe and Central Asia Region, the Regional Initiative on Agrifood Trade and Market Integration (RI2) is a flagship illustration of FAO's multi-dimensional support in trade and market development for agriculture and food products. Operational for four years, RI2's goal is to enhance the trade policy environment for the agri-food sector, especially small and medium business, in post-Soviet transition countries. The evaluation's full case study of the Regional Initiative appears as Annex 3.
- 25 African countries are involved in a multiplicity of overlapping and mutually inconsistent subregional trade agreements, and are now seeking to create a Continental Free Trade Area to boost intra-African trade by 25 to 30 percent in a decade. Although there is recognition of the linkages between trade and agriculture policies/strategies, member countries still have parallel and uncoordinated processes of agriculture policy reforms and plans and trade policy reforms. FAO launched an intervention in 2017 that seeks to strengthen linkages and coherence among trade, agriculture and food security policies in three Common Market for East and Southern Africa (COMESA) countries. FAO's intervention involves dialogue and coordination between the national implementing structures and mechanisms – Comprehensive Africa Agriculture Development Programme (CAADP) compacts and National Agricultural Investment Plans (NAIPs) in agriculture, and enhanced integrated framework and diagnostic tools for investment in trade – to develop mutually supportive policies, action plans and appropriate identification of subsectors and investment areas for development assistance. While the project is not in an advanced enough stage to be able to report on results, the evaluation observes that the intervention is well aligned with the principles of SO4 in enhancing inclusivity and efficiency of the relevant processes.
- 26 FAO is presently assisting some members to implement the Port State Measures Agreement through technical assistance and capacity development. These activities include:
- Support (through the West Central Atlantic Fishery Commission) to Caribbean Community (CARICOM) countries to update legislation against illegal, unreported and unregulated fishing.
 - Regional capacity building workshops on: Code of Conduct for Responsible Fisheries, ecosystem approach to fisheries, ratification of the PSMA, and Voluntary Guidelines for Securing Sustainable small-scale fisheries in the context of food security and poverty alleviation.
 - Support to Saint Kitts and Nevis (the first country in the region to install port inspection measures) to develop new fisheries and aquaculture legislation incorporating the PSMA requirements and a National Plan of Action regarding illegal, unreported and unregulated fishing.
 - The 34th Asia-Pacific Fishery Commission (APFIC) session in 2016⁵ deliberated on issues of characterization and the absence of vessel monitoring systems in most countries, and considered two regional options: an Association of Southeast Asian Nations (ASEAN) level Memorandum of Understanding on combating IUU; and broadening membership to the Regional Plan of Action (RPOA-IUU).
 - IUU fishing laws have been passed in the Philippines.
 - National Plans of Action have been initiated in Bangladesh, Cambodia and Viet Nam.
 - Thailand is also strengthening vigilance through mandatory vessel monitoring systems on vessels in third country waters and has proposed regional cooperation among APFIC members.
 - The General Fisheries Commission for Mediterranean conference on Black Sea Fisheries and Aquaculture adopted the Bucharest Declaration for regional cooperation against IUU fishing, including through more stringent monitoring, control and surveillance systems in exclusive economic zones, and a regional plan of action.
 - In Ukraine, FAO is undertaking a comprehensive assessment of the fisheries sector, including the state of IUU and readiness under the requirements of the PSMA.

5 Report of APFIC 34th session: www.fao.org/3/a-i5617e.pdf

- 27 Under the FLEGT programme, FAO has supported over 200 short projects in Africa, Asia and South America since 2008, through grants (USD 50 to 100 000) to implementing entities, and direct assistance in some cases. Africa had a large share of projects and disbursements. Important elements in the programme included an emphasis on the Timber Legality Assurance System, which is the backbone of a Voluntary Partnership Agreement; and sustained community involvement and leadership to strengthen traceability, certification and independent monitoring. A mid-term evaluation of the programme in 2014 and 2015 found it to be highly relevant and showed promising evidence of intermediate outcomes. Table 5 illustrates some of the activities supported by FLEGT to date.

Table 5: Examples of FLEGT-supported activities

Country	Highlights
VPA countries	
Ghana	Capacity development of saw millers; training curricula on reduced impact logging, timber legality assurance systems, transforming illegal artisanal chainsaw operators into a registered association and tie ups with a concession holder; joint patrolling of concession lots, guidelines on sourcing legal timber.
Cameroon	Strengthening of non-governmental organizations (NGOs) in independent forest monitoring of forest sector - Field Legality Advisory Group; user guides on legality grids; collaboration between NGOs, concession holders and government for joint decision-making.
Viet Nam	Livelihood Impact Assessments of VPA, forest verification checklists, compliance reporting formats and risk-based verification systems, training of enforcement staff on illegal logging, collaboration with the United Nations Office on Drugs and Crime (UNODC) and the United Nations Programme on Reducing Emissions from Deforestation and Forest Degradation (UNREDD), cross-border surveillance with Laos.
Honduras	Capacity building of communities and indigenous peoples and developing platforms for dialogue and engagement with government in preparations for VPA.
Non-VPA countries	
Guatemala	Transboundary governance (Belize-Guatemala borders): national action plan to prevent/reduce illegal logging; creation of task force in Southern Petén; training of local forest patrols, preparation of maps and data, improved coordination with police.
Uganda	District level multi-stakeholder forest governance platforms, community-based mobile communication platforms, leading to enhanced reporting of forest crimes and public dissemination on a website.

Source: assorted FAO materials, compiled by evaluation team

4. Contributions to Output 40103 - Governments and national stakeholders are provided with up-to-date information and analysis to design and implement efficient and inclusive market and trade strategies

- 28 A survey of member countries was undertaken for the evaluation of FAO's contribution to knowledge on Food and Agriculture⁶ that revealed high levels of appreciation of the usefulness of these products and services. A case study of the OECD-FAO Agricultural Outlook, which is listed as an output under SP4, found that 98 percent of survey respondents assess a moderate to high contribution of the report to *increasing technical knowledge* and 88 percent to *improving the quality of research or work*. According to key informants, the Outlook and underlying AGLINK-COSIMO model are both used to inform policymakers. This comprises high-ranking officials who participate in international negotiations and conduct meetings with industry associations. The evaluation received positive feedback on the Outlook from stakeholders in India. India has been able to generate outlooks for its agriculture sector as a result of the project "Incorporating International Best Practices in the Preparation of Agricultural Outlooks and Situation Analyses". Quarterly reports have been produced, and regular briefings have been delivered to senior policymakers. The information and analyses generated are aiding predictions and planning at the global and national level, thereby strengthening efforts to address food and nutrition security.
- 29 The evaluation also received positive feedback from the Ministry of Agriculture in India on the capacity building activities under the Agricultural Market Information System (AMIS). India's main interest in the project was to arrive at an estimation of private food stocks to ascertain if these had linkages with pulse price surges. Of particular importance was an AMIS report on a methodology for price harmonization (given that agriculture prices are collected at different points by different agencies), exposure to the Food Price Monitoring Analysis tool, and the trainings of statisticians from participant countries in the Philippines. AMIS data is a useful additional source of information in determining market intervention prices in advance, to provide advance price signals to farmers. This was done successfully for pulses, resulting in a 33 percent rise in production the following year, and domestic self-sufficiency.
- 30 The evaluation found that dissemination strategies of knowledge products could be improved. On a number of occasions, the evaluation team met with stakeholders who were not aware of some FAO products, such as the contract farming guidelines, and requested copies. There is also scope for customizing products based on FAO's main reports to certain audiences, such as producing digestible briefs based on flagships to cater to the trade agreement negotiators in Geneva.

6 Evaluation of FAO's Contribution to Knowledge on Food and Agriculture, Sept 2015.

5. Contributions to Output 40104 - Public Sector institutions are supported to improve their capacities to design and implement better policies and regulatory frameworks and to provide public services related to plant and animal health, food safety and quality

- 31 FAO, including its statutory bodies and anchor partners, WHO and World Organisation for Animal Health (OIE), played a central role in supporting national and regional governments and institutions to implement policies and institutional measures to strengthen sanitary and phytosanitary controls in line with international regulations. Within FAO and across its work under this output, strong cross-SP synergies were demonstrated between surveillance, emergency response and preventive capacity development initiatives in the management of inland and transboundary plant pests and animal diseases, especially those with significant commercial and trade implications.
- 32 FAO partners with WHO and OIE under a Global Framework for the Control of Transboundary Animal Diseases to assist regions in controlling specific, priority diseases through threat monitoring mechanisms, early warning systems, vulnerability analyses, and operating procedures and protocols for mitigation and control. Support has covered several high-impact animal diseases – Avian Influenza, Rinderpest, foot and mouth disease, peste des petits ruminants, classical or African swine fevers – which are important contributors to livestock production and trade.
- 33 A large part of FAO's support on transboundary animal diseases is provided under the EMPRES programme and implemented by the Emergency Centre for Transboundary Animal Diseases (ECTAD) field units covering specific diseases. Over time, the long presence of the Emergency Centre for Transboundary Animal Diseases has also enabled strengthening of national veterinary services and surveillance capacities to respond to other endemic diseases. The evaluation came across specific instances in Georgia, Tajikistan, Ukraine and Viet Nam that demonstrate progressive improvements in national capacities to address transboundary animal diseases.
- 34 On plant health, the evaluation took note of three projects in Georgia: a nationwide phytosanitary capacity evaluation; support to control pests (*Erwinia amylovora* and *Xylella fastidiosa*); and activities under a regional locust control programme. The FAO/IPPC PCE tool, used in Georgia for the first time, helped in bringing all stakeholders together to systematically identify areas of weakness. These assessments informed the strategic plan for improvement and areas requiring technical assistance. FAO also provided timely and useful advice and guidelines for testing, morphological diagnosis and control measures for *Erwinia amylovora* and *Xylella fastidiosa*, newly detected pests in Georgia. Georgia has implemented several IPSMs into national legislation, and carries out annual monitoring of quarantine pests in accordance with European Union directives. Georgia also participated in the Caucasus and Central Asia regional locust control programme and has implemented preventive controls including transborder inspections with Armenia and Azerbaijan. Innovations such as environmentally less hazardous pesticides and waterless spraying were used in water-scarce semi-desert locations. This knowledge will soon be shared to train plant protection teams from Afghanistan. The national plant protection officials contacted by the evaluation had praise and appreciation for FAO's responsiveness and the quality of technical expertise of FAO's plant protection staff.
- 35 In Bangladesh, FAO implemented a cluster of projects (three projects since 2008, funded by the European Union, Netherlands and USA respectively) to build a comprehensive national food safety system, covering food safety legislation, institutional mechanisms, standards development, diagnostic testing and analytical capacities, surveillance and food safety advocacy. With interventions covering the whole spectrum of food safety, FAO's intervention in Bangladesh was the largest and among the most successful FAO projects in food safety.

Box 1: Strengthening food safety and quality in Bangladesh

FAO played a lead role in establishing a legislated policy, institutional structure and capacity along value chains, to strengthen food safety and quality in Bangladesh. Interventions addressed a wide range of issues:

Institutionalization. With the establishment of the Bangladesh Food Safety Authority (BFSA) in September 2015, a basic governance structure was established. FAO assisted BFSA in developing its strategic plan, organizational structure and operational plan.

Laboratory and testing capacities. The National Food Safety Laboratory is fully operational, equipped with the full range of testing equipment and manned by trained staff to conduct mandatory as well as commercial services for testing food safety parameters and validate test methods as the national reference laboratory.

Science-based risk analysis. An informal network of government-controlled and independent laboratories has been created for risk categorization exercises to aid in standards formulations. Market samples were drawn for eight key items in the food basket and tested for heavy metals, pesticides, microbiology, pharmaceuticals, trace minerals and chemical dyes.

Drafting Regulations and Standards. FAO facilitated the National Codex Contact Point and four subcommittees, a national Codex manual, training on Codex and participation in Codex meetings. The project is now assisting BFSA to develop and formulate a new set of regulations, rules and operational guidelines for standards, which now fall under its scope.

Food-borne Illness Surveillance. The cluster supported the Institute of Epidemiology, Disease Control and Research to include enteric food-borne illness in its surveillance. Web-based, mobile phone and community-based surveillance were created to monitor outbreaks relating to food consumption. Manuals, guidelines and trainings were developed for rapid response teams for investigations and analysis. Thirty incidents related to water or food consumption were handled between 2013 and 2015.

Risk-based Inspections. FAO assisted in the development of manuals, guidelines and procedures for food safety investigations; inspection of primary production (meat and poultry); supervision and monitoring of risk-based food inspections; food recall; and import inspection. Training was provided to 150 senior officials of the Directorate General of Health Services (DGHS), 950 sanitary inspectors and staff from municipal corporations.

Academic Curriculum. The three-year diploma course for sanitary inspectors was upgraded to a four-year graduate course to be taught at the Institutes of Health Technology. At the same time, BFSA is being assisted with developing a four-year Bachelor of Science programme at the Bangladesh Agriculture University, designed in collaboration with the Dublin Institute of Technology.

Safe value chains. The cluster focused on training four pilot value chain actors in food safety guidelines: two in horticulture and one each in poultry and fisheries. Ninety-eight Master Trainers and 300 Lead Trainers completed and 90 percent obtained certification in the internationally certified training on food control guidelines. More than 2 000 farmers and over 250 value chain actors were trained in food safety control measures. The government extension units were closely involved and participated in the trainings. There have been positive results in all the pilot clusters in the form of enhanced production, productivity and savings.

Safe Street Food. In Khulna, in partnership with the city municipal corporation, 500 street food vendors were trained on hygiene and food safety aspects and issued street food carts with distinctive designs that enabled clean preparation and display. These vendors were also given licences and uniforms and monitored regularly by food inspectors from the municipal council, who had also been trained on inspections and provided with kits. The model has worked very successfully and vendors and consumers have witnessed economic and health benefits, respectively.

Informed and empowered consumers. The project included a major component to strengthen food safety advocacy targeting women (key food preparers in households), school children and teachers, and social leaders. A comprehensive package of awareness materials was prepared and disseminated in primary schools in 17 districts, and covered more than three million children with an emphasis on 'five keys to safer food'. The Bangladesh Safe Food Network of leading NGOs was formed for cooperation on food safety.

36 A new threat to public health and sustainable food production is the rise of antimicrobial resistance in microorganisms from adaptive immunity and mutations. To a large extent, these are caused by irresponsible and excessive use of antimicrobials in agricultural systems. Antimicrobial resistance is a key theme under the overall FAO-WHO-OIE One

Health approach, which links animal-human transmission of diseases (zoonosis) and biosecurity approaches. Recognizing its significance, FAO has adopted a four-point Action Plan (2016-2020) on antimicrobial resistance, consisting of: awareness raising; surveillance and monitoring capacities on antimicrobial use; strengthening governance aspects; and promotion of good, prudent use practices. The five-year (2015-2020) work plan envisages a budget of USD 10 million, to be supported largely from extra-budgetary resources.

- 37 In collaboration with WHO and OIE, FAO has initiated activities to compile evidence on antimicrobial usage and antimicrobial resistance. This will provide the necessary scientific information to Codex and member countries to adopt international standards. In Cambodia and Kenya, FAO and WHO are conducting field projects to study antimicrobial resistance of food-borne pathogens in poultry, pig and beef value chains. At another level, Codex Alimentarius has issued guidelines for Risk Analysis of Foodborne Antimicrobial Resistance, as well as codes of practice and recommendations on maximum residue limits of veterinary drugs in foods and animal feeds, to guide the management of antimicrobial resistance by national food control authorities.

6. Contributions to Output 40201 - Public sector institutions are supported to formulate and implement policies and strategies, and to provide public goods that enhance inclusiveness and efficiency in agrifood chains

- 38 **Contract farming.** The Legal Guide on Contract Farming (FAO, IFAD) is an important reference guide for policymakers and stakeholders in contract farming operations globally. It provides advice and guidance on practical aspects that include contract design, dispute resolution, legal and regulatory frameworks and critical problems that may arise under a variety of contexts. In Viet Nam, FAO provided contract farming advice, including feasibility analysis, beneficiary selection, preparedness, operations monitoring and evaluation, legal issues (form and content of the contract, responsibilities of the parties, strategies to minimize and manage risks, force majeure, breaches and remedies and options to conflict resolution). This has been used in a curriculum for training institutions in Viet Nam. A decree has been issued on contract farming in 2013, and now support will be needed for implementing it by private sector and cooperatives.
- 39 In the Europe and Central Asia region, **value chain analysis and public-private linkages** have been supported in several countries. This is mostly implemented via FAO's Investment Centre Division/ European Bank for Reconstruction and Development (EBRD) partnership. Market analyses enables assessment of the contributions and constraints of all actors in a commodity chain in order to promote more inclusive and better performing value chains. Value chain development takes the analysis a step forward, allowing a link with many related areas of work, such as food safety. Public private dialogue has been supported by working with industry associations, which are the main vehicles for the delivery of the work. This enables reaching out to the small producers (and contributing to "inclusiveness" criteria); however, the work also included working with some of the largest producers/ private companies (important for "efficiency" criteria). There has been work on GI and a focus on food quality and safety. The *Serbian Meat Quality Label* Association, created in late 2016, agrees on the quality features of the selected products and submits requests to the Ministry of Agriculture and Environmental Protection for approval. Serbia's example inspired other countries in the region, leading to FAO/EBRD support for the development of quality and origin-based labels in Georgia, Montenegro and Turkey.
- 40 **Institutional procurement.** Strategic reserves and public procurement are a growing area of work in the Latin America and Caribbean region, and FAO has supported the establishment of a regional network for Public Food Supply Systems. Despite the wide variety of legal frameworks and systems in the participating countries, the network is considered by the participants to be a very valuable space for dialogue, learning and cooperation. They work in specific countries when there is a particular need (e.g. in El Salvador, which was restarting a system of public purchases). Similarly, Paraguay was strengthening its system of price regulation and requested advice. There have been strategies of strengthening the major public markets via varied methods, each working on ways to buy from or provide sales opportunities for smallholder producers. COTRISA, the Chilean State Wheat Company, has established a public system of food reserves. FAO supported this initiative with the collection of information on private reserves, and by buying from small producers. FAO also worked with COTRISA to develop a strategy for food storage and supply. COTRISA has now joined the regional network of Public Food Supply Systems to share experiences with other countries. They have learned, for instance, from Brazil on setting prices, while Panama has learned from Chile.
- 41 Involving smallholder farmers in contracts with government institutions has been successfully supported in Bolivia, Colombia and Mexico, and is soon to begin in Jamaica. Links are usually made via municipalities to support school feeding programmes. For instance, in the Joint Programme for the Improvement of the Nutritional Status of Children via the strengthening of local productive systems in Bolivia, FAO and UNIDO have provided support for production and processing activities. This included construction of a fruit drying and milling facility, which provided employment for workers, a market for fruit and

vegetables from neighbouring smallholder producers, less food losses and a linkage to the school meal buying system. Staff of one municipality visited commented that they are very happy with the outcome and want to buy the products not only for schools, but also childcare, old people's homes, hospitals, and others. This provides a practical way for them to put into practice the Bolivian law requiring municipalities to use Bolivian produce, and to favour smallholders and indigenous producers.

42 *Purchase from Africans for Africa (PAA Africa)* is a programme implemented by FAO, WFP and the International Policy Center for Inclusive Growth (UNDP/IPCIG), which was inspired by the lessons learned from Brazil's Zero hunger initiative, combining school feeding activities with institutional procurement from farmers' organizations. Phase II of the programme was implemented in 2014 in five African countries: Ethiopia, Malawi, Mozambique, Niger and Senegal. The programme had two main components: i) consolidation of institutional food procurement initiatives designed to support smallholder participation in markets and promote the transfer of locally purchased foods for school meals; and ii) promoting knowledge sharing and policy dialogue among stakeholders in order to promote capacity development and national ownership of governments and civil society. Monitoring data reported by the project indicated that:

- the programme benefited 46 042 vulnerable pupils;
- PAA Africa introduced legumes (Ethiopia and Niger) and fruits and vegetables (Malawi and Mozambique) into school menus, contributing to dietary diversification of students;
- PAA Africa Phase II provided training on nutrition and food procurement to 627 stakeholders in Malawi, Mozambique and Senegal;
- PAA Africa's approach has been included in national policy frameworks in Niger (3N Initiative) and Senegal (Triennial Priority Investment Plan).

43 Evaluations were conducted in each of the five countries. In Ethiopia, the evaluation team assessed that there had been positive results for the supplier farmers. However, the lengthy procurement and contracting procedures of WFP limited the results. In Senegal, the evaluation found that the programme contributed toward increased incomes of women and men rice producers: PAA Senegal bought white rice processed by the producer unions at a higher than market price, and redistributed it to school canteens at schools being supported in the Kédougou region. Moreover, the average sales income of women was slightly higher than that of men (CFA 117 602 as opposed to CFA 117 034) for the 2015-2016 season. Thanks to more time saved from working in the field and the use of tractors, women were able to improve their performance more than men and obtain higher production yields. Also due to the school canteens, women did not have to go home at midday to prepare a meal for children who went to school. That spare time was invested into agricultural work, which also contributed to improve women's yields. Profits from the sale of their surplus gave women the opportunity to invest in their children, to buy livestock for livestock development and to better meet their own needs.⁷

7 Diagne, A, Solaroli, L., & Ba, A., 2017, Decentralized evaluation of the PAA Africa program in Senegal's Kédougou region (September 2013 – July 2016), WFP/FAO PAA Coordination Unit.

7. Contributions to Output 40202 - Support is provided for the development of evidence-based food losses and waste reduction programmes at national, regional and global levels

- 44 FAO has developed a unique expertise in food loss and waste (FLW) reduction thanks to its technical capacities across the stages where FLW occur, such as in post-harvest management, value chain development, food processing, marketing of agricultural commodities and statistics. FAO also has a broad networking capacity with members, international organizations and donors involved in FLW, and they have partnered with organizations such as other United Nations bodies, the European Union, the African Union, the African Development Bank, the G20, World Resources Institute, the International Food Policy Research Institute and bilateral donors. FAO hosts a large repository of post-harvest information available to member countries.
- 45 Evidence on the magnitude, causes and impact of FLW was provided to high-level fora such as the Committee of World Food Security (CFS) policy roundtables on FLW in the context of sustainable systems. Coordination was provided to the High-level Task Force working group on the FLW element of the Zero Hunger Challenge.
- 46 Important progress was made in the African region by having the strong engagement of the African Union on the issue of FLW captured in the Malabo Declaration. Among other objectives, the Malabo Declaration in June 2014 aims to halve the current levels of post-harvest losses by the year 2025 (African Union, 2014). This outcome can be credited to FAO's regional TCP project '*Support to regional capacity building to reduce post-harvest losses in sub-Saharan Africa*' TCP/RAF/3311 (completed in 2013) which was successful in raising awareness of and developing capacity in post-harvest losses at regional and national levels. This was followed by a regional project funded by the Rockefeller foundation, '*Support to African Union in the development of policies and strategies for country-specific plans for to reduce post-harvest food losses*', which had a focus on reducing food losses by increasing the capacity of core regional and national institutions. FAO has also implemented other regional FLW projects funded by SDC, Ireland and FAO TCPs.
- 47 The Save Food Initiative, which aims to build capacity development and partnerships for food loss reduction through evidence-based interventions, is a partnership between FAO, Messe Düsseldorf and Interpak to collaborate with stakeholders involved in FLW (donors, private sector, civil society and financial institutions). 22 percent of the Save Food community of practice are private sector organizations, while the remainder are non-profits, including government bodies, research organizations, universities and civil society organizations. Save Food Campaigns to reduce food losses and waste were organized at the global, regional and national levels: the campaigns in Iran, Saudi Arabia, and the United Arab Emirates in the Middle East focused on meat loss, increasing awareness on FLW, and food waste, respectively. Similarly, campaigns were organized in Mongolia and Thailand on Food Waste and in China on the occasion of the 36th World Food Day in 2016. In Africa, a National Save Food Network was set up in Sudan.

Box 2: Mainstreaming gender in the methodology to assess food losses along the food supply chain

In India, FAO supported the preparation of a series of case studies in the small-scale agriculture and fisheries sub-sectors in the state of Andhra Pradesh (e.g. Food Loss Analysis: Causes and Solutions, covering the milk, chick pea, rice and mango value chains).⁸ The case study methodology developed by Save Food was used in the research process. It focuses on identifying the symptoms and causes of food loss and finding relevant solutions, using a phased approach consisting of screening (secondary research from documents, reports and expert consultations), survey, sampling and synthesis (root cause analysis and solution finding). The process includes a gendered value chain assessment, including issues such as women and men's roles in production, processing, land ownership and salary differentials, and the potential impacts of changes.

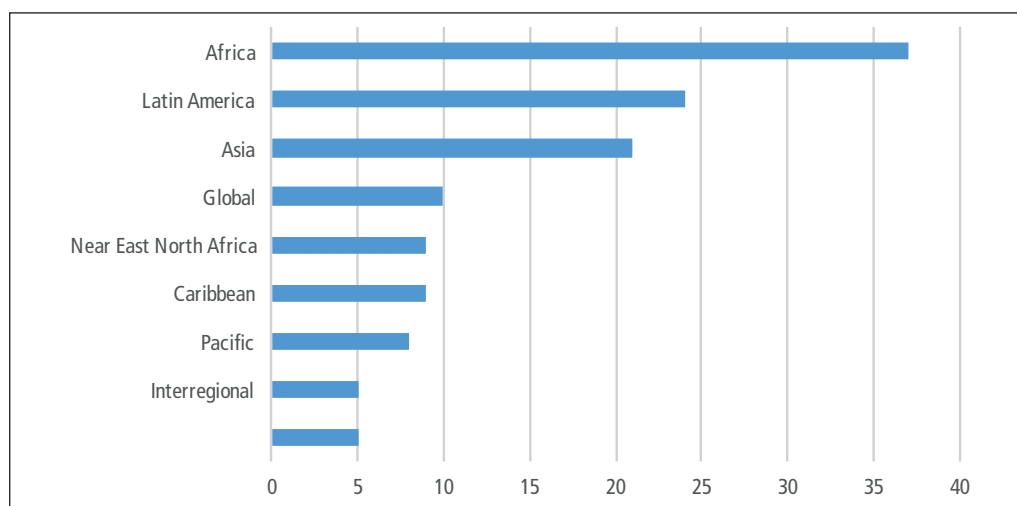
8 FAO, 2017. *Milk Value Chain Food Loss Analysis: Causes and Solutions*. Case studies in the small-scale agriculture and fisheries sub-sectors, in the state of Andhra Pradesh, India (also Rice, Chickpea and Mango VC analyses).

- 48 FAO provided support to develop regional strategies to reduce FLW with particular success in the regional programme in Latin America and the Caribbean. For instance, in the Caribbean, a study on losses for three commodities included development of a methodology to assess loss in each commodity (harvest and post-harvest: transportation, storage, market) and were able for the first time to produce realistic figures on losses in the subregion, along with proposals to mitigate the losses.
- 49 In Latin America a regional network of experts began work in September 2014. The networks had the responsibility to establish who was doing what in their countries, with assistance from headquarters and the Regional Office for Latin America and the Caribbean (RLC), and many countries have formed local committees. In 2016, regional dialogues were held, including government and non-government representatives, private sector and private persons. The network has now also incorporated parliamentary representatives. In June 2017, a draft Code of Conduct on FLW was debated by parliamentarians, government officials, representatives of the private sector, civil society and academia of 16 countries of the region during the 3rd Regional Dialogue on Food Loss and Waste in Latin America. The countries committed to promote this as an international code of conduct to serve as a global guideline to prevent and reduce food losses and waste, and the code will be submitted to the Committee on World Food Security (CFS) for consideration and possible endorsement in October 2017.
- 50 In South Asia, FAO supported policy measures for managing quality and reducing post-harvest losses in fresh produce supply chains. The project trialled sacks, crates, hot water treatment and cold chains as means to reduce losses. The following results were achieved: banana losses in Sri-Lanka reduced from 21 percent to 14.1 percent along the value chain; traditional cauliflower losses in Nepal reduced from 52 percent to 18.3 percent; and mango losses in Bangladesh reduced from 25.1 percent to 7 percent. It also promoted awareness raising among customers regarding the economic, social (including nutritional) and environmental benefits of avoiding FLW.

8. Contributions to Output 40203 - Value chain actors are provided with technical and managerial support to promote inclusive, efficient and sustainable agrifood chains

51 As can be seen from Figure 2, most activities under output 40203 were implemented in Africa and Latin America and Asia.

Figure 2: Regional spread of projects under output 40203



Source: FPMIS, accessed August 2017

52 Knowledge was developed and disseminated in many topics related to Outcome 40203. In field interviews, many respondents commented that they know of the FAO products from headquarters and use them when preparing training materials, for example. In addition, as a result of the activities in the field, many manuals and guidelines have been produced which have been used in-country.

53 A three-year programme, 'Enable women to benefit more equally from agrifood value chains', started in February 2015 and targets eight countries in Africa (Burkina Faso, Côte d'Ivoire, Ethiopia, Ghana, Kenya, Morocco, Rwanda and Tunisia). The programme focuses on three main food value chains: fisheries, dairy, and roots and tubers. The programme also supports small initiatives, including horticulture, argan oil value chains and cross-border trade. The dairy activities in Rwanda were visited and found to have resulted in increased milk production and improved incomes for the communities involved. It was a concern that the period for country-level activities was too short (about 11 months). It is recommended that once clear findings and good practices from this FAO project are identified, these be shared with relevant stakeholders, including IFAD. In this regard further collaborations and upscaling can be discussed.

54 In Cameroon, an integrated business model approach has been applied in the cassava VC, working with a local NGO. This VC is highly relevant, as 80 percent of households in Cameroon consume products derived from cassava daily, and 90 percent of cassava producers are women. The main aim of the integrated business model approach is to strengthen the purchasing power of the small producer in the local market by a win-win business relationship with other actors. This integrated business model approach is divided into two main stages: i) identification of common priorities for small producers/buyers (product quality, product standardization and packaging, infrastructure and logistics); and ii) the development of a business plan (seeking coherence between producers' objectives, objectives of the cooperative and the market, identifying and trusting purchasers, promoting sales techniques, bulk purchase, search and management of market information). Results indicate improvements in the quantity and quality of produce, and decreased food losses (due to better hygiene). Moreover, as the processed cassava has a longer shelf life, processors can wait for a favourable price. Producers also gained an appreciation of price setting,

considering the costs of inputs and labour, and variation in market demand. The NGO was satisfied that they learned a lot and are now replicating the integrated business model approach with other projects. However, the agreements initiated between producers and buyers are still very precarious and not formalized (in some cases buyers refuse to pay the prices contracted). There is also competition on the market with lower quality products with lower prices, and insufficient activity by producers to seek out new markets. Thus, the impact of this initiative on the income of the beneficiaries remains limited.

- 55 Under the African Solidarity Trust Fund project “Creating Agribusiness Employment Opportunities for Youth through Sustainable Aquaculture Systems and Cassava Value Chains in West-Africa”, youth groups in Burkina Faso, Côte d’Ivoire, Ghana, Guinea Bissau, Nigeria and Senegal were supported in aquaculture production and marketing. In total, 310 youth producers received support across the six countries. Although in Nigeria there are reports of large volumes of production and profits for youth and women producers, there are mixed or less positive results in the other countries, according to the project management team. However, there are some important design lessons that FAO can take from this project. The evaluation found that inadequate attention was paid to the whole value chain, including input suppliers, while little consideration was given to bringing the project to scale beyond the establishment of a few demonstration plots across the six countries. Furthermore, many of the youth that were targeted do not have ownership of the land where the ponds were built, which may affect the sustainability and replicability of the model. Another lesson from this project is that ponds and hatcheries should be built at the same time, to ensure that there is a supply of fingerlings for the ponds, and to prevent a glut of fingerlings with no ponds to supply. These aspects of the production chain need to be linked from the start.
- 56 **Farm Forest Facility.** In Viet Nam the Farm Forest Facility has been piloted in two provinces, with two communes as direct beneficiaries. The products are specific to each: dairy, timber and cinnamon. FAO introduced its Market Analysis Model and provided training for facilitators and advanced farmers. The model assisted the communes in the logic of product selection and the business model and formation of business groups. The project helped to build a variety of livelihood enhancing opportunities, linked to markets. Highlights include: Forest Stewardship Council (FSC) certification for Nam Ding Forest Community, which fetches a premium from certification besides export markets from traceability; production of non-timber forest products (honey, herbal medicines and grapefruit tree cropping); star anise oil (processed, packaging and marketing); chicken rearing; and orange tree cultivation. A national strategy on sustainable forest management is being prepared and will draw on the lessons of the project.
- 57 In Bolivia, the Farm Forest Facility supported the development of producer groups and cooperatives, policy dialogue, business planning and links to markets. For instance, in the case of the Coffee Producer’s association (which owns its own processing plant) they were assisted to improve the quality of the coffee and to participate in the national coffee show and auction. Their coffee was sold to international buyers at an almost 600 percent increase over the normal local price. Many of the participating communities are indigenous groups living in forested areas. The work with Brazil nut producers has the additional benefit of protecting the Amazonian forest.
- 58 In Ethiopia, FAO has partnered with UNIDO in support of the government’s ambitious project to create agricultural commercialization clusters and integrated agro-industrial parks, which offers FAO an opportunity to engage in one of the most high-profile initiatives on large-scale whole value chain development and agro-industrialization in Ethiopia, promoted mainly, but not exclusively, by the Ministry of Industry. FAO’s role in this initiative is to assess the commodity supply side and the extent to which marketable surplus in the right quantities and quality could be made available by farmers, to supply the processing centres, although this activity is being conducted with limited funding (approximately USD 600 000). The assessment of the selected commodities included a gender-sensitive value chain analysis that highlights the significance and potential impacts of involving women producers in the IAIP development. Given its agenda and the opportunity to serve as an important FAO entry point into the marketing and value chain discussion, this project deserves much more attention. FAO’s value chain analyses conducted through this project are undoubtedly crucial to ensuring the interests of its key constituencies (those of concerned smallholder farmers) and general FAO development principles of inclusiveness, efficiency and sustainability are well maintained.

9. Contributions to Output 40301 - Public and private sector institutions are supported to design and implement financial instruments and services that improve access to capital for efficient and inclusive agrifood systems

- 59 The rural finance team in FAO has produced important normative work at the global level, while also contributing to significant outcomes in specific country-level interventions. At the country level, FAO's rural finance team, with initial support from the Investment Centre Division (TCI), has provided strong technical backstopping for the design and implantation of the Livelihood and Food Security Programme (LFSP) in Zimbabwe. Through the LFSP, FAO collaborated with five micro-finance institutions (MFIs) and three banks in an effort to increase smallholder farmers' access to formal financial services, through risk reduction strategies for lenders, as well as development of new financial tools in partnership with the lenders (See box 4).

Box 3: Livelihood and Food Security Programme (LFSP) – Zimbabwe

The LFSP in Zimbabwe is a multi-sector, integrated, food and nutrition security oriented agricultural productivity and value chain project that also includes a large number of innovative finance models and services to farmers and off-takers. The project has a large budget of over GBP 40 million and was implemented in eight districts of Zimbabwe involving over 30 partner organizations. The project has three main components:

1. Agriculture Productivity and Nutrition, including rural finance (managed by FAO);
2. Market Development (managed by Palladium);
3. Monitoring and evaluation (outsourced to international consultant Coffey, UK).

FAO manages the Agriculture Productivity and Nutrition component, coordinating the activities of several consortia of NGOs targeting 127 000 households as well as providing technical assistance to banks and micro-finance institutions (MFIs) on options for financing smallholder producers and off-takers. The project provides a holistic extension 'package' to farmers, and is one of few examples among FAO initiatives where integrated value chain support is provided through innovative and collaborative partnership approaches. On the rural finance component, the LFSP offers a package that:

- reduces the risk of rural lending and lending to off-takers (agribusinesses that purchase products and provide inputs);
- subsidizes rates (for MFIs, bringing them down from monthly micro-finance rates of up to 4-5 percent to about 1-2 percent);
- provides complementary technical and extension services, lowering transaction costs for banks and micro-institutions.

The project seeks to address investment risks as a key barrier to farmers receiving credit from banks and micro-finance institutions through the creation of a guarantee facility for major banks (although not for MFIs), and indirectly for off-takers (i.e. buyers and input suppliers) whereby banks are incentivized to provide loans through the sharing of risks: 50 percent of risk is shouldered by the bank; 50 percent by the USAID-funded Development Credit Authority.

Similarly, banks were also incentivized through the provision of comprehensive weather insurance and drought insurance for the 2016/17 growing season for maize and paprika production. Technical support is provided for banks and MFIs to better reach farmers, farmer and savings groups in the field, to improve and broaden the range of financial products for smallholders; to provide leasing, insurance and money transfer services at scale; and to enhance outreach to farmers. The project employs innovative use of technology in disbursing credit, for example through the use of mobile phone technology – a successful innovation in the current context of Zimbabwe where cash liquidity can be problematic.

The project is complex and it took a long time for it to take off, owing to delays in formalizing the many partnership agreements. The project also underwent a significant redesign on the insistence of the donor in 2014, most notably with regard to the rural finance component.

The LFSP received excellent backstopping support from the rural finance team at FAO headquarters in Rome, and also from TCI in the early stages of redesigning the project. There is now a strong local rural finance team in place in the FAO country office, and several major training efforts have been carried out for staff from financial institutions and in the field. Many farmer groups have been sensitized, trained and assisted. There are also linkages with other initiatives of the FAO rural finance team, such as the Boulder Microfinance Training. Several MFI and bank staff linked to the LFSP in Zimbabwe have attended Boulder microfinance trainings in Turin, Italy.

The project is due to end in 2017; however, due to delays as well as very poor weather in 2016, activities are only now beginning to bear results. It was too early to assess the performance and impact of the extension and finance components at the time of the evaluation, although the project could potentially provide many lessons for future programming of this sort by FAO, particularly related to rural finance.

- 60 FAO has entered into several high profile and effective partnerships in the area of rural finance. In partnership with Rabobank, FAO has supported smallholder farmers' access to finance, resulting in positive food security outcomes. In Tanzania, FAO and Rabobank Foundation supported access to financial services by organizations representing rice farmers in the Morogoro district. Greater yields from a new FAO-backed cultivation system are providing the incentive to invest in warehouses, which allow farmers to store their output and sell it when seasonal prices are higher. In Kenya, farmers have better access to loans in the form of seeds as part of a larger project on conservation agriculture, funded by the European Union. In Ethiopia, FAO and the Rabobank Foundation have collaborated with local microfinance lenders to select rural farming cooperatives to promote value chain development and generate employment.
- 61 At the global level, FAO has partnered effectively with IFAD, GIZ/BMZ, UNCDF and the World Bank on the "Improving Capacity Building in Rural Finance" (CABFIN) project. As part of this joint initiative, a web platform was created called the Rural Finance Investment and Learning Centre (RFILC). This centre acts as a reference point, with over 3 500 documents in three languages, catering to over 5 000 members from 150 countries. The RFLC is also one of the largest sources of training courses and capacity building resources on rural finance. Arising from this successful collaboration, FAO has received grant funding from IFAD for the development of policy tools and training materials targeted toward public sector agencies, donors, financial institutions and NGOs working to enhance smallholder access to financial services including credit, savings and insurance. This grant agreement is now in its second phase of funding.
- 62 Through the CABFIN partnership, FAO and its partners (also including the Consultative Group to Assist the Poor - CGAP), have developed the Rural and Agricultural Finance Programme (RAFP), a highly specialized training programme for experienced rural and agricultural finance practitioners and institutions. This programme is managed by the Boulder Institute of Microfinance. Three RAFP training events have been conducted so far, with technical inputs from FAO, CGAP and other partner institutions. Interviews with partners attest to the high esteem with which FAO is held in the area of rural finance, in particular with respect to the collaboration with IFAD on CABFIN.
- 63 However, in nearly all interviews, both within and outside FAO, serious concern was expressed regarding the loss of personnel and dedicated staff expertise in rural finance, and therefore the potential reputational risk for FAO considering its commitments under the IFAD grant. The evaluation recognizes the significant effort and quality of work of the few personnel who remain on FAO's rural finance team, but highlights the urgent need for FAO to address human resource capacity constraints in rural finance if the organization is to continue to play a leading role in this area.

10. Contributions to Output 40302 - Public and private investment institutions are supported to increase responsible investments in efficient and inclusive agrifood systems

- 64 The Investment Centre Division's (TCl's) work spans all regions and has registered good results across its portfolio of work. Some examples are presented below. Notably, the collaboration on RI2 in Europe and Central Asia can be assessed to capture the potential results achievable with an all SP4 type programme.
- 65 The thrust of FAO's Investment Centre Division work in Ukraine has been in building export-competitive value chains and market development (grain, flour, organic products and meat). These projects address market standards, access to finance and other issues affecting competitiveness at the downstream level. FAO's work under the 'Partnership Agreement between Ukraine Government and Private Sector' facilitates dialogue and partnership for priority reforms and an enabling agribusiness environment. Most prominently, the EBRD/FAO partnership has facilitated policy dialogue through public-private platforms in the grain sector, more recently extended to meat and dairy. The partnerships also supported producer associations of different commodities in dozens of legislative initiatives, such as crop receipts, food safety standards and veterinary services – all aimed at improving sector regulations and investment climate. There have been very good results of this cooperation in the grain sector, and the milk and dairy sector in Ukraine is showing signs of recovery after a period of stagnation, with increased access to the European and Chinese markets for Ukrainian dairy companies and a free trade arrangement with Belarus.
- 66 There was also FAO/EBRD support for the development of quality and origin-based labels in Georgia, Montenegro and Turkey. In Georgia, a public-private platform on dairy policy was facilitated and helped commercial dairy farmers to make considerable strides in a short time, according to observations by the SO4 evaluation team. Some producers improved production by 20 percent in less than a year and invested upwards of USD 2.5 million in upgrading their operations, building new barns and buying more productive livestock.
- 67 In Sub-Saharan Africa, the Investment Centre Division assisted several countries with improving the policy framework for agriculture and food security, which included support to the formulation of National and Regional Agriculture Investment Plans (RAIPs and NAIPs) under the Comprehensive Africa Agriculture Development Programme (CAADP) framework in close coordination with the Regional Office for Africa (RAF). This includes work with more than 20 countries in Africa and with Regional Economic Communities, such as ECOWAS, IGAD and SAADC. The Investment Centre Division also supported the design of 72 agricultural development and food security investment projects in nearly 40 African countries. The majority of projects focused on increasing sustainable production, as well as improving access to markets and value addition, thus cutting across SP4 and SP2.
- 68 FAO and EBRD engaged in the review of Egypt's wheat sector in 2015. Although Egypt is the world's biggest importer of wheat, this is also an important crop for Egypt's farmers, covering 22 percent of field crops. FAO and EBRD supported public-private dialogue to improve the policy and regulatory environment in the Egyptian wheat sector, identifying a number of recommendations such as to establish an association of private actors; reduce artificially high domestic procurement prices for wheat to facilitate more competitive production and exports; simplify public wheat import tenders and procedures (reduce inspection costs, provide technical expertise, reduce waste and inefficiencies); reform domestic grains storage and use privately build silos; and enhance data quality and transparency to benefit all actors. Initial results were the abolishment of costly grain inspections and linking domestic wheat prices more closely to international prices.

11. Contributions to Output 40303 - Systems are established and countries are supported to monitor, analyse and manage the impacts of trade, food, agriculture and natural resource policies on food systems and on price and market related risks

- 69 During the Monitoring and Analysing Food and Agricultural Policies (MAFAP) Phase II, 21 technical analyses and policy briefs were finalized in the first two years (2015-2016). The results were presented to policymakers with the intention that these will be used to identify key areas for policy reform. Indicators of price incentives (how public policy affects prices) and public expenditure (how the government budget in support of food and agriculture is composed) were updated and published in the MAFAP policy-monitoring database. In all 16 MAFAP focus countries, trainings have been provided to government staff and researchers on the use of the price incentives and public expenditure indicator methodologies. In Kenya and Mozambique, key policy constraints to agricultural development have been validated with the Government and prioritized for reform. In Burundi and Rwanda, key policy constraints in priority value chains (rice, coffee, tea) have been identified and discussed with Government.
- 70 There are some notable examples of MAFAP's effective analysis of government policies, such as the Senegalese onion value chain analysis which is both conceptually and practically strong. However, MAFAP effectiveness in influencing Government policies and reforms synergistically is somewhat limited, partly due to its limited institutional grounding in FAO and its relatively recent change in strategy during the second phase, which has yet to bear fruits. Demand-driven topic priorities sometimes seemed opportunistic, despite lists of agreed MAFAP main themes for analysis (about 100, narrowed down to about 10 per country). The evaluation received feedback that some stakeholders perceived outputs as overly specific, too academic and not sufficiently broad for specific policy or strategy applications; others observed that the depth of analyses is not sufficient for concrete questions. Secondly, the evaluation encountered only limited examples where MAFAP's activities have aligned with ongoing projects (e.g. MAFAP has contributed to studies on post-harvest losses in Ethiopia, in tandem with an FAO project on post-harvest losses funded by Switzerland). Aligning activities and analyses with highly visible project activities in-country could increase the potential for influence on policy reform. On the other hand, MAFAP appears strong in trying to build or rely on permanent structures and capacities within Government or related advisory or research institutions that could contribute to long-term results and influence.
- 71 There was minimal cooperation between MAFAP and FAO country or regional offices. While there are formal agreements by MAFAP with FAO country offices, both parties work from very different premises and understandings of their respective roles in informing and advising Governments. There are some inherent tensions in FAO's diplomatic approach to dialogue with governments and the imperatives of sometimes inconvenient truths from independent, evidence-based analysis. Secondly, MAFAP often works with counterparts in Government, parastatal or research organizations, which are not FAO's usual partners and may have different priorities and views than the Ministries of Agriculture that FAO is mainly partnering with. Where MAFAP has worked with Ministries of Agriculture, problems were encountered due to the limited mandates and different vested interests of these ministries in integrated value-chain, agribusiness and trade issues.
- 72 Beyond MAFAP, there were a few limited examples of FAO supporting evidence-based policy monitoring and analysis in support of Output 40303. For example, in Ukraine, FAO has been working on implementation of the Data Warehouse, a statistical platform for storing available statistical data with tools for data export/import and reporting. FAO also finalized the farm costing and returns analysis study for the hazelnut sector. As a result of the study, valuable information on gross margins in hazelnut growing was obtained for the purpose of determining the level of profitability of different size orchards. The study laid the foundation for the development of an extension programme for hazelnut growers. Meanwhile, in Moldova, technical support was provided to the Ministry of Agriculture:

an analysis of policies through a comprehensive study on key commodity chains (fruit, vegetables, wine), and an analysis of domestic agriculture policies and the internal market situation. In Nigeria, as part of the Agricultural Market Information System project, a series of high level meetings and consultations with farmers have been held to assess the need for market price data, following the development of a policy on open data usage and access. However, such examples remain isolated and somewhat ad hoc.

12. Appendix 1.

Table a. Outcome level results, 2014-15

Outcome (2014/15)	Indicator	Target 2015	Actual 2015	Progress (%) 1st biennium
401 - International agreements, mechanisms and standards that promote more efficient and inclusive trade and markets are formulated and implemented by countries.				
	401 (a) Number of countries that have aligned national trade policies, regulations and mechanisms (related to international trade in agriculture, forestry, food, products) to confirm to agreements	5	6	120%
	401 (b) Percent of low income and lower-middle income countries effectively participating in international standard setting under the auspices of Codex Alimentarius and the International Plant Protection Convention (IPPC) or Codex standards development	15	17	113%
	401 (c) Number of developing countries in which FAO Regulatory Systems Index has increased	8	0	0%
402 - Agribusinesses and agrifood chains that are more inclusive and efficient are developed and implemented by the public and private sectors.				
	402 (a) Number of countries in which agro-industry value added has grown faster than agricultural value added	10	17	170%
	402 (b) Number of countries in which the FAO food loss index has decreased	56	20	36%
403 - Policies, financial instruments and investment that improve the inclusiveness and efficiency of agrifood systems are developed and implemented by the public and private sectors.				
	403 (a) Number of countries in which credit to agriculture has increased in real terms (inflation-adjusted)	13	68	523%
	403 (b) Number of countries in which the agricultural investment ration has increased	7	57	814%
	403 (c) Number of countries that have reduced the level of disincentives affecting the agriculture and food sector through policy distortions.	0	4	

Table b. Output-level results, 2014-16

Output	Indicator	2014-2015			2016-2017			
		FAO Corporate Output Target 2014-15	Results 2014-15	Progress (%) 2014-15	FAO Corporate Output Target 2016-17	Target 2016	Actual Results 2016	Progress (%), 1st year (2016-17)
4.1.1 New and revised international standards for food safety and quality and plant health are formulated and agreed by countries and serve as references for international harmonization	Number of new or revised international standards in food safety, quality and plant health -new issues considered -draft standards progressed -new standards adopted	42	30	71%	16	12	12	100%
		56	69	123%	105	52	58	112%
		30	35	117%	34	9	42	467
4.1.2 Countries and their regional economic communities are supported to engage effectively in the formulation and implementation of international agreements, regulations, mechanisms and frameworks that promote transparent markets and enhanced global and regional market opportunities	Number of trade-related agreements on which evidence, capacity development or fora for dialogue have been provided by FAO	7	18	257%	39	11	13	118%
4.1.3 Governments and national stakeholders are provided with up-to-date information and analysis to design and implement efficient and inclusive market and trade strategies	Number of FAO market information products whose usage increased	8	17	213%	11	0	14	n.a.

Output	Indicator	2014-2015			2016-2017			
		FAO Corporate Output Target 2014-15	Results 2014-15	Progress (%) 2014-15	FAO Corporate Output Target 2016-17	Target 2016	Actual Results 2016	Progress (%), 1st year (2016-17)
4.1.4 Public sector institutions are supported to improve their capacity to design and implement better policies and regulatory frameworks, and to provide public services related to plant and animal health, food safety and quality	Number of countries and/or regional bodies provided with FAO support to design and implement policies and regulatory frameworks for plant and animal health and food safety and quality -plant health -animal health -food control	134	147	110%	21	3	10	333%
		25	30	120%	18	6	21	350%
		175	155	89%	23	7	26	371%
4.2.1 Public sector institutions are supported to formulate and implement policies and strategies and to provide public goods that enhance inclusiveness and efficiency in agrifood chains	Number of institutions benefiting from FAO support to formulate and implement strategies and to provide public goods that enhance inclusiveness and efficiency in agrifood chains	60	97	162%	53	10	37	370%
4.2.2 Support is provided for the development of evidence-based food losses and waste reduction programmes at national, regional and global levels	Number of countries provided with FAO support for reducing food waste and loss	60	45	75%	29	13	27	208%
4.2.3 Value chain actors are provided with technical and managerial support to promote inclusive, efficient and sustainable agrifood chains	Number of countries provided with FAO support to implement inclusive, efficient and sustainable value chains	40	56	140%	60	15	25	167%

Output	Indicator	2014-2015			2016-2017			
		FAO Corporate Output Target 2014-15	Results 2014-15	Progress (%) 2014-15	FAO Corporate Output Target 2016-17	Target 2016	Actual Results 2016	Progress (%), 1st year (2016-17)
4.3.1 Public and private sector institutions are supported to design and implement financial instruments and services that improve access to capital for efficient and inclusive agrifood systems	Number of institutions receiving FAO support to increase the availability of financial products and services to the agricultural sector	70	60	86%	61	19	29	153%
4.3.2 Public and private investment institutions are supported to increase responsible investments in efficient and inclusive agrifood systems	Number of countries receiving significant FAO support to increase responsible investment in efficient and inclusive agrifood systems	16	38	238%	13	4	18	450%
4.3.3 Systems are established and countries are supported to monitor, analyse and manage the impacts of trade, food and agriculture policies on food systems	Number of countries receiving FAO support to monitor, analyse and reform food and agricultural policies	13	18	138%	15	6	11	183%



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