

CODEx ALIMENTARIUS COMMISSION E



Food and Agriculture
Organization of
the United Nations



World Health
Organization

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FAO/WHO PROJECT AND FUND FOR ENHANCED PARTICIPATION IN CODEx (CODEx TRUST FUND)

FINAL PROJECT EVALUATION

This document contains the full report of the final project evaluation of the FAO/WHO Codex Trust Fund. This evaluation was carried out and the report prepared by TDV Global Inc. which had been selected as the company to carry out the evaluation through an extensive process, and following WHO policies and procedures. It will be available in English, French, Spanish and Arabic. The Executive summary has also been published separately as CX/CAC 15/38/18-Add.2 and is available in all languages.

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ABBREVIATIONS AND ACRONYMS

CCP	Codex Contact Point
CTF	Codex Trust Fund
CGTF	Consultative Group for the Trust Fund
EU	European Union
FAO	Food and Agriculture Organization
FTE	Full-time equivalent
IPPC	International Plant Protection Convention
LDC	Least Developed Country
MTR	Mid-Term Review
NCC	National Coordinating Committee
OIE	World Organization for Animal Health
PSC	Program Support Costs
SPS	Sanitary and Phyto-sanitary Measures
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Program
WHO	World Health Organization

Codex Committees and Task Forces

CAC	Codex Alimentarius Commission
CCEXEC	Executive Committee of the Codex Alimentarius Commission

General Subject Committees

CCGP	Codex Committee on General Principles
CCFA	Codex Committee on Food Additives
CCCF	Codex Committee on Contaminants in Foods
CCPR	Codex Committee on Pesticide Residues
CCRVDF	Codex Committee on Residues of Veterinary Drugs in Foods
CCFH	Codex Committee on Food Hygiene
CCMAS	Codex Committee on Methods of Analysis and Sampling
CCFL	Codex Committee on Food Labeling
CCFICS	Codex Committee on Food Import and Export Inspection and Certification Systems
CCNFSDU	Codex Committee on Nutrition and Foods for Special Dietary Uses

Commodity Committees

CCMMP	Codex Committee on Milk and Milk Products
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CCFFP	Codex Committee on Fish and Fishery Products
CCFO	Codex Committee on Fats and Oils
CCFFV	Codex Committee on Fresh Fruits and Vegetables
CCPFV	Codex Committee on Processed Fruits and Vegetables
CCS	Codex Committee on Sugars (adjourned <i>sine die</i>)
CCCPL	Codex Committee on Cereals, Pulses and Legumes (adjourned <i>sine die</i>)
CCNMW	Codex Committee on Natural Mineral Waters (adjourned <i>sine die</i>)
CCMH	Codex Committee on Meat Hygiene (adjourned <i>sine die</i>)
CCVP	Codex Committee on Vegetable Proteins (adjourned <i>sine die</i>)
CCCPC	Codex Committee on Cocoa Products and Chocolate (adjourned <i>sine die</i>)

Regional Coordinating Committees

CCAFRICA	FAO/WHO Coordinating Committee for Africa
CCASIA	FAO/WHO Coordinating Committee for Asia
CCEURO	FAO/WHO Coordinating Committee for Europe
CCLAC	FAO/WHO Coordinating Committee for Latin America and the Caribbean
CCNEA	FAO/WHO Coordinating Committee for Near East
CCNASWP	FAO/WHO Coordinating Committee for North America and South West Pacific

EXECUTIVE SUMMARY

A final project evaluation of the FAO/WHO Project and Fund for Enhanced Participation in Codex (Codex Trust Fund) was carried out between June 2014 and February 2015. The Codex Trust Fund (CTF) was launched in 2003 by the Directors-General of FAO and WHO to help developing countries and countries with economies in transition to enhance their level of effective participation in the Codex Alimentarius Commission. The CTF aims to achieve this goal primarily by providing resources for eligible countries to participate in Codex meetings and training courses, and also enabling them to prepare scientific and technical data related to the Codex standard setting process.

The purpose of the final project evaluation was to evaluate the functioning and results of the CTF after ten and a half years of its twelve year lifespan. The results of the final project evaluation will be used, along with other sources of information, to inform discussions in FAO/WHO and among Codex Member States on possible future measures that may be necessary to enhance further effective participation in Codex by developing and transition economy countries.

The specific objectives of the evaluation were to:

- a. Evaluate the results of the CTF against the stated objectives and expected outputs in the founding project document.
- b. Identify and analyze the strengths and weaknesses of the CTF from both strategic and operational perspectives.
- c. Identify lessons that could be learned from the operations and results of the CTF for similar projects in the future.

The evaluation Terms of Reference (see **Annex A**) identified the evaluation criteria questions and a full Evaluation Matrix (please see **Annex B**) was developed including a complete list of sub-questions for each evaluation criteria. Evidence to support evaluation findings was collected through multiple lines of inquiry, including document review, interviews (46 interviews completed), focus groups (12 participants), online survey (80 respondents) and country case studies (200 participants across 14 countries).

The findings from each line of inquiry were consolidated into a presentation and preliminary findings matrix, which was presented to the Consultative Group for the Trust Fund in January 2015. Based on the feedback provided by the CGTF, a draft report was developed for further consultation, and ultimately the development of the Final Evaluation Report. The evaluation has identified a series of conclusions and recommendations for consideration of the CGTF.

As at December 2013, the Fund had received over US \$18.7 million from 15 Codex Member States and the European Union as a Codex Member Organization, and expended US \$17,708,969.

Conclusions

The CTF has been very successful at fulfilling its primary mandate. Widening participation of developing countries has been the primary focus of the CTF, and the principal area of activity every year since the Fund started. It addressed, and continues to address, a real need of developing countries and countries in transition, and has been an explicit area of focus for many donors. The CTF has supported 2,078 participations from 2004 to December 2013, or 14% out of a total of 14,800 CTF eligible country participations. The CTF has expended \$9,666,434 on this output during this same period, or on average \$4,654 per participation. The expenditure reflected 55% of total expenditure, or 80% of activity expenditure. A vast majority of participants (95-97%) are satisfied to very satisfied with their participation. A major achievement is that, presently, there are more developing countries self-funding their participation than there were before the start of the CTF.

The CTF was able to take note of the changing needs of countries and introduce more activities related to the second outcome of the CTF, "strengthening participation", principally through the provision of regional workshops. While initiated as early as 2005, the regional workshops took root in 2007 and continued. The CTF has supported 893 participations at 33 CTF capacity building events between 2004 and 2013 at a total expense of \$1,832,576 (or 10% of total expense, or 15% of activity expenditure), or approximately \$2,052 per participation. The events ranged in size and duration from 1 day (11 events), 2 days (4 events) or 3 days or more (20 events) for a total of 2,914 person days of training at a cost of approximately \$53 per person day of training.

The third CTF outcome relates to "increased availability of scientific evidence in Codex". There have been mixed results in this area, partially due to activities in this area starting as recently as 2012. This was due to a variety of reasons, including the intentional, continued focus on the primary outcome of widening participation and difficulty in defining appropriate interventions for this outcome. The principal activity has been the Mycotoxin in Sorghum Project, which has generated a significant amount of scientific data. The final results of that project, however, are not known as of the time of this report.

The report contains further conclusions regarding each of the evaluation criteria. In addition to the conclusions on effectiveness listed above, some of the more prominent conclusions are:

1. If the objective of widening participation is maintained, some developing and transition economy countries will require continued assistance for physical participation. Effective participation has become a greater focus for eligible countries, but needs to be supported on a more country-by-country basis.
 2. Further needs identification and program design is required for "increased availability of scientific evidence in Codex", that will allow the CTF, if it decides to retain this outcome in the future, to design appropriate approaches and activities given the operational and financial realities of CTF.
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3. The higher level development goal in the CTF results framework was set too high. While the contribution of standards to food safety is theoretically clear, in practice there are too many factors, and stakeholders, that influence a country's food safety system for it to be the basis on which to assess progress and results of an initiative such as CTF. The CTF results framework needs to be set more appropriately to the scope of the Fund, and reasonable sphere of influence. The CTF results framework should be more focused on effective participation and standard development, rather than standard implementation and impacts on food safety systems, international trade or safe and nutritious food.
4. Sustainability will be determined by the national context. The turnkey solution involves raising the priority of Codex participation at a national level with central ministries and political decision-makers. The project has never designed specific activities to address this root problem.
5. It is apparent that CTF has had a positive impact on the increased awareness and importance of Codex in eligible countries through exposing participants to the international food standard setting process that takes place in the Codex Alimentarius Commission and has provided valuable information on how to structure and establish Codex infrastructures at the national level.
6. The CTF program design, given its current form and expectations that range from enhancing effective participation to support for generation of scientific data, is not optimal. With a greater emphasis on capacity building, and the development and delivery of the Mycotoxins in Sorghum Project, there has been a reliance on WHO and FAO in-kind contribution of staff time that may not be sustainable in the long-term.
7. The CTF effectively assesses, evaluates and monitors its work. As a result, it has identified many lessons learned, but only a few have been taken further for action, and in some cases, only for very limited periods. As an example, mentoring was raised as an area for support in 2007 but a pilot was only conducted in 2012. By most accounts the pilot was well received and successful but never repeated.

Recommendations

The following recommendations are submitted to the CGTF for their consideration.

1. **Develop a Codex promotional and engagement strategy with the Codex Secretariat to advocate for national support for Codex programs.** This aligns with the Codex Strategic Plan Objective 3 and will help address the root cause of the factors that impact on the sustainability of developing country participation in Codex. There is also a need to raise the priority and profile of food safety within WHO and FAO itself. Conditions at national level are often a reflection of the international landscape and if food safety is not a priority item on WHO and FAO governance bodies it is hard to make a case for it at national level.
 2. **Redefine program objectives in light of evolving needs of eligible countries.** A recurring theme throughout the findings of the evaluation is that the CTF was a 12-year program and that adjustments were made throughout the period based on ongoing assessments and monitoring. The changes, however, were limited by the original scope (project document)
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and were, in some cases, slow to be implemented. There is an opportunity, as the WHO and FAO consider a successor program, to ensure that an iterative planning process is established that will allow for timely adjustments to project scope and objectives to accommodate changes in the operating environment, as well as evolving eligible country needs and priorities.

3. **Improve financial reporting.** Year-by-year comparisons should be presented to permit comparisons. The costs of any Program Support Costs (overhead), in addition to Project Management and Administration costs, should be clearly indicated. WHO and FAO should make efforts to accurately collect and report on the level of in-kind contribution that is being expended on the CTF.
4. **Improve the cost analysis of the CTF.** There can be better definitions of costs (e.g., what costs are included in training workshops before a Codex meeting, what allowance is made for in-kind contributions) in order to be able to provide cost analysis of project activities.¹
5. **For effective participation, an approach that assesses both the individual delegate and country conditions needs to be in place.**
For individuals, this may include:
 - First time, newer delegates have to be fully justified in application;
 - First time, newer delegates must complete online training course (tested);
 - First time, newer delegates be twinned with/mentored by with more experienced members, subject matter experts, or third parties; and
 - First time, newer delegates should be assessed by mentor/partner at end of meeting and report submitted to country.
For countries, this may include:
 - Change the application process: multi-year application available, based on engagement strategies demonstrating consistency and outlining proposed role of CTF support and flexible package of assistance;
 - For other countries unable to comply with requirements of multi-year funding, their support can be funded based on current application processes; and
 - Respect your own guidelines. Applications can be too late and not accepted. Applications can be refused for being incomplete or unsatisfactory.
6. **Undertake an analysis in regards to country needs regarding increasing availability of scientific evidence** and develop a clear range of project activities that can be supported by an initiative such as CTF. There is consensus across the project's stakeholders that the provision of scientific data to the Codex process is critically important. There is however, a

¹ As an example, is a one-day training before a Regional Coordinating meeting cost effective, or is there greater value in a 2 or 3 day workshop? Does pooling Daily Subsistence Allowance (DSA) for workshops result in cost savings? The idea of "pooling the Daily Subsistence Allowance" is that the host or administrator of the event receives the participants' DSA instead of the individual. This allows the host/administrator a "pooled" fund from which they can negotiate discounts for block booking hotels, meals and transportation. Some percentage of the DSA can still be received by the individuals for incidentals.

wide range of opinions on possible areas of intervention for CTF to support this objective. This wide range of opinions indicates that further needs assessment and identification should be conducted in order to better target project activities that are appropriate to CTF. The activities should be realistic given that historically the CTF has over 130 eligible countries and has expended \$640,000 over 10 years (from 2004 to 2013) on the overall objective.

7. **Better align staffing to project scope.** The structure and staffing of a CTF Secretariat will need to take into consideration project goals, objectives and activities to ensure the right balance of capacity and technical competency to meet project objectives, without an unsustainable, over-reliance on in-kind contributions of WHO and FAO staff.
 8. **Develop strategies and plans to increase predictability of funding.** In the future, if there are shifts of focus to effective participation, and a shift to more tailor-made capacity building approaches that intend to impact on institutional capacities, long-term activities and strategies need to be utilized which cannot be supported with current funding patterns. There is a need for longer-term, more predictable funding. The project has made some progress in this regard but more diverse sources of long-term funding are needed.
 9. **Continue development of Monitoring and Evaluation frameworks.** The CTF has made commendable progress in developing and utilizing an M+E framework. The framework should continue to evolve and any new results frameworks should also include baselines and targets, with objectives that are SMART (i.e., Specific, Measurable, Achievable, Relevant, and Time-bound).
 10. **Lessons learned and new best practices should be integrated more quickly and with more consistency** into the regular project supported activities of the CTF, within the operational realities of the UN and Codex systems.
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1.0 INTRODUCTION

1.1 Overview

An evaluation of the FAO/WHO Project and Fund for Enhanced Participation in Codex (Codex Trust Fund) was carried out in accordance with the Terms of Reference issued for the evaluation (see **Annex A**), and WHO Evaluation Practice Handbook during the period June 2014 to March 2015. It followed UN current practice for evaluations and therefore is in line with both WHO and FAO requirements for good evaluation practice. This report outlines the approach and methods used to conduct the evaluation and presents findings, conclusions and recommendations.

The Codex Alimentarius Commission (CAC) is a joint intergovernmental body of the Food and Agriculture Organization (FAO) and the World Health Organization (WHO), which encompasses 186 Member States, one member organization and over 200 observer organizations for civil society participation. The vast majority of food products traded internationally are covered by Codex standards, thus contributing to ensuring the safety of the global food supply and helping facilitate international food trade, which, in 2011, was worth about US\$ 1400 billion.

The Codex Trust Fund is guided by an FAO/WHO Consultative Group for the Trust Fund (CGTF), which consists of senior FAO and WHO staff, including regional office representation, and officers to provide advice on legal matters and resource mobilization. Daily management of the Fund is undertaken by the Fund's Secretariat, staffed by one full-time general service staff, and one full-time professional staff. The Codex Trust Fund Secretariat is located in the Department of Food Safety and Zoonoses at the Headquarters of the World Health Organization in Geneva, Switzerland.

The Project Authority for the evaluation was the Codex Trust Fund Administrator. She was supported by an Evaluation Advisory Committee that consisted of members of the Consultative Group for the Trust Fund (CGTF), made up of representatives of both the WHO and FAO, as well as a member of WHO Evaluation and Organizational Learning Office who provided advice and support to the process.

1.2 Program Description

The Codex Trust Fund (CTF) was launched in 2003 by the Directors-General of FAO and WHO to help developing countries and countries with economies in transition to enhance their level of effective participation in the Codex Alimentarius Commission. The CTF aims to achieve this goal primarily by providing resources for eligible countries to participate in Codex meetings and build capacities, primarily through regional workshops, and also enabling them to prepare scientific and technical data related to the Codex standard setting process.

For the period March 2004 to December 2013 inclusive, the CTF supported 2,078 participants from 134 countries to attend Codex meetings and working groups, with the majority of support going to the least developed countries. As at December 2013, the Fund had received over US

\$18.7 million from 15 Codex Member States and the European Commission as a Codex Member Organization, and expended US \$17,708,969.

The CTF expected outcomes and objectives were first defined in the founding CTF Project Document in 2003. They were subsequently revised in 2011-12 when the CTF developed its Monitoring and Evaluation Framework². The revision was undertaken to more clearly show a results chain that could be used for a monitoring and evaluation, and in no way substantially changed the objectives and purpose of the CTF. The results framework for the CTF which formed the basis of the final evaluation is:

Table 1: CTF Results Framework

Developmental Goal	Improved global public health and food security through improved provision of safer and more nutritious food, reduced foodborne disease, and access to international trade in food.
Key Objective	Increase relevance of Codex standards to developing countries.
Outcomes	<ol style="list-style-type: none"> 1. <i>Widened participation in Codex.</i> The number of countries routinely providing delegations to CAC sessions and to its committees/task forces, that address issues of priority health and economic concern for their specific countries, will have increased. 2. <i>Strengthened overall participation in Codex.</i> The number of countries routinely developing and putting forth national considerations in the Codex standard setting process will have increased along with their participation in Codex committees/task forces. 3. <i>Increased availability of scientific evidence in Codex.</i> The number of countries that are actively providing scientific/technical advice in support of the Codex standard-setting process will have increased.
Outputs	<ol style="list-style-type: none"> 1. Participation sponsored 2. Capacity building performed 3. Scientific data produced

CTF Country Groupings

One key principle of the Codex Trust Fund was to provide more support to Least Developed Countries (LDCs³) that were Codex member countries. To this end, three independent lists were used annually to rank eligible countries into three groups to determine the relative levels of support:

² Monitoring and Evaluation Framework for the Codex Trust Fund, Final Draft, 14 May 2012

³ The list of LDCs is reviewed every three years by the United Nations Economic and Social Council, in the light of recommendations by the Committee for Development Policy (CDP). The three criteria used by the CDP are per capita income, human assets and economic vulnerability. Please see <http://unctad.org/en/Pages/ALDC/Least%20Developed%20Countries/UN-recognition-of-LDCs.aspx> for more details.

- UNCTAD Least Developed Countries Report which was used to establish and update the list of Least Developed Countries;
- World Bank World Development Report which was used to establish income levels for country groupings; and
- UNDP Human Development Report which was used to establish human development status for country groupings.

Based on the above lists, each year the CGTF would allocated resources of the Trust Fund according to the following CTF country groupings:

- Group 1a countries – LDCs;
- Group 1b countries – low income + low or medium human development;
- Group 2 countries – lower middle income + medium or high human development
- Group 3a countries – upper middle income + medium human development; and
- Group 3b countries – upper middle income + high human development.

In 2011 and in response to the mid-term evaluation of the CTF, a fourth group was added that included LDC's and Small Island Developing States (SIDS) that had previously graduated. Under the new scheme, these countries could access a further two years of support for participating in Codex meetings. The list of Small Island Developing States established by the United Nations Department of Economic and Social Affairs, Division for Sustainable Development was used for this purpose, along with the UNCTAD list of least developed countries.

Graduation

Another key principle of the CTF was that countries would eventually “graduate” from CTF support. This was designed into the program as a matched funding requirement that would be phased in. It was deemed as a critical principle to address the sustainability of eligible country participation in Codex. Countries would be expected to cover all costs of participation after a set number of years. This would be accomplished by introducing a gradual increase in the financial participation of countries. The following table presents the graduation scheme and matched funding requirements.

Table 2: Matched Funding Requirements⁴

Category	Year							
	1	2	3	4	5	6	7	8
1	0%	0%	0%	0%	0%	50%	50%	100%
2	0%	0%	0%	50%	50%	100%		
3a	0%	50%	50%	50%	100%			
3b	0%	50%	50%	100%				
4	50%	50%	100%					

⁴ The matched funding requirement was set in the founding project document.

1.3 Resources

The CTF has submitted an Annual Report to the CAC since its inception that provides financial information on the program. The following table has been developed from the CTF Annual Reports. From January 2004 to December 2013, the Fund had expended US \$17,708,969 of which 78% went to supporting CTF project objectives, and the remaining to Project Management (20%), and Monitoring and Evaluation (2%), with an additional Program Support Cost on top of those expenses of 13%.

Table 3: CTF Financial Summary of Expenditure by Year (2004-2013)

Year	Project Management and Administration	Objective 1: Increased Participation	Objective 2: Strengthened Participation	Objective 3: Scientific Evidence	Monitoring and Evaluation	Sub-Total	Program Support Costs	Total Expenditure with PSC
2004	88,496	408,227				496,723	64,574	561,297
2005	97,412	1,208,065	216,733			1,522,211	197,887	1,720,098
2006	151,180	664,586				815,765	106,050	921,815
2007	101,319	947,392	102,109			1,150,820	149,607	1,300,427
2008	320,158	863,255	97,809			1,281,221	166,559	1,447,780
2009	330,770	1,153,022	12,861		102,724	1,599,377	207,919	1,807,296
2010	450,448	1,762,311.34	237,283	5104	143,088	2,598,234	337,770	2,936,005
2011	608,145	1,188,331	244,774		34,273	2,075,523	269,818	2,345,341
2012	538,588	965,396	681,904	65547	42,173	2,293,608	298,169	2,591,777
2013	513,612	505,848	239,104	569063	10,544	1,838,171	238,962	2,077,133
Total	3,200,128	9,666,434	1,832,576	639,714	332,802	15,671,654	2,037,315	17,708,969
Percentage	20%	62%	12%	4%	2%	100%	13%	

Table 4: Summary of Income by Donor

Donor	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	Total
Australia		27,906				48,040			105,660			181,606
Canada	34,014	150,344	163,586	175,362		127,812			154,479			805,597
European Community		348,570	366,340	229,746		593,464	618,486	372,222		661,558	658,409	3,848,795
Finland			58,824						71,225	49,752		179,801
France						100,000						100,000
Germany			50,000	66,250	41,004	78,864	70,323	65,445		64,935		436,821
India										15,000	15,000	30,000
Ireland	60,824	39,788					309,655					410,267
Japan				80,000	130,000	130,000	130,000	130,000	120,000	90,000	150,000	960,000
Malaysia						10,000	10,000	10,000	10,000	10,000	10,000	60,000
Netherlands	50,000	50,000	50,000	50,000	73,746		77,720	588,235		1,176,470	588,235	2,704,406
New Zealand		35,770		33,040		67,253			30,000		15,718	181,781
Norway	100,000	100,000	100,000	100,000		100,125						500,125
Sweden		281,960	381,194	416,089	894,210		725,689	720,950	723,484	750,187	746,046	5,639,809
Switzerland	35,971	20,000			219,672						47,200	322,843
United States	168,000	85,000	157,893	60,292		841,220		450,000	482,337	178,750		2,423,492
Total	448,809	1,139,338	1,327,837	1,210,779	1,358,632	2,096,778	1,941,873	2,336,852	1,697,185	2,996,652	2,230,608	18,785,343

2.0 EVALUATION SCOPE, METHODOLOGY AND LIMITATIONS

2.1 Evaluation Objectives and Scope

The purpose of the final project evaluation was to evaluate the functioning and results of the Codex Trust Fund after ten and a half years of its twelve year lifespan. The results of the final project evaluation will be used, along with other sources of information, to inform discussions in FAO/WHO and among Codex Member States on possible future measures that may be necessary to enhance further effective participation in Codex by developing and transition economy countries.

The specific objectives of the evaluation were to:

- d. Evaluate the results of the Codex Trust Fund against the stated objectives and expected outputs in the founding project document.
- e. Identify and analyze the strengths and weaknesses of the Codex Trust Fund from both strategic and operational perspectives.
- f. Identify lessons that could be learned from the operations and results of the Codex Trust Fund for similar projects in the future.

The evaluation Terms of Reference identified the evaluation criteria questions as outlined below. Please see **Annex B** for a complete Evaluation Matrix that was developed and a complete list of sub-questions that were developed for each evaluation criteria.

1. **Relevance and Strategic Fit:** To what extent are the CTF outcomes and objective consist with the requirements and needs of eligible countries?
2. **Progress and Effectiveness:** To what extent has the CTF's outputs, outcomes and objective been achieved? To what extent did the CTF identify and mitigate challenges and barriers to meeting its objectives?
3. **Efficiency:** To what extent have resources been converted to outputs economically?
4. **Sustainability:** To what extent will there be a continuation of benefits from the CTF after major assistance has been completed?
5. **Impact:** What are the positive and negative, primary and secondary long-term effects produced by CTF?
6. **Project Management:** To what extent did the CTF management arrangements facilitate the achievement of outputs, outcomes and objectives?
7. **Lessons Learned:** Identify lessons learned from the operations and results of the CTF for similar projects in the future.
8. **Gender and Human Rights:** To what extent is there gender and human rights equity in regard to CTF program activities?

2.2 Methodology

For this evaluation, data collection consisted of gathering of information from five lines of evidence:

- Document Review;
- Interviews;
- Focus Groups;
- On-line survey of Codex Contact Points; and
- Country case studies.

Information was analysed and findings from each line of evidence were consolidated in a Preliminary Findings matrix, from which overall findings, conclusions and recommendations were drawn. The Preliminary Findings were presented to the CGTF, and after incorporation of their feedback are hereby presented in this report.

Document Review

For the purposes of the document review, over 100 documents were submitted by CTF for review. These documents provided a comprehensive record of the CTF including background information, internal and external reports and assessments, management and governance documents, and financial information.

Interviews

A total of 46 interviews were conducted with Codex Trust Fund managers and program stakeholders. The interviewees were grouped into the following categories for analysis:

Table 5: Categories of Interviewees

Category	Number of Interviews
Codex Contact Points	23
WHO/FAO Regional Food Safety Advisors	6
Members of the Consultative Group for the Trust Fund (CGTF)	5
Codex Chairs/Vice-Chairs	5
Donors to the CTF	5
Others	2
	46

Focus Groups

Two focus groups were held with a total of 12 participants who had been at some time supported by the CTF. One was held during the 19th Session of CCASIA meeting in Tokyo, Japan and the other was held at the 46th Session of CCFH meeting in Lima, Peru.

On-line Survey of Codex Contact Points

The purpose of the survey was to reach Codex Contact Points (CCPs) to assess the relevance of the CTF to their needs and priorities, as well as its effectiveness in addressing those needs. The survey was developed by the Evaluation Team and tested by members of the CGTF. The survey consisted of a rating scale and/or Likert questions with some open questions to collect respondent's comments. There were 80 respondents from the 137 CCPs contacted, or a 58.4% response rate.

Country Case Studies

The evaluation included 14 country case studies. Countries were selected based on agreed upon criteria to be representative of all Codex regions and country groupings. Of the 14 countries originally identified, three had to be substituted due to a lack of, or delayed acknowledgment from the Codex Contact Point. One case study had to be completed remotely, without a country visit, and consisted of only one interview. There were 200 persons consulted during the country case studies. The final list of country case studies included:

Table 6: Country Case Studies

Group Region	1a	1b	2	3a	3b	Sub-total
CCEURO		Georgia	Turkey		Kazakhstan	3
CCNASWP		Papua New Guinea				1
CCLAC			Colombia Guyana		Costa Rica	3
CCAFRICA	Rwanda Uganda Mozambique	Cameroun				4
CCASIA		Vietnam Mongolia				2
CCNEA				Lebanon		1
Sub-total	3	5	3	1	2	14

Table 7: Case Study Participants

Country	Number of Participants
Rwanda	13
Uganda	16
Mozambique	10
Cameroun	18
Vietnam	23
Mongolia	20
Papua New Guinea	12
Georgia	5
Turkey	10
Colombia	16
Guyana	19
Lebanon	1
Kazakhstan	26
Costa Rica	11
TOTAL	200

2.3 Limitations

The following illustrates the limitations in the design and methods for this particular evaluation and mitigation strategies put in place to ensure that the evaluation findings can be used with confidence to guide planning and decision making.

Table 8: Limitations and Mitigation Strategies

Limitations	Impact	Mitigation Strategies
Low interview response rate: a representative range of 120 CTF program stakeholders were contacted by an introductory email by the CTF Secretariat, followed by an email from the Evaluation Team to schedule a telephone interview. Despite at least 3 attempts at follow-up, many interviewees did not reply. As such, 46 interviews were completed.	Low. There was still a fair sample of interviewees across all interviewee groups. The one category of interviewees, CCP, was reached by other lines of evidence.	The one interviewee category that had the lowest response rate to the interview was CCPs. They, however, were also reached by the on-line survey (80), and by the country case studies (14).
Logistical challenges with country case studies. Three countries that had originally been selected for case studies either did not respond to requests for hosting, or were unable to host the evaluation team. Substitutes had to be found for these cases.	Medium. The need to replace countries, and tight timelines, meant that there was at time little time for preparation of teams, and in one case the work had to be completed remotely.	The CTF Secretariat and evaluation team had originally identified alternatives to the original 14 countries selected. These alternatives were approached quickly and are thanked for their cooperation and responsiveness.
Out-of-date contact information: It is the responsibility of each eligible country to maintain the correct contact information for the CCP on the Codex database. Many names and phone numbers of CCPs were no longer current.	Low. The CTF Secretariat actively sought current contact details for CCPs when problems arose.	The CTF Secretariat was able to track down new contact information in most cases.
Missing or inaccurate data in participation databases. Some of the information contained in the databases for more recent years (e.g., 2013 and 2014) had not yet gone through quality control, and errors were identified.	Low. The Evaluation Team was able to clean the data to a great extent.	The Evaluation Team cleaned the data.

3.0 FINDINGS BY EVALUATION ISSUE AND QUESTION

The findings sections outline the evaluation findings for each of the defined evaluation criteria and questions. For each evaluation question, a rating is provided based on a judgment of the evaluation findings. The rating statements and their significance are outlined below in Table 11. A summary of ratings for the evaluation issues and questions is presented in **Annex C**.

Table 9: Definitions of Standard Rating Statements

Statement	Definition
Demonstrated	The intended outcomes or goals have been achieved or met
Partially Demonstrated	Considerable progress has been made to meet the intended outcomes or goals
Opportunity for Improvement	Some progress has been made to meet the intended outcomes or goals. Management attention is needed to fully achieve outcome.
Not demonstrated	Limited or no progress has been made to meet the intended outcomes or goals as stated.
Not applicable	A rating is not applicable

Criteria 1: Relevance and Strategic Fit

The questions to be addressed in regards to the relevance and strategic fit of the Codex Trust Fund were taken in the context of WHO and FAO, the needs and priorities of eligible countries, and the broader operating environment of Codex itself.

Evaluation Question	Lines of Evidence	Overall Rating
Question 1.1: To what extent are the CTF outcomes and objective consist with the requirements and needs of eligible countries?	<ul style="list-style-type: none"> • Interviews • Document review • Focus groups • Online survey • Country case studies 	Demonstrated

Summary Finding:

There is an ongoing need for support to eligible countries with respect to effective participation in Codex.

Countries are aware and convinced of the importance and relevance of Codex, especially as it relates to trade. This has not, however, always translated into Codex being a national priority that received national funding, especially within the Least Developed Country grouping of countries (Group 1a and 1b).

The needs of countries have evolved and can no longer be generalized, and could be addressed in a more flexible and specific approach with the objective of supporting effective participation and engagement. To effectively engage requires a multi-year strategy and commitment that is at odds with annual applications and funding.

Widening Participation: participation (attendance at meetings) is still relevant although less emphasis is required on physical attendance and more can be done to enhance effective participation (e.g., preparation, participation and follow-up).

Strengthening participation: is still relevant, but countries have specific needs that could be more aligned with long-term strategies and commitments.

Enhancing scientific/technical participation in Codex: has to some extent, and perhaps erroneously, been taken to mean the generation of scientific data. This is a critical ingredient for effective participation, but generation of data and infrastructure requirements may be beyond the scope of CTF given historical levels of expenditure on this objective, and the fact there were over 130 eligible countries. Scientific/technical participation however can be supported in such ways as capacity building of scientific expertise (protocols, risk analysis/assessment, mentoring and networking and advocacy etc.), or special projects to address multi-country needs.

Sub-Question 1.1.1: Have there been changes in the external environment in which CTF operates? If so, to what extent has the original project objective remained valid?

There is increased knowledge and awareness of the importance and relevance of Codex and how it operates on the part of eligible country delegates (and to some extent stakeholders). There is also an improved understanding of Codex standards, guidelines and practices, such as risk assessment, amongst eligible country delegates. This has not, however, always translated into political support, especially amongst LDC countries.

The main motivator for applying Codex is an economic one as it relates to the need to facilitate trade in food stuffs. The role and importance of Codex standards in the trade in food and regional harmonisation has become increasingly apparent to eligible countries, especially in regard to implementation of the WTO SPS Agreement. Countries also recognize the importance

of Codex as it relates to sub-regional harmonization (e.g., Central American Customs Union, East African Community or ASEAN countries).

The original objectives remain relevant but country needs and project approaches were generalized. That was both appropriate at the time, and a conscious decision of the Fund. The CTF did categorize countries according to economic and human development factors and developed different categories of countries. The differentiation was however a question of the amount of support to be provided, and not necessarily a differentiation of the objectives themselves. That is to say, all countries were assumed to have the same needs in terms of need to participate, strengthen participation and technical/scientific input. Almost 12 years later, it is apparent that countries and regions have different needs, not just in terms of level of support, but also in what activities they need supported. Some countries/regions may have a greater need for support for participation, whilst others require more focus on training or technical assistance, or scientific and technical inputs.

Vietnam Case Study finding: The biggest changes in the environment have been related to integration into regional and international markets and the need to harmonize standards. There are changes in food trade volume and composition which means there are new requirements. At the same time there is growing awareness of Codex across all stakeholders.

In general, the external environment in which CTF operates still requires the CTF to be focused on effective participation, and that, in turn, necessitates a more tailor-made technical assistance approach and support given to the specific scientific and technical requirements of countries.

Sub-Question 1.1.2: To what extent has CTF complemented other FAO and WHO activities aimed at enhancing effective participation in Codex?

There is a shared mandate between FAO, WHO and CTF when it comes to Codex and food safety that inherently implies activities will be complementary. The level of activity of the three programs varies greatly from country to country.

The exposure to Codex by eligible countries, knowledge sharing and networking, may result in identification of capacity building needs that can be addressed by others. There are a number of initiatives, outside of FAO and WHO, which can be accessed by countries to address their food safety needs, and to some degree, their needs in regard to Codex⁵. Given the number of eligible countries, and the constantly changing nature and number of similar and complementary initiatives, coordination remains a challenge.

⁵ In addition to a range of bilateral initiatives at the country level, there were also initiatives by regional organizations such as the Inter-American Institute for Agriculture (IICA), African Union - Bureau for Animal Resources (AU-IBAR), Asia-Pacific Economic Cooperation (APEC), and other international bodies such as the Standards and Trade Development Facility (STDF). STDF focuses on implementation of international standards in countries, including Codex standards, and does not address effective participation in Codex.

Criteria 2: Efficiency

Questions on efficiency refer to "operational efficiency". Operational efficiency focuses on the relationship between resources (inputs) and activities, and their corresponding outputs.

Evaluation Question	Lines of Evidence	Overall Rating
Question 2.1: To what extent have resources been converted to outputs economically?	<ul style="list-style-type: none"> • Interviews • Document review • Focus groups • Online survey • Country case studies 	Partially demonstrated

Summary Finding:

A basic tenet of performance management is to integrate financial and non-financial performance information for analysis at the activity/output level. This also allows a costing of results (i.e., allocative efficiency). This has not occurred and there has been no tracking of activity/outputs for analysis and decision-making purposes to find efficiencies. This makes it difficult to assess the extent that resources have been converted to outputs economically.

There have been cost saving measures implemented (e.g., avoiding business class travel) whenever they have been identified and practical solutions are available. Financial reporting has been very high-level, which makes it difficult to conduct detailed cost analysis.

There has been a significant amount of in-kind contribution from WHO and FAO staff, which has not been captured. This is true for members of the CGTF, but also FAO and WHO Food Safety Advisors, and to some degree staff at the national level.

Sub-question 2.1.1: Have the CTF activities been cost-efficient?

CTF operates within the administrative and financial systems, policies and procedures of WHO. The CTF does not cost account⁶ for activities, which makes assessment of efficiencies difficult. For example, there was no analysis of costs of CTF supported workshops. It is therefore hard to assess if there is value for money in CTF supported activities, or how to maximize value for money.

⁶ Cost accounting is defined as a method of accounting in which all costs incurred in carrying out an activity or accomplishing a purpose are collected, classified, and recorded. This data is then summarized and analyzed to arrive at a selling price, or to determine where savings are possible. (businessdictionary.com)

Please refer to **Table 3**. Program management and administration accounts for approximately 20% of total costs and WHO Program Support Costs (PSC) account for approximately 13%, for a total of approximately 33% of overall program costs. Resources expended for Objective 1: Widening Participation were 55% of total, for Objective 2: Strengthening Participation were 10% and for Objective 3: Enhanced scientific/technical input were 4%.

If only the funds expended on Objective 1, 2 and 3 are counted (US \$12,138,724 between 2004 and 2013), then 80% were spent on Objective 1, 15% on Objective 2 and 5% on Objective 3.

Interviews revealed that there is a significant amount of in-kind contribution being provided by FAO and WHO technical staff and Regional Food Safety Advisors (FSAs). Beyond the time of WHO and FAO staff devoted to the governance of the CTF, there is the time of technical staff and FSAs towards organizing and delivering capacity building events, and their input and time on the Mycotoxins in Sorghum Project⁷. The in-kind contribution of WHO and FAO staff is not tracked.

Sub-question 2.1.2: Has the project been implemented in the most efficient way compared to alternatives?

Some alternatives have been explored and some implemented (e.g., no business class travel, etc.). Other opportunities for cost savings (e.g., pooled Daily Subsistence Allowance for workshops by the host organizing hotel, food, transportation, etc.), however, it was consistently noted by interviewees that such alternatives may be unpopular with some delegates. Further analysis and discussion is required on potential alternatives in order to quantify potential savings.

There were other ideas identified either by interviewees or through the on-line survey in regard to alternative cost-saving measures, but the applicability of these options to all countries was not assessed. Some of the more frequently cited alternatives included on-line training, video-conferencing, and more regional meetings to save on travel costs.

Criteria 3: Effectiveness

Evaluation Question	Lines of Evidence	Overall Rating
Question 3.1: To what extent has the CTF's outputs, outcomes and objective been achieved?	<ul style="list-style-type: none"> Interviews Document review Focus groups Online survey Country case studies 	Partially demonstrated

⁷ The Mycotoxins in Sorghum Project was CTF's response to addressing Objective 3. Made possible by dedicated funding from the European Commission, it is being implemented in four countries (i.e., Ethiopia, Sudan, Mali, and Burkina Faso), it is conducting a survey on mycotoxins in sorghum with the objective of improving the availability of data on mycotoxins in sorghum to ascertain the need and possibility of developing a Codex standard on mycotoxins in sorghum.

Table 10: Summary of Assessment

Outcome Level	Outcome	Assessment
Developmental Goal	Improved global public health and food security through improved provision of safer and more nutritious food, reduced foodborne disease, and access to international trade in food.	Inconclusive.
Key Objective	Increase relevance of Codex standards to developing countries.	Partially demonstrated. Eligible countries have become more engaged in development of Codex standards
Outcomes	1. <i>Widened participation in Codex.</i> The number of countries routinely providing delegations to CAC sessions and to its committees/task forces, that address issues of priority health and economic concern for their specific countries, will have increased.	Demonstrated. There are more countries self-funding their participation in Codex now than before the start of CTF.
	2. <i>Strengthened overall participation in Codex.</i> The number of countries routinely developing and putting forth national considerations in the Codex standard setting process will have increased along with their participation in Codex committees/task forces.	Partially demonstrated. There has been effective participation by many countries, but challenges remain for many countries to participate effectively.
	3. <i>Increased availability of scientific evidence in Codex.</i> The number of countries that are actively providing scientific/technical advice in support of the Codex standard-setting process will have increased.	Opportunity for improvement.
Outputs	1. <i>Participation sponsored</i>	Demonstrated.
	2. <i>Capacity building performed</i>	Demonstrated. 33 capacity building events delivered
	3. <i>Scientific data produced</i>	Opportunity for improvement. One targeted project delivered, regional workshops on risk.

Summary Finding:

The CTF outcomes were not quantified, nor was baseline provided, which makes assessment of achievement of results difficult. The high-reaching developmental goal of the CTF does not allow for a viable assessment of performance (and is discussed under Impact).

It was a conscious decision by the CTF to focus on widening participation in the first few years. This was also the desire of most funders of the program and many of the eligible countries. It was often noted by these two key groups and others, that FAO and WHO had parallel projects and assistance to build countries capacity in Codex, and noted the complementary nature of the CTF. However, even before the Mid-Term Review in 2010 there was a recognized need to undertake activities in support of Outcome 2 and 3. Given the relatively later start of activities related to Outcome 2 and 3, and the level of resources expended, the level of achievement is not as significant as under Outcome 1: Widened Participation.

Widened Participation:

Demonstrated. Yes, there has been a widening of participation. There are more countries self-funding their participation in Codex now than there were before CTF. There are however, a number of countries (approximately 30-35% of eligible countries) that will continue to have difficulties in participating in Codex without external support.

Strengthened Participation:

Partially demonstrated. There is a wide range of results in regards to strengthened participation, and perspectives may depend on the country's starting point in terms of institutional framework and capacity. Nonetheless, the CTF has supported 893 participations at 33 CTF capacity building events between 2004 and 2013.

CTF is one contributing factor of many that can strengthen participation in Codex, which is ultimately a national responsibility. Of some concern is that in last three years (2011-13), 60% of CTF-supported delegates are first-time participants. This is a major barrier to effective participation.

Enhanced scientific input:

The Mycotoxins in Sorghum Project is ongoing, and as of the March 2015 had completed its data collection activities and much of the analysis. Final reports were being prepared. The final input into Codex processes is still to be determined. It should also be noted, that some of the regional workshops were focused on risk analysis, which using a broad definition could be taken to contribute to enhancing scientific and technical knowledge.

Key Objective: Partially demonstrated. It is clear that some developing and transition economy countries have become more engaged in Codex standard development. In addition, over the last 11 years, countries (and sub-regions) have continued to harmonize their standards and regulations with Codex standards.

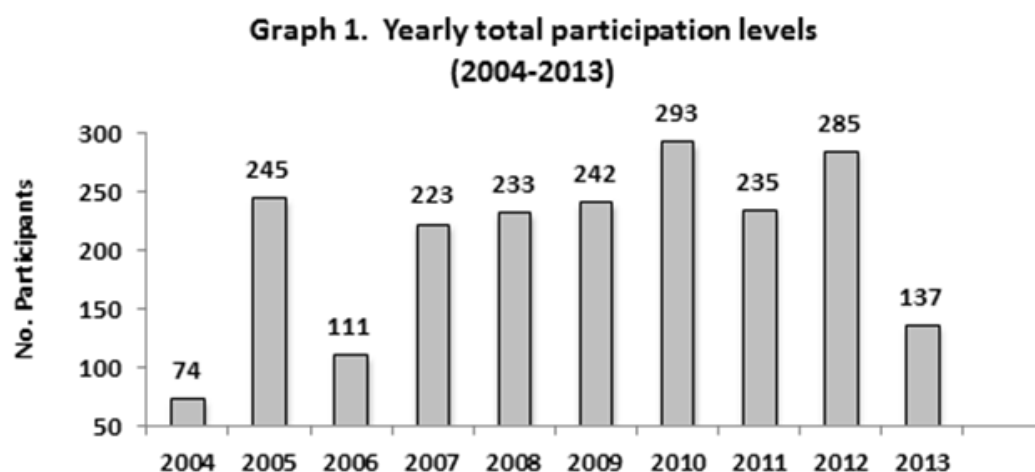
Developmental Goal: The impact of the program on the stated Developmental Goal is difficult

to both assess and attribute to the CTF. There are simply too many factors contributing to this goal, which in essence involves the implementation and enforcement of standards, both of which are not within the scope of Codex nor the CTF.

Sub-question 3.1.1: (Output 1) Participants sponsored.

Demonstrated. The CTF has supported 2,078 participations from 2004 to December 2013, or 14% out of a total of 14,800 CTF eligible country participations. The CTF has expended \$9,666,434 on this output during this same period, or on average \$4,654 per participation. The expenditure reflected 55% of total expenditure, or 80% of activity expenditure. In general, (95-97%) participants are satisfied to very satisfied with their participation.

Figure 1: Yearly Total Participation Levels



Source: CTF Monitoring Report 2013

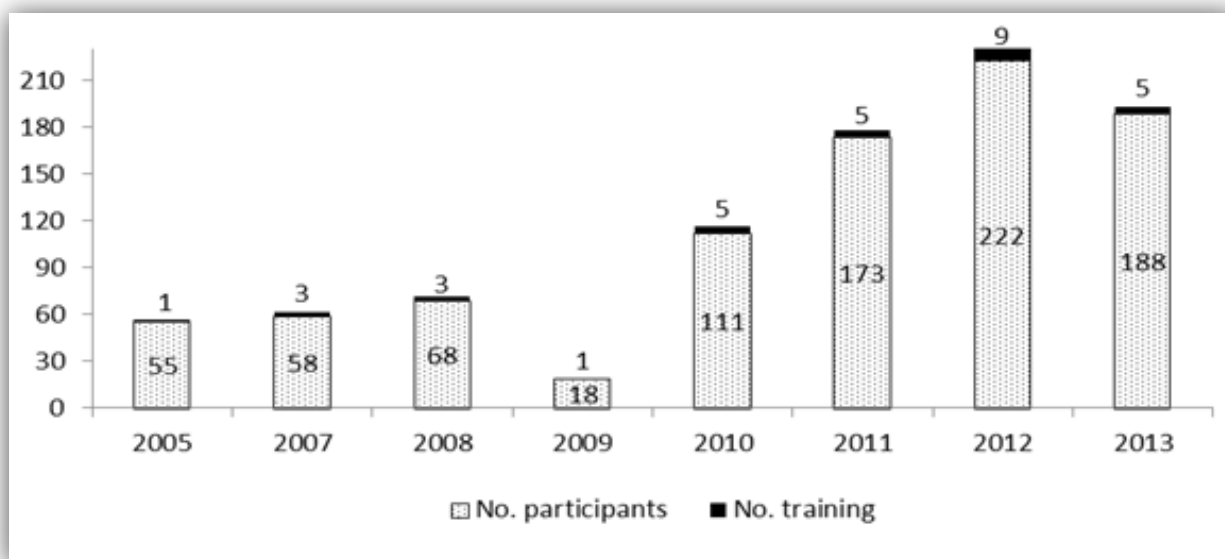
Sub-question 3.1.2: (Output 2) Capacity building events performed.

Demonstrated. The CTF has supported 893 participations at 33 CTF capacity building events between 2004 and 2013 at a total expense of \$1,832,576 (or 10% of total expense, or 15% of activity expenditure), or approximately \$2,052 per participation. The events ranged in size and duration from 1 day (11 events), 2 days (4 events) or 3 days or more (20 events) for a total of 2,914 person days of training at a cost of approximately \$53 per person day of training. Please see **Annex D** for a list of CTF supported capacity building events.

In general, there is a high level of satisfaction with the training. According to the on-line survey, a majority (60.3%) reported being completely satisfied or very satisfied with the support their country received from CTF for Codex capacity building, while 22.4% were mostly satisfied, 13.8% were a little satisfied and 3.4% not satisfied.

The following graph from the CTF Monitoring Report 2013 also displays the number of events and participations.

Figure 2: Participants Supported to Training Courses (2005-2013)



Source: CTF Monitoring Report 2013

Sub-question 3.1.3: (Output 3) Scientific evidence produced.

Opportunity for improvement. There was very little done by CTF in terms of supporting scientific/technical input from developing and transition economy countries until the Mycotoxins in Sorghum project started in 2012. This was in part by design and the desire for the CTF to focus on Outcome 1: Widening participation during the early years of the program, and limited resources. Up until 2012, there had been some regional workshops that addressed the topic of risk management and risk analysis. Between 2003 and 2013 there were 10 such workshops.

The limited amount of activity in this area was also in part due to the challenge of designing appropriate interventions in a very complex area. At different times during the history of the CTF, the activities in this area have been referred to as enhancing scientific/technical participation in Codex (founding project document⁸), to scientific data produced and increased availability of science⁹, and latter references to generation of scientific evidence (an indicator for scientific data produced¹⁰).

Each of these terms can have slightly different connotations, and can have many interpretations. And that in itself has been part of the challenge in designing appropriate levels of activities. For many countries, this can be interpreted as helping to build laboratory infrastructure. For others there is a question of data generation (e.g., surveys and analysis)

⁸ FAO/WHO Cooperative Programme, Project Document June 17, 2003, FAO/WHO Project and Fund for Enhanced Participation in Codex

⁹ Monitoring and Evaluation Framework for the Codex Trust Fund, Final Draft, May 14, 2012

¹⁰ Ibid.

versus data collection (i.e., using already existing, available data and analysis). For other countries, Output 3 can be viewed as simply training on laboratory diagnostic methods, or risk analysis.

Given that expenditure for all project activities, for all three outcomes, was just under \$10 million over 10 years (not counting Project Management, PSC and M+E costs), the question is, what can the CTF realistically hope to achieve with activities in over 130 eligible countries? Even if 20% of funding was to be allocated to scientific/technical input, at current funding and expenditure levels that would amount to approximately

\$200,000 a year worth of activities for all eligible countries. It would likely be very difficult to initiate a plethora of projects similar to the Mycotoxins in Sorghum project, without increases in resources and staffing to manage this highly technical work.

Mycotoxins in Sorghum Project.

The project was funded by the European Commission with the overall objective of improving the availability of data on mycotoxins in sorghum with a view to the possibility of developing a Codex standard to protect human health and enhance trade. It involved conducting a survey of mycotoxins in sorghum in four countries (Ethiopia, Sudan, Mali, Burkina Faso), and collecting information on sorghum production systems and practices in each of the countries. The data is to be considered by Codex Committee for Contaminants in Food (CCCF). As of the writing of this evaluation report, the final reports from the four countries are being finalized before submission to CCCF.

There is no doubt that the Mycotoxins in Sorghum Project was a worthy endeavour. Sorghum is an important staple in Africa and Asia, and the fifth most important cereal crop in the world, contributing significantly to household food security in many of the world's poorest, food-insecure regions. The risk to human health of mycotoxins in sorghum is therefore a very real area of concern. The project has gone a long way to address that issue. The question does remain however, on whether such a project has an appropriate place under the mandate of the CTF? And how does CTF align that one project with the scientific/technical needs of the other eligible members?

Sub-question 3.1.4: (Outcome 1) To what extent has participation in Codex been widened?

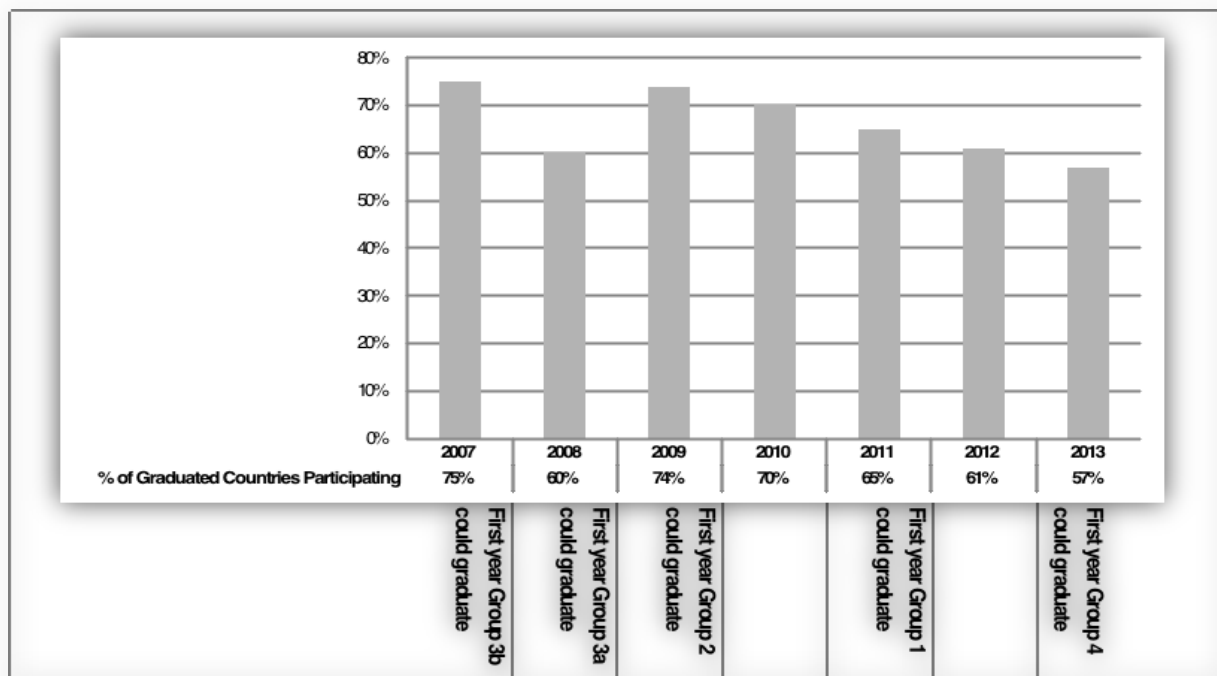
Demonstrated. Before the start of CTF in 2004, an average of 86 developing and transition economy countries (out of 151 countries eligible for CTF support in 2014) were participating in Codex¹¹. As of 2013 there were 107 developing and transition economy countries participating using non-CTF resources (a 24% increase)¹². There appears however, to be approximately 30-35% of eligible countries that will have difficulty sustaining any participation in Codex without external support as of 2014. Other countries could also use external support to either participate in more meetings or participate with more complete delegations in existing meetings.

¹¹ Data on developing country participation prior to the start of CTF was available only for 2000 and 2002.

¹² CTF Participant Databases 1 and 2.

In the two years that data is available (2000 and 2002) prior to the start of CTF, a maximum of 86 developing and transition economy countries were participating in Codex with a high of 1,135 participations. In 2013, 128 (48% increase) countries were participating in Codex and 1,647 participations (45% increase). Of the 128 developing and transition economy countries participating in 2013, 21 were participating only with CTF support, therefore 107 countries were providing at least some of their own resources to participate, a 24% increase. Some of those would be due to match funding requirements.

Figure 3: Percentage of Graduated Countries Participating



Source: Developed from Monitoring Report 2013

As **Figure 3** demonstrates, for the period 2007-2013, an average of 66% of graduate countries continued to participate in at least one Codex meeting every year in the years following graduation from the Codex Trust Fund. The continued participation of countries is uneven between and within regions and country groupings. Countries with smaller economies were at greatest risk of not continuing without CTF-supported participation. The declining percentage from 2007 to 2013 is indicative of countries with the least capacity to fund their own participation (Group 1 countries), which started to graduate starting in 2011.

Please see **Annex E** for a graphical presentation of the case study countries' participation in Codex.

Sub-question 3.1.5: (Outcome 2) To what extent has participation in Codex been strengthened?

Partially demonstrated. There is a wide range of results in regard to strengthened participation, and perspectives may depend on the country's starting point. Over 70% of survey

respondents believe their country's institutional capacity to participate has improved. There has been an increase of over 100% in the number of written comments submitted by developing and transition economy countries since 2003, and the number of countries submitting these comments has also more than doubled to 37 in 2013. There are still areas for improvement but there has been significant progress made.

It is noted that the percentage of first time delegates, at this stage of the program, is high (approximately 60% of CTF supported delegates over the last three years). It was clear that considerations were made, through the CTF application review process, that country delegate nominations were the result of a national consultation to select the best possible delegate. However, being a first time delegate can have an impact on effective participation, and would have ramifications for any training or capacity building programs to be designed in the future.

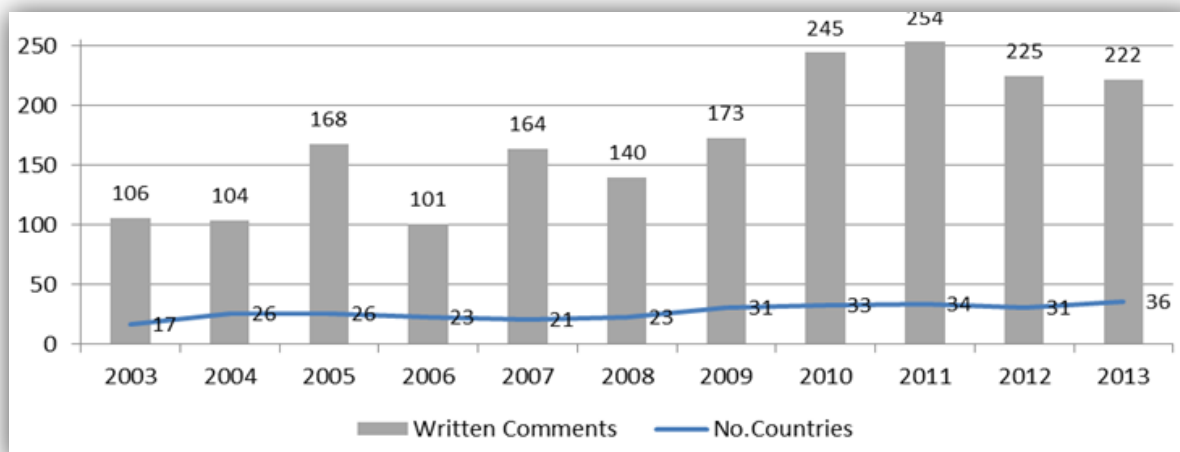
Interview: Over the years the efforts, presentations, participation and experience improved institutional capacity. For instance, delegates (after some time) began to express their opinions and have a national position on issues. Participation allowed for important knowledge progress which is necessary. There is a continued need for financial and human resource expertise.

The high percentage of first time CTF supported delegates, when combined with the fact that on average only 35% of CTF supported delegates attend meetings with a written national position, means the likelihood of effective participation is lowered. The impact of first time participation may be minimized if they are part of a larger delegation, but that is currently not tracked in the Participation Report that is filed by each CTF supported delegate.

From the Monitoring Report 2013, written comments submitted by developing countries and countries with economies in transition to four Codex committees (CCFH, CCFL, CCPR, CCFICS) were tabulated for the period 2003 (prior to the start of the Codex Trust Fund) to 2013. The total number of written comments submitted for the Codex meetings in question by CTF eligible countries has remained at over 200 total in recent years which is visibly higher than at the beginning of the CTF. Two new countries submitted written comments for the first time in 2013 which means that 2013 is now the year with the highest number of countries submitting written comments.¹³

Figure 4: Written Comments by CTF Beneficiary Countries (2003-2013)

¹³ Countries can contribute to Codex in many ways beyond submitting written comments to the Committees, but many of these ways are not quantifiable or practical to track on a consistent and ongoing basis. The information above therefore should be only taken as partially representative of the extent of participation of CTF beneficiary countries. Others may participate in other ways including at Physical or Electronic Working Groups. The bottom line is that there has been an increase and it is assumed there has been an increase in other forms of participation as well.



Source: CTF Monitoring Report 2013

It is difficult to measure the impact of training that is supported by CTF. There have been follow-up surveys attempted, but the response rate has been low. Preliminary estimates are that over 60% of participants do conduct follow-up activities directly related to a training event, which is promising.

Survey: A majority of respondents (73.3%) ranked the improvement of their country's institutional capacity to participate in Codex meetings as: a significant improvement or a good improvement, 18.3% reported some improvement while only 9% ranked this as having very little or no improvement.

The CTF did do assessment of training needs and utilized its network of FAO and WHO national and regional offices and other factors when deciding on what regional training activities to undertake. The CTF and Codex currently however do not systematically assess the institutional framework of

CTF eligible countries. It is difficult to do so, and requires undertaking baselines institutional assessments of countries on a regular basis. There are examples of this approach, for example with the OIE's Performance of Veterinary Services (PVS) Tool¹⁴, but it requires a level of resourcing that is currently not available to CTF. In the past, with CTF's emphasis on widening participation in Codex, such an expenditure on institutional assessments was not required nor appropriate. That may need to be re-examined in the future.

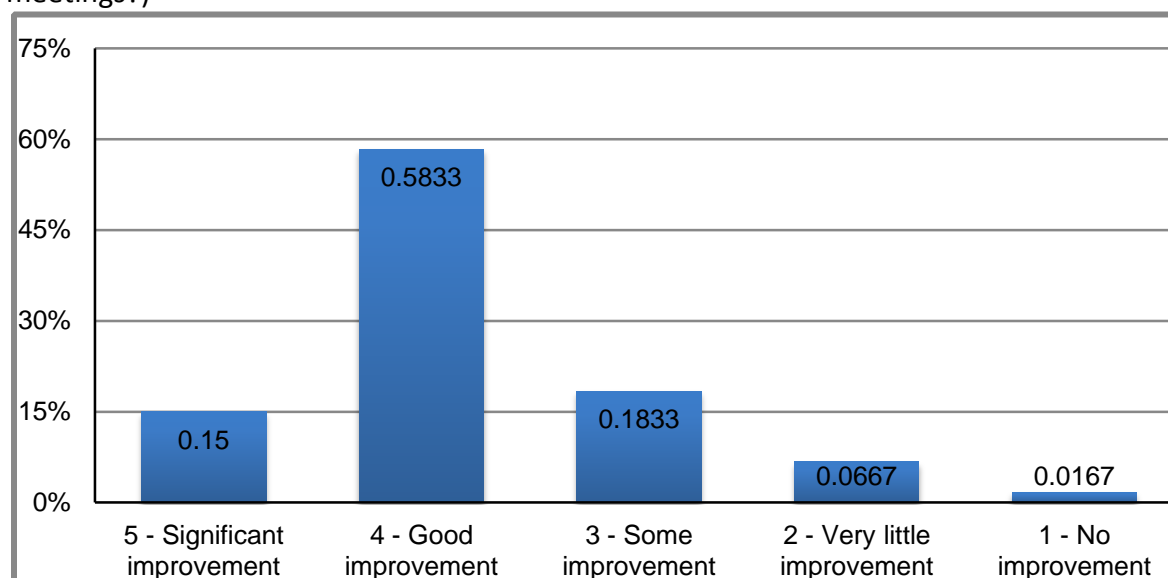
Nonetheless, in regard to strengthened institutional capacity of CTF eligible countries, there is anecdotal evidence to conclude that CTF support has resulted in improved national Codex infrastructures. That is certainly the perspective of the majority of Codex Contact Points. This impact is influenced largely by the national context and varies widely between country groups and regions, but there has been uneven progress. The evidence suggests that the CTF has

¹⁴ The OIE *PVS Tool* is designed to assist national Veterinary Services to establish their current level of performance, to identify gaps and weaknesses in their ability to comply with OIE international standards, to form a shared vision with stakeholders (including the private sector) and to establish priorities and carry out strategic initiatives. For more information on the OIE's PVS tool see: <http://www.oie.int/support-to-oie-members/pvs-evaluations/oie-pvs-tool/>

contributed to strengthening institutional capacity by exposing delegates to Codex meetings, as well as providing training on how Codex works. This has resulted directly in increased delegate knowledge on the procedures and functioning of Codex meetings and international standard setting, the Codex structure and on how to structure their own National Codex Committees (NCC). Returning delegates are exposed to current food safety information that can, in turn, be distributed to other national stakeholders in support of national Codex processes led by their NCC.

Figure 5: Survey Question

(Has either participation in meetings or in Codex capacity building improved the institutional capacity of your country to effectively prepare for, participate in, and follow-up on Codex meetings?)



Focus group findings: Codex standards are relevant to developing and transition economy countries because they facilitate trade and can be used as basis for regional harmonization, and are "free".

Participation, with or without CTF support, does make standards more relevant for countries by safeguarding minimums (private standards can be too stringent), and by developing new standards.

CTF does not have a direct influence on developing and transition economy countries co-hosting Codex Committee meetings, and the Codex Secretariat itself has promoted the co-hosting of meetings for some time now. But it may not be a coincidence that according to the Codex website¹⁵, between 1987 and 2003 (16 years), only 8 Codex Committee meetings were co-hosted by a developing country. However, between 2004 and 2014 (11 years), 25 Codex Committee meeting have

been co-hosted by a developing country. This cannot be directly attributed to CTF, but it is possible that strengthened national structures and awareness raising have permitted the marked increase in co-hosting. It is certainly something that can be encouraged as it does increase the profile of Codex in the country and with political decision-makers.

Sub-question 3.1.6: (Outcome 3) to what extent has the availability of scientific evidence from developing countries been increased?

Opportunity for Improvement. It has been established that in the first half of the CTF, from 2004 to 2009, most of the focus was intentionally centred on the outcome of widening participation. At the same time, as already discussed under **Sub-question 3.1.3** related to Output 3, there has been an evolving understanding of what that are the appropriate activities to undertake in regards to this outcome.

Interviews: Some (30.4%) reported that CTF has had no impact on the production of scientific evidence or could not identify any examples, however a few (17.4%) interviewees did point towards the sorghum project as an example. A few noted that CTF has raised awareness on risk analysis/assessment.

The availability of funding facilitated the development and delivery of the Mycotoxins in Sorghum Project, which is still ongoing. As of March 2015, this project had completed its data collection activities and much of the analysis. Final reports were being prepared for CCCF. The final input into Codex processes will be decided by CCCF after consideration of the reports.

¹⁵ Please see: <http://www.codexalimentarius.org/index.php?id=44441#239349>

Sub-question (Key Objective): To what extent is there increased relevance of Codex standards to developing countries.

Outcome Level	Outcome	Assessment
Key Objective	Increase relevance of Codex standards to developing countries.	Partially demonstrated. Eligible countries have become more engaged in development of Codex standards

Partially demonstrated. It is clear that some developing and transition economy countries have become more engaged in Codex standard development. It is assumed that a country engages in standard development when it is directly relevant for that country to do so. In addition, over the last 11 years, countries have continued to harmonize their standards and regulations with Codex standards. This is also occurring at the sub-regional level, for example within East African Community (EAC), the ASEAN community or the Central American Customs Union. Again, it is assumed countries would adopt Codex standards only when it is relevant for them to do so.

The assessment of to what extent countries have harmonized with Codex standards is not available for all countries, but the following information was provided by country case studies. For example, interviews in these countries concluded:

- Vietnam: There is ongoing harmonization of national standards with international and regional standards including Codex. As of 2014, 32% of the 287 national food standards are harmonized with Codex, and 90% of the 50 food technical regulations.
- Colombia: There are 168 technical regulations related to food, and those are harmonized with Codex where appropriate
- Mongolia: There is a clear link between CTF knowledge and participation and the development of the new Food Law and Food Safety Law. CTF participation has helped in the adoption of 180 Codex standards.
- Mozambique: Guidelines and legislation are harmonised to Codex, aligned infant formula cereals to Codex , and the Fisheries National Control Plan for Contaminants and Residues are elaborated from Codex Standards

There were also examples of the case study countries participating directly in standard development. As examples:

- Colombia has been active in standard development in regards to uchuva (passion fruit), pitahoga, palm oil, and panela.

Country Case Study finding: Costa Rica has tracked its written submissions between 2006-2009, and notes that there have been a total of 109 positions that have been submitted. The percentage of responses to documents distributed by Codex has increased from 10% in 2004 to 72% in 2009

- Vietnam, with Cambodia, led the development of the standard for fish sauce. They are now working together to develop the Code of Practice.
- Other standards that have seen particular interest from developing countries include sweet cassava, bitter cassava, coriander, and rambutans to name a few.

Sub-question 3.1.7: Is there improved provision of safer and more nutritious food in CTF eligible countries? Is there improved international trade in food for CTF eligible countries?

Outcome Level	Outcome	Assessment
Developmental Goal	Improved global public health and food security through improved provision of safer and more nutritious food, reduced foodborne disease, and access to international trade in food.	Inconclusive.

Interviews: Over the years the efforts, presentations, participation and experience improved institutional capacity. For instance, delegates (after a while) began to express their opinions and have a national position on issues. Participation allowed for important knowledge progress which is necessary. There is a continued need for financial and human resource expertise.

Information collected to respond to this question is very similar to what has been presented under **Sub-question 3.1.5**. There is evidence to support the fact that national Codex infrastructures have developed and been strengthened over the last 11 years.

The evaluation however was not, in any meaningful way, able to assess the changes of countries food safety systems, impact on foodborne disease, provision of safer more

nutritious food, or international trade in the last decade. It was therefore also not possible to assess the role, if any, of CTF in those changes. That is not to say it is not occurring. From the case studies, it is clear that in fact it is occurring in many countries. However, it is not possible to quantify or qualify within the scope of this evaluation.

While difficult to quantify, there have been changes ongoing in countries food safety systems in the last 11 years, and in many cases, the country's involvement in Codex has in some way contributed to new food safety policies, legislation and regulations that reference Codex. There are however, many influences on national food safety systems beyond Codex and CTF.

Interviews: One third of interviewees identified a change in their country's food policy, legislation, or regulations and a few reported that their bill was waiting to be passed. A few also linked their country's participation in Codex to the new laws/regulations.

To simplify, Codex Alimentarius develops standards. Countries participate in that process, but also have to adopt, implement and enforce standards. That is an area (i.e., adoption, implement, and enforce) that is essentially beyond the scope of both Codex and the CTF. Impact of the CTF at this level is therefore neither appropriate to the scope of the program, nor a practical result statement to attempt to measure.

Survey: Of the 57 respondents, almost 88% stated that yes there has been a change in domestically applicable food policy, legislation and/or regulations using Codex standards.

Evaluation Question	Lines of Evidence	Overall Rating
Question 3.2 To what extent did the CTF identify and mitigate challenges and barriers to meeting objectives?	<ul style="list-style-type: none"> • Interviews • Document review • Focus groups • Country case studies 	Demonstrated

Summary Finding:

Many factors which the evaluation identified are critical, but related to Codex processes (e.g., language and translation of documents) over which CTF has no control. The barriers where CTF may have control and influence are:

- Logistical arrangements and communication;
- High-level political awareness and commitment of Codex; and
- Application processes and approvals.

Sub-question 3.2.1: What were chief internal and external factors influencing the achievement of CTF outputs, outcomes and objectives?

There are a wide range of factors that can influence effective participation in Codex, but few are related strictly to CTF, except for ensuring effective communications and logistical arrangements. Other major factors that CTF may or may not have some influence are long-term political commitment to Codex (e.g., political awareness, funding, staffing, etc.); establishing pre-requisites conditions for effective participation (e.g., competency of delegates, consistency of delegates, institutional memory, scientific capacity, etc.); and national food safety structures and legislation which is often fragmented and a challenge for coordination.

Sub-question 3.2.2: What barriers to effective participation in Codex can be identified? Has CTF addressed those barriers within its mandate?

Document review: Most cited barriers to participation from Participant Reports:

- lack of prior experience attending Codex meetings (first time delegates);
- lack of specific scientific knowledge;
- lack of time for preparation;
- delay in communication with the NCCP;
- difficulty in downloading necessary documents for country preparation; and
- language problems.

Some barriers to effective participation have been identified and CTF has taken action to address them whenever possible, with some success. There are still areas for improvement however in addressing some barriers to participation which include issues around quality of delegates (e.g., high percentage of first time delegates, unprepared delegates, etc.) and supporting the provision of scientific data.

Sub-question 3.2.3: To what extent did CTF address the recommendations of the Mid-Term Review?

CTF addressed almost all of the recommendations from the Mid-Term Review¹⁶. There were seven recommendations from the Mid-Term Review, some of which were aligned to previous assessments and studies commissioned by the CTF. WHO/FAO accepted all recommendations and there is a well-documented management response. Five of the recommendations were implemented, and two were partially implemented.

Criteria 4: Sustainability

Evaluation Question	Lines of Evidence	Overall Rating
Question 4.1: To what extent will there be a continuation of benefits from the CTF after major assistance has been completed?	<ul style="list-style-type: none"> • Interviews • Document review • Focus groups • Online Survey • Country case studies 	Partially demonstrated

¹⁶ The Mid-term Review can be accessed at the Codex Trust Fund website: http://www.who.int/foodsafety/areas_work/food-standard/codextrustfund/en/

Summary Finding:

The overriding factor influencing sustainability is political support leading to national level funding for Codex infrastructure. Where demonstrable results have been achieved in countries (e.g., new standards, improved trade, improved inter-sectoral coordination, etc.) then it is more likely that countries will be able to advocate for continued participation in Codex. In other instances, countries have not be able to provide the sufficient justification for their participation in Codex. In these cases, any achievements gained in terms of capacity and expertise may not be sustainable, with or without external support.

Sub-question 4.1.1: To what extent are benefits of the project likely to continue after the end of the project?

The level of participation to some degree is a result of supplemental resources that are temporarily available, either through the CTF or other initiatives. The CTF resources, on average, have increased developing country participation by approximately 14% (CTF has supported 2,078 participations from 2004 to December 2013, or 14% out of a total of 14,800 CTF eligible country participations). But in many cases, on a country by country basis, CTF has supported more than 50% of all participations from a country. A review of country case studies demonstrates that this can vary widely - three of the 14 countries had well over 50% of their participation sponsored by CTF.

Table 11: Percentage of Participation Supported by CTF

Country	% Participation Supported by CTF (2004-2013)	Country	% Participation Supported by CTF (2004-2013)
Mozambique	28%	Guyana	77%
Cameroun	9%	Costa Rica	3%
Rwanda	66%	Colombia	12%
Uganda	23%	Papua New Guinea	40%
Vietnam	14%	Mongolia	80%
Turkey	7%	Kazakhstan	35%
Lebanon	16%	Georgia	34%

Efforts are ongoing in these countries to access national resources to better support national infrastructure and their participation in Codex. As the situation stands now, however, it does raise questions of the sustainability of any gains made in these countries or countries in similar circumstances.

The original project document for CTF identified the root cause for low developing country participation as budgetary constraints at the national level. The CTF has not directed activities to specifically address this root cause problem, nor is it something that can be strongly influenced by any external program. Lasting change may be sustained but that will be determined by the national conditions.

Survey: Over half (58.8%) of CCPs reported that the benefits of CTF were likely to continue after the end of the project. An equal rate of people interviewed felt that this was very country-specific and based on the availability of economic resources. 13.2% of survey respondents felt that the benefits would not be sustainable.

In regard to strengthened participation, many of the gains made to date can be sustained as they are often directly aligned with legislation, policy and/or new regulations that have been passed at the country level. Codex infrastructure that has been put in place is likely sustainable, but again will depend on specific national conditions. Turnover of key staff in government ministries is always a threat to sustainability.

Sub-question 4.1.2: What are the major factors influencing the sustainability of the project?

Survey: A majority (62.5%) of people named political and economic support as the major factors influencing the sustainability of the project.

Through interviews, document review and the survey, all lines of evidence identified the major factor influencing sustainability as awareness of the relevance of Codex, at the highest levels, that leads to political commitment and national level funding for the creation and maintenance of the required national

Codex infrastructure and institutional capacity.

Criteria 5: Impact

Evaluation Question	Lines of Evidence	Overall Rating
Question 5.1: What are the positive and negative, primary and secondary long-term effects produced by CTF?	<ul style="list-style-type: none"> Interviews Document review Online survey Country case studies 	Partially demonstrated

Summary Finding:

There has been sustainable change in the majority of countries during the last 11 years in terms of standard development. This can touch on policy, regulation, standard development and adaptation, and Codex infrastructures. The change is uneven amongst and between regions and country groupings and highly dependent on national context. CTF activities can be said to have contributed, in some degree, to some of these changes, specifically in regard to the Codex infrastructure.

Sub-question 5.1.1: Have there been any unintended outcomes (positive or negative)?

The evaluation did not identify any unintended outcomes that could be attributed to the activities of the CTF.

Sub-question 5.1.2: Have there been changes in beneficiary countries' Codex infrastructures or food safety systems that can be linked to CTF activities?

The evidence presented in **Section 3.1.5 and 3.1.7** also supports findings for this sub-question. It can be concluded that the CTF has had a lasting impact in some countries in terms of their Codex infrastructure.

Criteria 6: Program Management

Evaluation Question	Lines of Evidence	Overall Rating
Question 6.1: To what extent did the CTF management arrangements facilitate the achievement of outputs, outcomes and objectives?	<ul style="list-style-type: none">• Interviews• Document review• Online survey	Partially demonstrated

Summary Finding:

Overall there is a high-level of satisfaction with the CTF Secretariat across all stakeholders. Some interviewees suggested that improvements could be made in the delivery of logistical support services (e.g., regional offices, by third-party, etc.). Well managed logistics has facilitated effective participation by minimizing distractions for participants.

The structure and staff of CTF Secretariat has not necessarily been optimal or sufficient for achieving all the CTF objectives in a timely manner. There is a significant amount of in-kind contribution from WHO and FAO to make the CTF work across all its areas of activity.

CTF stakeholder's expectations have evolved and that effective participation is now a primary focus. In that case, new criteria may need to be developed that more appropriately reflect the selection of countries/delegations that effectively participate in Codex (or can help others do so).

Fluctuating funding and uncertainty however has cause difficulties for project delivery and in meeting expectations and needs of eligible countries.

Regarding the three CTF outcomes, targets have not been set in reference to baseline data. The setting of baseline data and quantifiable targets, in itself, provides clarity around indicators (i.e., how to measure strengthened participation). This in turn can provide more clarity in the program theory and results framework.

Sub-question 6.1.1: Has the structure and staff arrangements of the CTF Secretariat been the most optimal for achieving intended results?

There is a high level of satisfaction with the operations of the CTF Secretariat across all stakeholders in regards to administration of the Fund. This was achieved despite the fact that there was an under-estimation of the management requirement of the CTF as witnessed by the original project document allocating only \$100,000 for travel administration. By 2011 the Project Management and Administration costs were at \$600,000 (see **Table 3**). On average the CTF Secretariat has employed less than two Full-Time Equivalents (FTE)¹⁷ over the period 2004-2014, with a low of one-half (0.5) of one FTE in 2004 and a high of three and one-quarter (3.25) in 2011. In the last five years it has averaged almost two-and-a-half (2.5) FTEs.

Given the above, the structure and staff of CTF Secretariat has not been necessarily sufficient for achieving all the CTF objectives in a timely manner. It was originally understaffed, and the staffing was more geared towards addressing the objective of widening participation (facilitating travel of delegates). Staffing to address the program needs in respect to capacity building and scientific input was not done, and significant in-kind contributions were required from WHO and FAO staff to fulfill these needs.

Interviews: There is a lot of in-kind contribution from FAO and WHO. The current way of managing it is probably not sustainable.

Some interviewees suggested that improvements could be made in the delivery of logistical support services (e.g., regional offices, by third-party, etc.). Well managed logistics facilitate effective participation by minimizing distractions for participants.

Sub-question 6.1.2: Has the CTF been able to respond flexibly and in a timely manner to the needs of eligible countries?

The project has adapted to country needs based on recommendations from assessments and evaluations. The change has sometimes taken longer than anticipated. As an example, the need for improved monitoring and evaluation (M&E) was first raised in a report in 2007¹⁸. It was raised again in the Mid-Term Review in 2010, and a new M&E framework was finalized in 2012. The process for adjusting the project is tied to annual meetings of the CAC, at which the CTF meets with eligible countries for consultations on any changes. Such a process does limit the pace of change.

The mentoring pilot project¹⁹ was cited as a more active approach that demonstrated the CTF's ability to adapt and try other means of addressing the capacity building needs of countries.

¹⁷ One Full-Time Equivalent is equal to one employee working full-time for one year.

¹⁸ Connor, Robert (2007). Initiative to explore linkages between increased participation in Codex and enhanced international food trade opportunities, DFID.

¹⁹ The mentoring project centred on the Codex Committee on Food Hygiene (CCFH) work on the revision of the Principles for the Establishment and Application of Microbiological Criteria for Foods (CAC/GL 21-1997) and ran in 2012. The support of

Some interviewees acknowledged that after the Mid-Term Review, the CTF did place greater emphasis on the other outcomes of strengthening participation and enhancing scientific input.

Sub-question 6.1.3: Were country groupings valid for the purposes of participating in Codex, and did they ensure neutrality and fairness in resource allocation?

Most interviewees believed that the groupings were valid given the primary objective of the CTF to widen participation, meaning attendance at meetings. It is apparent, however, that all CTF stakeholder's expectations have evolved and that effective participation is a primary focus. In that case, new criteria or allocation of resources may need to be developed that more appropriately reflect the selection of countries/delegations that effectively participate in Codex (or can help others do so).

Interviews: Country groupings have always been an issue, however, there is no better classification to use than what the UN and World Bank have.

Sub-question 6.1.4: Were financial resource allocations decided upon and administered to beneficiaries in a neutral, transparent and efficient manner?

The criteria used were deemed to be neutral, and transparent by almost all interviewees. The criteria used were UN and World Bank classifications. In response to the Mid-Term Review and calls from some groups of countries, the CTF introduced a new Group 4 to assist the LDCs and Small Island Developing States (SIDS) in participation past their initial graduation date. All allocations were reported to the CAC in the CTF Annual Report.

Sub-question 6.1.5: How successful was CTF in securing resources from donors?

CTF has been able to secure funding that has permitted them to undertake activities in regard to the three project objectives, but annual funding targets and strategies are not apparent. There has been progress made in moving to multi-year development funding, although resource mobilisation never matched original expectations. Overall there has been a growing level of support attracted to the CTF. Short-term and fluctuating funding however do cause difficulties for project delivery and meeting expectations and needs of eligible countries.

the CTF went towards facilitating developing and transition economy countries' participation in a Physical Working Group meeting and meetings of CCFH.

Figure 6: Resources Mobilized by CTF \$US (2003 to 2013)



Sub-question 6.1.6: Were the indicators used by the CTF to measure outputs and outcomes relevant and suitable?

CTF has put in significant effort to develop, implement and maintain its M&E framework. Monitoring reports are comprehensive and well received by stakeholders and there is a general recognition that this is a strength of the CTF. The Annual Reports and Monitoring Reports produced by the CTF are informative and useful.

There are areas of improvement. Regarding the three CTF outcomes, targets could be set in reference to baseline data. The setting of baseline data and quantifiable targets, in itself, provides clarity around indicators (e.g., how to measure strengthened participation). This in turn can provide more clarity in the program theory and results framework. In addition, the CTF Key Objective is “to increase relevance of Codex standards to developing countries”. The M+E framework however, has no indicators to monitor progress towards achieving this objective.

Criteria 7: Lessons Learned

Evaluation Question	Lines of Evidence	Overall Rating
Question 7.1: Identify lessons that could be learned from the operations and results of the Codex Trust Fund for similar projects in the future	<ul style="list-style-type: none">• Interviews• Document review• Country case studies	Not applicable

Summary Finding:

Effective participation needs to be confirmed as the overarching purpose of the CTF. The original three outcomes of the CTF still address real country needs but should not be generalized for all countries, and activities could be more specific to individual country context. There can be a larger range of project-supported activities than what has existed to-date. Capacity building can take many forms beyond regional workshops and include twinning, mentoring, exchanges, study tours and technical assistance by subject matter experts. Any future support should continue to have the primary focus of improving effective participation of countries in Codex.

Any project that lasts for 12 years requires an iterative program design approach which implies robust monitoring and evaluation that can be used for formal program reviews and adjustments on a regular basis (e.g., every three years). Recommendations should be implemented in a timely manner.

Sub-question 7.1.1: What have been the lessons learned, positive and negative

There have been benefits to both Codex as an international standard setting process (e.g., standards being more relevant to more members, etc.), as well as to eligible members (e.g., improved awareness, knowledge, infrastructure, etc.).

Models and lessons learned could be shared more effectively with members. As an example, there have been a number of suggestions for program delivery improvements, but all focused on improving the effectiveness of participation (e.g., mentoring, twinning, support to participants, etc.). While the CTF has piloted some of these new areas, they could be the focus of dedicated project activities and resources. The mentoring pilot project by all accounts was a success. The final report of that pilot was not published, which could have led to greater learning. Understandably, a lot of the effort for the pilot project and its success can be attributed to leadership within the CCFH and the CTF's ability to respond to new approaches. Such leadership would be required again in order to replicate such a pilot.

At a different level, country case studies revealed that there is a need to continue to promote best practices in regard to national Codex governance models that include inter-sectoral representation, legal status, documented structure and processes, as prerequisites for effective

participation (e.g., quality delegates, consistent delegates, institutional memory, preparation and follow-up, etc.).

Codex is not alone and other international standard setting bodies are facing similar challenges in regard to participation of developing and transition economy countries. While the same needs should not be generalized to all members, there will be, for the foreseeable future, countries that need support to participate, whose participation needs to be more effective and that require support for generation of scientific data.

Sub-question 7.1.2: How could the impact of the project have been enhanced?

As identified under Section 3.2, in some cases there could have been more prompt adjustments to the program as recommendations were identified. The CTF operates within the UN and Codex systems so pace of change may always be a challenge.

Some other concrete suggestions for enhancing the impact of the project were focused on program delivery:

- Some interviewees felt that the project could have been enhanced through greater support to meeting participants. Support approaches include: pre-meeting and post-meeting support; combining physical participation with training; and more support from WHO/Regional offices;
- There could be more and better involvement of regional and country level WHO and FAO representatives, recognizing the CTF has already attempted to do so;
- Some interviewees felt that targeted capacity building could have enhanced the project; and
- Some interviewees proposed approaches such as twinning / mentoring on science or better linking CTF capacity building activities with the general capacity building activities of WHO and FAO.

Criteria 8: Gender Equity and Other Cross Cutting Themes

There were no specific evaluation questions in the Terms of Reference for the cross cutting themes of Gender Equity and Human Rights. Overall the finding of the evaluation is that sex-disaggregated data is collected and monitored on an ongoing basis by the CTF. There has been no gender or human rights analysis undertaken of CTF activities.

The percentage of total participations supported broken down by sex remains relatively unchanged since the first monitoring report (34% women in 2011, 35% in 2012, 34% in 2013).

4.0 CONCLUSIONS

Relevance and Strategic Fit

The cause of budgetary constraints at national level in regards to a country's participation in Codex, is a lack of awareness and commitment at the central government and political leadership levels. The project has not directly addressed that issue but left it to the Codex Contact Points to find solutions to national budgetary issues.

Efficiency

A basic tenet of performance management is to integrate financial and non-financial performance information for analysis at the activity/output level. This also allows for a costing of results. This has not occurred and there has been no tracking of activity/outputs for analysis and decision-making purposes to find efficiencies.

The practice of reporting annually on cumulative expenditures is not adequately informative. It does not allow for yearly comparisons. Current reporting does not identify true costs (e.g., including Program Support Costs).

Effectiveness

If the objective of widening participation is maintained, it can be concluded that some developing and transition economy countries will require continued assistance for physical participation. Effective participation has become a greater focus for eligible countries, but needs to be supported on a more country-by-country basis.

There is a lack of consensus on an appropriate CTF response to achieve the outcome of increased availability of scientific evidence from developing and transition economy countries, which infers a requirement for further needs identification to design appropriate approaches and activities given the operational and financial realities of CTF.

The higher level development goal in the CTF results framework was set too high. While the contribution of standards to food safety is theoretically clear, in practice there are too many factors, and stakeholders, that influence a country's food safety system for it to be the basis on which to assess progress and results of an initiative such as CTF. The CTF results framework needs to be set more appropriately to the scope of the Fund, and reasonable sphere of influence. The CTF results framework should be more focused on effective participation and standard development, rather than standard implementation and impacts on food safety systems, international trade or safe and nutritious food.

The program has adjusted to address barriers and recommendations as much as it could within its initial design parameters. In some cases the changes were slow in being implemented. In a 12 year program, there is a need for more frequent, targeted assessment to permit flexibility and timely adjustments to program design and delivery.

Sustainability

Sustainability will be determined by the national context. The turnkey solution involves raising the priority of Codex participation at a national level with central ministries and political decision-makers. The project has never designed specific activities to address this root problem.

Impact

The impact of a fund that pays for participant travel to meetings and training on a national food safety system is difficult to qualify. The level of impact is set too high for such a fund, and there are many other factors that influence national Codex infrastructures, and especially national food safety systems.

Nonetheless it is apparent that CTF has had a positive impact on the increased awareness and importance of Codex in eligible countries through exposing participants to the international food standard setting process that takes place in the Codex Alimentarius Commission and has provided valuable information on how to structure and establish Codex infrastructures at the national level.

Program Management

Notwithstanding the original project document, the reality was that in the first years (2004-07) the CTF focused almost exclusively on increasing attendance of developing and transition economy countries at Codex meetings and committees. Country groupings, criteria and the CTF structure and staffing were principally dictated by that focus. After this initial phase, ongoing assessments, evaluation and monitoring provided data for decision-making about adjustments. It became apparent to all stakeholders that a stronger focus on effective participation (which implies need for training, awareness, political support etc.) was required, versus an emphasis on attendance at meetings. Some project activities were added, such as regional training workshops, to accommodate this shift in focus but not in a timely fashion. There has not however been any adjustment of groupings, criteria and other project parameters in concert with the shifting focus.

In its current form, and with current expectations in regards to effective participation and support for generation of scientific data, it cannot be said that the CTF is optimally structured or designed. With the greater emphasis on capacity building, and the development and delivery of the Mycotoxins in Sorghum Project, there has been a reliance on WHO and FAO in-kind contribution of staff time that may not be sustainable in the long-term.

Lessons Learned

The CTF has done a good job at assessing, evaluating and monitoring its work. As a result it has identified many lessons learned, but only a few have been taken further for action, and in some cases, only for very limited periods. As an example, mentoring was raised as an area for support in 2007 but a pilot was only conducted in 2012. By most accounts the pilot was well received and successful but never repeated.

Cross Cutting Issues

There has been no gender or human rights analysis undertaken of CTF activities. It is therefore not clear if Gender or Human Rights issues are relevant for the work of the CTF (or Codex).

Please see **Annex F** for the Stakeholder Analysis undertaken by the evaluation.

5.0 RECOMMENDATIONS

The evaluation recommends to the CGTF that they:

1. **Develop a Codex promotional and engagement strategy with the Codex Secretariat to advocate for national support for Codex programs.** This aligns with the Codex Strategic Plan Objective 3 and will help to address the root cause of the factors that impact on the sustainability of developing country participation in Codex. An engagement strategy can consist of various methods. As an example, some respondents indicated that the 50th Anniversary Celebrations of Codex attracted Ministerial level participation from many countries that went a long way to promoting the relevance of Codex and the importance of country participation in Codex processes. There is also a need to raise the priority and profile of food safety within WHO and FAO itself. Conditions at national level are often a reflection of the international landscape and if food safety is not a priority item on WHO and FAO governance bodies it is hard to make a case for it at national level.
2. **Redefine program objectives in light of evolving needs of eligible countries.** A recurring theme throughout the findings of the evaluation is that the CTF was a 12-year program and that adjustments were made through-out the period based on ongoing assessments and monitoring. The changes however were limited by the original scope (project document) and were in some cases were slow to be implemented. There is an opportunity at this time, when WHO and FAO are developing a successor program, to ensure that there is a built-in iterative planning process that will allow for timely adjustments to project scope and objectives to accommodate changes in the operating environment, as well as eligible country needs and priorities as they evolve over in the future.
3. **Improve financial reporting.** Year-by-year comparisons should be presented in order to permit comparisons. The costs of any Program Support Costs (overhead), in addition to Project Management and Administration costs, should be clearly indicated. WHO and FAO should make efforts to accurately collect and report on the level of in-kind contribution that is being expended on the CTF.
4. **Improve the cost analysis of the CTF.** There can be better definitions of costs (e.g., what costs are included in training workshops before a Codex meeting, what allowance is made for in-kind contributions) in order to be able to provide cost analysis of project activities. As an example, is a one-day training before a Regional Coordinating meeting cost effective, or is there greater value in a 2 or 3 day workshop? Does pooling DSA for workshops result in cost savings?
5. **For effective participation, an approach that assesses both the individual delegate and country conditions needs to be in place.**
For individuals this may include:
 - First time, newer delegates have to be fully justified in application;

- First time, newer delegates must complete online training course (tested);
- First time, newer delegates be twinned with/mentored by with more experienced members, subject matter experts, or third parties; and
- First time, newer delegates should be assessed by mentor/partner at end of meeting and report submitted to country.

For countries this may include:

- Change the application process: multi-year application available, based on engagement strategies demonstrating consistency and outlining proposed role of CTF support and flexible package of assistance;
 - For other countries unable to comply with requirements of multi-year funding, their support can be funded based on current application processes; and
 - Respect your own guidelines. Applications can be too late and not accepted. Applications can be refused for being incomplete or unsatisfactory.
6. Undertake an analysis in regards to country needs regarding increasing availability of scientific evidence and develop a clear range of project activities that can be supported by an initiative such as CTF. There is consensus across the project's stakeholders that the provision of scientific data to the Codex process is critically important. There is however, a wide range of opinions on possible areas of intervention for CTF to support this objective. This wide range of opinions indicates that further needs assessment and identification should be conducted in order to better target project activities that are appropriate to CTF. The activities should be realistic given that historically the CTF has over 130 eligible countries and has expended \$640,000 over 10 years (from 2004 to 2013) on the overall objective.
7. **Better align staffing to project scope.** The structure and staffing of a CTF Secretariat will need to take into consideration project goals, objectives and activities to ensure the right balance of capacity and technical competency to meet project objectives, without an unsustainable, over-reliance on in-kind contributions of WHO and FAO staff.
8. **Develop strategies and plans to increase predictability of funding.** In the future, if there are shifts of focus to effective participation, and a shift to more tailor-made capacity building approaches that intend to impact on institutional capacities, long-term activities and strategies need to be utilized which cannot be supported with current funding patterns. There is a need for longer-term, more predictable funding. The project has made some progress in this regard but more diverse sources of long-term funding are needed.
9. **Continue development of Monitoring and Evaluation frameworks.** The CTF has made commendable progress in developing and utilizing an M+E framework. The framework should continue to evolve and any new results frameworks should also include baselines and targets, with objectives that are SMART (i.e., Specific, Measurable, Achievable, Relevant, and Time-bound).

10. **Lessons learned and new best practices should be integrated more quickly and with more consistency** into the regular project supported activities of the CTF, within the operational realities of the UN and Codex system.

ANNEX A: TERMS OF REFERENCE

FAO/WHO PROJECT AND FUND FOR ENHANCED PARTICIPATION IN CODEX (CODEX TRUST FUND)

FINAL PROJECT EVALUATION TERMS OF REFERENCE

I. Purpose and Objectives

The **purpose** of the final project evaluation is to evaluate the functioning and results of the Codex Trust Fund after ten and a half years of its 12 year lifespan. The results of the final project evaluation will be used, along with other sources of information, to inform discussions in FAO/WHO and among Codex Member States on possible future measures that may be necessary to enhance further effective participation in Codex by developing and transition economy countries.

The specific **objectives** of the review are to:

1. Evaluate the results of the Codex Trust Fund against the stated objectives and expected outputs in the founding project document²⁰.
2. Identify and analyze the strengths and weaknesses of the Codex Trust Fund from both strategic and operational perspectives.
3. Identify lessons that could be learned from the operations and results of the Codex Trust Fund for similar projects in the future.

II. Background

The *Codex Alimentarius Commission (CAC)* is a joint intergovernmental body of the Food and Agriculture Organization (FAO) and the World Health Organization (WHO), which encompasses 186 Member States, one member organization and over 200 observer organizations for civil society participation. The vast majority of food products traded internationally are covered by Codex standards, thus contributing to ensuring the safety of the global food supply and helping facilitate international food trade, which, in 2011, was worth about US\$ 1400 billion.

The FAO/WHO Project and Fund for Enhanced Participation in Codex (Codex Trust Fund, CTF) was launched in 2003 by the Directors-General of FAO and WHO to help developing countries and countries with economies in transition to enhance their level of effective participation in the Codex Alimentarius Commission. The Codex Trust Fund aims to achieve this goal primarily by providing resources for eligible countries to participate in

²⁰ The full Project Document in English, French and Spanish can be found at <http://www.who.int/foodsafety/codex/trustfundbackground/en/index.html>.

Codex meetings and training courses, and also enabling them to prepare scientific and technical data related to the Codex standard setting process.

The Fund has been operational since March 2004 when the minimum threshold of US\$500,000 in contributions was reached. For the period March 2004-December 2012 inclusive, the Codex Trust Fund supported 1942 participants from 134 countries to attend Codex meetings and working groups, with the majority of support going to the least developed countries. As at December 2012, the Fund had received over US \$16.5 million from 15 Codex Member States and the European Union as a Codex Member Organization.

The Codex Trust Fund is guided by an FAO/WHO Consultative Group for the Trust Fund (CGTF) consisting of senior FAO and WHO staff, including regional office representation, and officers to provide advice on legal matters and resource mobilization. Daily management of the Fund is undertaken by the Fund's Secretariat, staffed by one full-time general service staff, and one full-time professional staff. The Codex Trust Fund Secretariat is located in the Department of Food Safety and Zoonoses at the Headquarters of the World Health Organization in Geneva.

An independent Mid-term Review was carried out between November 2009 and April 2010 to evaluate the progress of the Codex Trust Fund after 6 years of operation and provide actionable recommendations that could be applied looking forward to the second half of the Codex Trust Fund lifespan and beyond:

- Andante - tools for thinking AB (30 April 2010) *Codex Trust Fund Mid-Term Review*. Funded by donor contributions to the Codex Trust Fund. Evaluation team: Kim Forss (team leader), Jens Andersson, Eve Kasirye-Alemu. (http://www.who.int/entity/foodsafety/codex/cac33_14_Add1e.pdf).

In addition, two independent assessments on the impact and performance of the Trust Fund were carried out in 2007:

- Connor, R.J. (2007) *Initiatives to explore linkages between increased participation in Codex and enhanced international food trade opportunities*. Funded by the UK Department for International Development (DFID). (http://www.who.int/entity/foodsafety/codex/Connor_report.pdf)
- Slorach, S. (2007) *Enquiry Concerning the FAO/WHO Project and Trust Fund for Enhanced Participation in Codex*. Funded by Swedish International Development Agency (SIDA). (http://www.who.int/entity/foodsafety/codex/Slorach_report.pdf).

In line with established good practices in evaluations, the final project evaluation will be carried out by an independent external evaluator/evaluation team. The evaluation will follow UNEG norms and standards for evaluations as well as ethical guidelines²¹.

It is envisaged that the results and recommendations of the final project evaluation will be presented to Codex Member States at the 38th Session of the Codex Alimentarius Commission (July 2015). The report of the final project evaluation will be published on the Codex Trust Fund website and circulated widely to relevant networks using electronic means.

Performance shall be measured against the overall goal, objectives and expected outputs of the Trust Fund was established in the Codex Trust Fund Project Document. The key objective of the Trust Fund is to help developing countries and countries with economies in transition to enhance their level of effective participation in the development of global food safety and quality standards by the Codex Alimentarius Commission.

The expected outputs of the Codex Trust Fund are:

1. *Widening participation in Codex.* The number of countries routinely providing delegations to CAC sessions and to its committees/task forces, that address issues of priority health and economic concern for their specific countries, will have increased.
2. *Strengthening overall participation in Codex.* The number of countries routinely developing and putting forth national considerations in the Codex standard setting process will have increased along with their participation in Codex committees/task forces.
3. *Enhancing scientific/technical participation in Codex.* The number of countries that are actively providing scientific/technical advice in support of the Codex standard setting process will have increased.

In accordance with the OECD DAC Principles for Evaluation of Development Assistance²², the final project evaluation should address the following key evaluation questions:

a) Relevance and Strategic Fit

- Taking into account changes in the external environment in which the project operates, to what extent have the objectives of the project remained valid?
- Have the activities of the project been consistent with the overall goal of the project and the attainment of its objectives?
- Have the activities and resulting outputs and outcomes of the project been consistent with the intended impacts and effects?

²¹ See for example <http://web.undp.org/evaluation/handbook/documents/english/pme-handbook.pdf>.

²² See <http://www.oecd.org/development/evaluation/dcdndep/41612905.pdf>

- What has been the added value of the Codex Trust Fund in enhancing effective participation in Codex?
- How well has the Codex Trust Fund complemented other FAO and WHO projects and programmes and/or other initiatives aimed at enhancing effective participation in Codex?

b) Progress and Effectiveness

- To what extent have the objectives of the project been achieved?
- What are the major factors that have influenced the achievement or non-achievement of the objectives?
- What barriers to effective participation in Codex can be identified?
- Has the Codex Trust Fund addressed the barriers within its mandate?
- To what extent did the Codex Trust Fund address the recommendations of the Mid-term Review?

c) Efficiency

- Have the Codex Trust Fund activities been cost-efficient?
- Has the project achieved its objectives?
- Has the project been implemented in the most efficient way compared to alternatives?

d) Impact

- What has happened as a result of the project, including impacts at regional and country levels?
- Have there been changes in beneficiary countries' Codex infrastructures or food safety systems that can be linked to the project's activities?

e) Sustainability

- To what extent are the benefits of the project likely to continue after the end of the project (end of 2015)?
- What are the major factors influencing the achievement or non-achievement of sustainability of the project?

f) Project management

In order to capture elements specific to the operations of the Trust Fund, allocation and mobilization of resources, and to highlight learning, the evaluator(s) should give attention to the management arrangements of the Trust Fund:

- Has the structure and staff arrangements of the Trust Fund Secretariat been the most optimal for achieving the intended results?
- Has the Trust Fund Secretariat been able to respond flexibly and in a timely manner to the needs of eligible countries?
- Has there been adequate exchange between the Trust Fund Secretariat, FAO, WHO and the Codex Alimentarius Commission Secretariat to ensure technical, administrative and political information-sharing and support?

- Were the criteria used for country groupings valid for the purposes of participating in Codex, and did they ensure neutrality and fairness in resource allocation?
- Were financial resource allocations decided upon and administered to beneficiaries in a neutral, transparent and efficient manner?
- How successful has the Trust Fund been in securing resources from donors?
- Were the indicators used by the project to measure outputs and outcomes relevant and suitable?

g) Lessons learned and recommendations for future projects

- What is the “learning” that should be highlighted after 11 years of operation of the Codex Trust fund (both positive in terms of good practice and negative in terms of what to avoid in similar projects)?
- How could the project have achieved the objectives and delivered the outputs more effectively and efficiently?
- How could impact of the project have been enhanced?
- How might the sustainability of project benefits be ensured?
- After 10 and a half years of operation of the Codex Trust Fund, what are the remaining major barriers to effective participation in Codex and how might these be addressed?

IV. Scope and Methodology

The final project evaluation will cover the Trust Fund's activities since it became operational in March 2004. The focus of the evaluation is on the outputs, outcomes and impact of the Fund on Codex Trust Fund eligible countries, both quantitatively and qualitatively. The Trust Fund should be evaluated within the wider context in which the Codex Trust Fund operates, and within which Codex Trust Fund-supported activities take place, particularly FAO and WHO projects and programmes, or other initiatives aimed at enhancing participation in Codex and/or strengthening Codex capacity. The review will collect information, opinions and data from a variety of sources, including through:

1. Desk study of existing Codex Trust Fund documentation and any other relevant data sources, including:
 - Project documents.
 - Annual reports and progress reports.
 - Monitoring and Evaluation Framework.
 - Monitoring reports and data and information used for monitoring.
 - Donor reporting.
 - Financial reports.
 - Independent assessments of the Codex Trust Fund.
 - Strategic planning documents.
 - Action plans.
 - Obligatory participant reports and overall analyses of these reports.

- Training materials for enhancing participation in Codex and reports of CTF- supported FAO/WHO training courses and workshops.
- Other key relevant publications and research
- 2. Information and data gathering from relevant WHO, FAO, Codex Trust Fund Secretariat and Codex Alimentarius Commission Secretariat staff:
 - On-site interviews of the Trust Fund Secretariat and WHO staff in Geneva, and FAO and Codex Secretariat staff in Rome
 - Teleconference interviews and/or written or web-based survey questionnaires with a sample of FAO and WHO regional and country level staff involved with the Trust Fund
- 3. Data gathering from beneficiary countries, countries who have been eligible for Codex Trust Fund support but have not taken advantage of it, and Trust Fund "graduates." This could include one or a combination of the following:
 - Telephone interviews of a sample of country representatives
 - Survey questionnaire of a sample of Codex Contact Points
 - Focus groups and individual meetings with country delegates (to be held during Codex meetings taking place during the period of the evaluation)
 - Field visits to a representative sample of Codex Trust Fund beneficiary countries
- 4. Telephone and/or in-person interviews with representatives of countries which have made donor contributions to the Codex Trust Fund.
- 5. Telephone, electronic and/or in-person interviews with representatives of Codex Member States who are neither beneficiaries of, nor donors to the Codex Trust Fund.
- 6. Telephone, electronic and/or in-person interviews with: 1) representatives of Codex Member States currently serving as regional Codex coordinators; 2) representatives of Codex Member States currently hosting Codex committees.
- 7. Discussions with consultants involved in past evaluations of the Codex Trust Fund.

It is expected that all conclusions by the external evaluator/evaluation team would be based on solid evidence that includes a combination of quantitative and qualitative approaches. The evaluator/evaluation team will be expected to propose a program of meetings, interviews, proposed methodology and data collection instruments, timeline and milestones for progress for consideration by the Consultative Group for the Trust Fund.

V. Management Arrangements, Outputs and Timeline

The evaluator/evaluation team will be selected by the Consultative Group of the Trust Fund among responses to a "Call for Expressions of Interest" that will be circulated widely using all relevant channels. The evaluator/evaluation team will report to the Consultative Group for the Trust Fund.

A stakeholder advisory panel will be formed to enable the evaluator/evaluation team to have easy access to representatives of each of the key stakeholder groups, thereby enriching the design and implementation of the end of project evaluation with the perspectives and views of different stakeholder groups. It is envisaged that the stakeholder panel will work electronically with the evaluator/evaluation team to provide comments on the methodology and different instruments proposed for use in the evaluation, and serve as a resource for information and consultation as needed by the evaluator/evaluation team.

The **deliverables** expected are:

1. Detailed work plan and timeline for the evaluation which elaborate further the methodology proposed in the Terms of Reference.
2. Draft report containing preliminary findings/conclusions.
3. Final report of no more than 50-60 pages (excluding annexes) in English, and including an executive summary of 1-2 pages.
4. Presentation of conclusions and recommendations at the 70th Session of the Executive Committee of the Codex Alimentarius Commission, and 38th Session of the Codex Alimentarius Commission which will be held July 2015 (exact dates and place to be determined).

Appendix 1

Summary of the Codex Trust Fund Monitoring and Evaluation Framework

Output 1-1 Participations supported by CTF

Monitoring question	How has the number of sponsored participations evolved?
Indicator	Number of participations supported by the CTF per country sub-grouping per year

Output 1-2 Participants who are satisfied with their participation

Monitoring question	Is the experience of participating in Codex meetings meaningful for participants in relation to future Codex work in their countries?
Indicator	Participants who are satisfied with their participation and likely to promote future country participation in Codex

Output 2-1 Participants at capacity development activities funded by the CTF

Monitoring question	How has the number of sponsored participants attending capacity development activities evolved?
Indicator	Number of participants per capacity development activity supported per year by CTF

Output 2-2 Participants who are satisfied with the capacity development activities

Monitoring question	Is the knowledge learned in Codex capacity development activities likely to be applied in national administrations in a way that promotes participation in Codex?
Indicator	Participants who are satisfied with the capacity development activities and likely to apply the knowledge in their national administrations

Output 3-1 Scientific evidence generated in CTF eligible countries

Monitoring question	Has CTF contributed to improved input of scientific and technical data to Codex discussions?
Indicator	Data generated from CTF-supported projects

Outcome 1-1 Graduate countries continuing to participate in Codex meetings after graduation

Monitoring question	Do CTF graduate countries continue to participate in Codex meetings when their participation is no longer sponsored by CTF?
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Indicator	% of total graduate countries continuing to participate in Codex committees after graduation
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Outcome 1-2 Participations in Codex meetings from all developing countries

Monitoring question	Are there any overall changes in the extent of developing countries' participation in Codex?
Indicator	Total number of delegates from developing and transition economy countries participating in Codex meetings

Outcome 1-3 Countries able to support participation using national or other sources of funding

Monitoring question	Are CTF eligible countries meeting their 50% matched funding requirement?
Indicator	Total number of CTF eligible countries on 50% matched funding status using 1 or more options to match the CTF support

Outcome 2-1 CTF eligible countries submitting written comments to Codex meetings

Monitoring question	How does engagement in Codex work of CTF eligible countries evolve?
Indicator	Submission of written comments to Codex committees by CTF eligible countries

Outcome 2-2 CTF eligible countries submitting complete applications on time

Monitoring question	Are the CTF eligible countries increasing their capabilities to plan for and solicit support for participation in Codex committees?
Indicator	% of CTF eligible countries that are sending in a fully completed application and are up to date with their reports by 31 October and by mid-January

Outcome 2-3 Institutional capacities of countries

Monitoring question	Are the institutional capacities of countries in place to participate effectively in Codex meetings?
Indicator	Quality of preparation before, participation in and follow-up after meetings

Outcome 2-4 Participants in capacity development activities applying knowledge

Monitoring question	Are participants in capacity development activities applying knowledge to strengthen their contribution to Codex standard-setting?
Indicator	% of participants in capacity development activities who state that they apply knowledge gained from activities

Outcome 3-1 Scientific evidence from CTF eligible countries contributes to discussions in Codex

Monitoring question	Does the scientific evidence contribute to the Codex decision-making process?
Indicator	Codex decisions in relevant committee(s) is/are based on larger pool of scientific data from CTF eligible countries.

Administration 1- Participants granted CTF support that fail to attend the designated meetings

Monitoring question	Are the administrative procedures of CTF adapted to the needs and realities of its beneficiaries?
Indicator	% of participants granted CTF support that fail to attend the designated meeting for any reason

Administration 2- Satisfaction of beneficiaries

Monitoring question	Is CTF administration sufficiently responsive?
Indicator	% of beneficiaries satisfied with CTF administration

Management 1 Satisfaction of stakeholders

Monitoring question	Is the CTF sufficiently responding to needs of Codex Member States for wide and effective participation in Codex?
Indicator	% of CTF stakeholders who are satisfied with the management of the CTF

ANNEX B: EVALUATION MATRIX

Evaluation Question	Sub-question	Indicator	Lines of Evidence	Specific Data Sources
Criteria 1: Relevance and Strategic Fit				
1.1 To what extent are the CTF outcomes and objective consistent with the requirements and needs of eligible countries?	1.1.1 Have there been changes in the external environment in which CTF operates? If so, to what extent has the original project objective remained valid?	i. Identification of changes in the external environment that impact on the project objective. ii. Impact of changes on CTF objective and outcomes	Interviews Document review Focus groups Online survey Country case studies	
	1.1.2 To what extent has CTF complemented other FAO and WHO activities aimed at enhancing effective participation in Codex?	i. Identification of other complementary FAO, WHO activities ii. Evidence of communication, co-operation, and/or co-ordination with other initiatives	Interviews Document review Country case studies	
Criteria 2: Efficiency				
2.1 To what extent have resources been converted to outputs economically?	2.1.1 Have the CTF activities been cost-efficient?	i. Approximate cost of production of outputs.	Document review	
	2.1.2 Has the project been implemented in the most efficient way compared to alternatives?	i. Efficiencies or cost saving measures that were implemented. ii. Efficiencies or cost saving measures that were not identified or implemented.	Interviews Document review	
Criteria 3: Effectiveness				
3.1 To what extent has the CTF's outputs, outcomes	3.1.1 (Output 1) Participants sponsored.	i. Participations supported by CTF (number of participations supported by the CTF per country sub-grouping per	Document Review	CTF Annual Reports and database 1

Evaluation Question	Sub-question	Indicator	Lines of Evidence	Specific Data Sources
and objective been achieved?		year)		
		ii. Participants (m/f) who are satisfied with their participation	Interviews Document Review Online Survey Country Case Studies	CTF Surveys / Questionnaires (2012 and after) Monitoring Reports
	3.1.2 (Output 2) Capacity building events performed.	i. Participants (m/f) at capacity development activities funded by the CTF per year	Document Review	CTF Annual Reports and database 1
		ii. Participants (m/f) who are satisfied with the capacity development activities	Interviews Document Review Online survey Country Case Studies	CTF Surveys / Questionnaires (2012 and after) Monitoring Reports
	3.1.3 (Output 3) Scientific evidence produced.	i. Data generated from CTF supported projects	Document review	Project reports
	3.1.4 (Outcome 1) To what extent has participation in Codex been widened?	i. Graduate countries continuing to participate in Codex meetings after graduation (% of total graduate countries continuing to participate in Codex committees after graduation)	Document review	Annual Reports and CTF database 2
		ii. Participations in Codex meetings from all developing countries	Document review	Database 2
		iii. Countries on 50% matched funding	Document review	Database 1 and

Evaluation Question	Sub-question	Indicator	Lines of Evidence	Specific Data Sources
		status meeting the requirement		2
	3.1.5 (Outcome 2) To what extent has participation in Codex been strengthened?	i. Submission of written comments to Codex by CTF eligible countries	Document review	Committee reports Monitoring Reports
		ii. CTF eligible countries submitting complete applications on time (% of CTF eligible countries that are sending a fully completed application and are up to date with reports)	Document review	Monitoring Reports
		iii. Institutional capacities of countries (e.g., through improved coordination, stakeholder input, resource mobilisation, interaction between government, scientists and industry, etc.) in place for effective participation (e.g., preparation, participation and follow-up to meetings)	Interviews Document review Focus groups Online survey Country case studies	Online reports of participants in DataCol system / summary reports
		iv. % of participants (m/f) to capacity development activities applying knowledge	Interviews Document review Online survey Country case studies	Follow-up questionnaire
	3.1.6 (Outcome 3) To what extent has the availability of scientific evidence from developing countries been increased?	i. Scientific evidence contributes to Codex discussions (scientific data generated by CTF projects submitted to committees)	Document review Interviews Case study (Ethiopia)	

Evaluation Question	Sub-question	Indicator	Lines of Evidence	Specific Data Sources
	3.1.7 Is there improved provision of safer and more nutritious food in CTF eligible countries?	i. Change in domestically applicable food policy, legislation and regulations using Codex standards.	Interviews Document review Online survey Country case studies	
		ii. Evidence of enforcement of legislation and regulations.	Interviews Document review Online survey Country case studies	
		iii. Evidence of linkage to Codex	Interviews Document review Online survey Country case studies	
		iv. Evidence of improved intersectoral collaboration / communication / information-sharing in regard to food safety and foodborne diseases amongst public health-related stakeholders	Interviews Document review Online survey Country case studies	
		v. Evidence of development and implementation of risk-based systems for food safety	Interviews Document review Online survey Country case studies	
	3.1.8 Is there improved international trade in food for CTF eligible countries?	i. Change in food policy, legislation, regulations impacting food export/import	Interviews Document review Online survey Country case studies	FAOSTAT See Connor

Evaluation Question	Sub-question	Indicator	Lines of Evidence	Specific Data Sources
		ii. Evidence of enforcement	Interviews Document review Online survey Country case studies	
		iii. Evidence of linkage to Codex (e.g., examples of improved trade in specific commodities (value, volume) for countries that have participated in setting standards for that export commodity, etc.)	Interviews Document review Online survey Country case studies	
3.2 To what extent did the CTF identify and mitigate challenges and barriers to meeting objectives?	3.2.1 What were chief internal and external factors influencing the achievement of CTF outputs, outcomes and objectives?	i. Identification of internal and external factors to the CTF that may influence achievement of outputs, outcomes and objectives.	Interviews Document review Online survey Country case studies	
	3.2.2 What barriers to effective participation in Codex can be identified? Has CTF addressed those barriers within its mandate?	ii. Evidence of risk identification and mitigation applied to program delivery.	Interviews Document review	
	3.2.3 To what extent did CTF address the recommendations of the Mid-Term Review?	i. Evidence of recommendations being implemented	Interviews Document review	
Criteria 4: Sustainability				
4.1 To what extent will there be a continuation of benefits from the	4.1.1 To what extent are benefits of the project likely to continue after the end of the project?	i. (see 3.1.7i.ii.iii), and 3.1.4.i ii. Evidence of sustained institutional	Interviews Document review Online survey Focus group	

Evaluation Question	Sub-question	Indicator	Lines of Evidence	Specific Data Sources
CTF after major assistance has been completed?		change at country level	Country case studies	
	4.1.2 What are the major factors influencing the sustainability of the project?		Interviews Document review Online survey Focus group Country case studies	
Criteria 5: Impact				
5.1 What are the positive and negative, primary and secondary long-term effects produced by CTF?	5.1.1 Have there been any unintended outcomes (positive or negative)?	i. Identification of positive or negative unintended outcomes.	Interviews Document review Online survey	
	5.1.2 Have there been changes in beneficiary countries' Codex infrastructures or food safety systems that can be linked to CTF activities?	i. (see 3.1.7i.ii.iii) ii. Evidence of sustained institutional change at country level	Interviews Document review Online survey Country case studies	
Criteria 6: Program Management				

Evaluation Question	Sub-question	Indicator	Lines of Evidence	Specific Data Sources
6.1 To what extent did the CTF management arrangements facilitate the achievement of outputs, outcomes and objectives?	6.1.1 Has the structure and staff arrangements of the CTF Secretariat been the most optimal for achieving intended results?	i. Extent to which CTF staff implement annual workplans ii. % of participants granted CTF support that fail to attend the designated meeting for any reason iii. % of beneficiaries satisfied with CTF administration iv. % of stakeholders who are satisfied with the management of the CTF v. Evidence of regular governance meetings, and coordination and/or communication between CTF, WHO, FAO, CAC Secretariat vi. Implementation of the capacity developed activities funded through CTF.	Interviews Document review Online survey	Annual workplans and reports, DataCol system Monitoring reports
	6.1.2 Has the CTF been able to respond flexibly and in a timely manner to the needs of eligible countries?	i. Evidence of project changes in response to country needs	Interviews Document review	
	6.1.3 Were country groupings valid for the purposes of participating in Codex, and did they ensure neutrality and fairness in resource allocation?	i. Resource allocation by country groupings	Interviews Document review	
	6.1.4 Were financial resource allocations decided upon and administered to beneficiaries in a	i. Evidence of transparent, neutral criteria used in financial allocations	Interviews Document review	

Evaluation Question	Sub-question	Indicator	Lines of Evidence	Specific Data Sources
	neutral, transparent and efficient manner?			
	6.1.5 How successful was CTF in securing resources from donors?	i. Evidence of resource mobilisation to address financial requirements ii. Successful versus unsuccessful funding proposals	Interviews Document review	
	6.1.6 Were the indicators used by the CTF to measure outputs and outcomes relevant and suitable?	i. Identification of gaps in performance information	Interviews Document review	
Criteria 7: Lessons Learned				
7.1 Identify lessons that could be learned from the operations and results of the Codex Trust Fund for similar projects in the future.	7.1.1 What have been the lessons learned, positive and negative.	i. Identification of lessons learned	Interviews Document review Country case studies	
	7.1.2 How could the impact of the project have been enhanced?		Interviews Document review Country case studies	
Criteria 8: Cross Cutting Themes				
8.1 Gender	8.1.1 Has the CTF conducted a gender analysis? Is there a gender equity strategy/plan in place?	i. Evidence of gender analysis and strategies.	Interviews Document review	
	8.1.2 What is the M/F ratio of participants	i. Sex-disaggregated data on participants	Interviews Document review	

Evaluation Question	Sub-question	Indicator	Lines of Evidence	Specific Data Sources
8.2 Human Rights and Equity	8.2.1 Has the CTF conducted an analysis as to the relevance of Human Rights and Equity in regards to CTF program activities?	i. Evidence of CTF HR and Equity analysis ii. Evidence of national standards based on Codex standards impacting consumers and exports (see 3.1.7 i.ii.iii and (see 3.1.9 i.ii.iii)	Interviews Document review	

ANNEX C: SUMMARY OF RATINGS

Statement	Definition
Demonstrated	The intended outcomes or goals have been achieved or met
Partially Demonstrated	Considerable progress has been made to meet the intended outcomes or goals
Opportunity for Improvement	Some progress has been made to meet the intended outcomes or goals. Management attention is needed to fully achieve outcome.
Not demonstrated	Limited or no progress has been made to meet the intended outcomes or goals as stated.
Not applicable	A rating is not applicable

Evaluation Question	Overall Rating
Question 1.1: To what extent are the CTF outcomes and objective consist with the requirements and needs of eligible countries?	Demonstrated
Question 2.1: To what extent have resources been converted to outputs economically?	Partially demonstrated
Question 3.1: To what extent has the CTF's outputs, outcomes and objective been achieved?	Partially demonstrated
Question 3.2: To what extent did the CTF identify and mitigate challenges and barriers to meeting objectives?	Demonstrated
Question 4.1: To what extent will there be a continuation of benefits from the CTF after major assistance has been completed?	Partially demonstrated
Question 5.1: What are the positive and negative, primary and secondary long-term effects produced by CTF?	Partially demonstrated
Question 6.1: To what extent did the CTF management arrangements facilitate the achievement of outputs, outcomes and objectives?	Partially demonstrated
Question 7.1: Identify lessons that could be learned from the operations and results of the Codex Trust Fund for similar projects in the future	Not applicable

ANNEX D: CTF SUPPORTED CAPACITY BUILDING EVENTS

Reporting on events was not consistent. Some information was Not Available (NA).

Event	No. of Days	No. of Participants	No. Supported by CTF	No. of Countries
2005				
Enhancing Participation in Codex Activities, San Jose Costa Rica, December 2005	2	58	55	22 supported
2007				
Codex Training Course, Africa, January 2007	3	50	36	36 participated
Strengthening Knowledge of Codex Procedures and Risk Analysis, January 2007, Lithuania (supported 2 participants)	1	24	2	2 supported
Codex Training Course, Poland, October 2007	3	42	20	14 supported of 18 participated
2008				
Codex Training Course, Indonesia, November 2008	3	40	40	18 countries participated
Development of Standards of the Codex Alimentarius, Poland, October 2008	1	44	14	9 supported
Regional Workshop on Codex Alimentarius, Cameroon, April 2008	4	32	14	7 supported
2009				
Workshop on Risk Analysis, Ghana, February 2009	1	104	18	18 countries supported
2010				
Harmonization, Equivalence and Risk Analysis in the elaboration of Codex Standards, Tunisia, May 2010	4	40	30	12
Food Safety and Risk Analysis, Poland, Oct. 2010	1	48	23	20

Event	No. of Days	No. of Participants	No. Supported by CTF	No. of Countries
Strengthening food Safety Systems with emphasis on Codex Related Matters, Uzbekistan, Nov. 2010	4	39	20	5
Food Labelling and Date Marking, Tonga, Sept. 2010	4			13
Regional Strategic Frameworks for Food Safety, Tonga, Sept. 2010		NA	NA	NA
Use of Science throughout the Food Chain for Safe Foods, Indonesia, Nov. 2010	3	32	NA	16
2011				
Strengthening capacities for effective participation in Codex process and use of Codex standards, guidelines and recommendations, Albania, Sept. 2011	3	39	32	8
Implementing Codex Standards: what does it entail?, Ghana, Jan. 2011	1	157	59	36
Strengthening Codex Work in the Region, Kenya, Sept. 2011	2	31	28	5
Sanitary Risk Analysis in Food Control, Benin, Dec. 2011	3	37	27	8
Utilizing Risk-based approaches in National Food Control Systems in the Pacific, New Zealand, Dec. 2011	5	NA	16	NA
2012				
Facilitating increased private sector involvement in preparing national and regional positions on Codex issues within the East African Community (EAC) Partner States", , Tanzania, Dec. 2012	3	31	28	5
Understanding Regional Standards, Japan, Nov. 2012.	1	NA	46	17

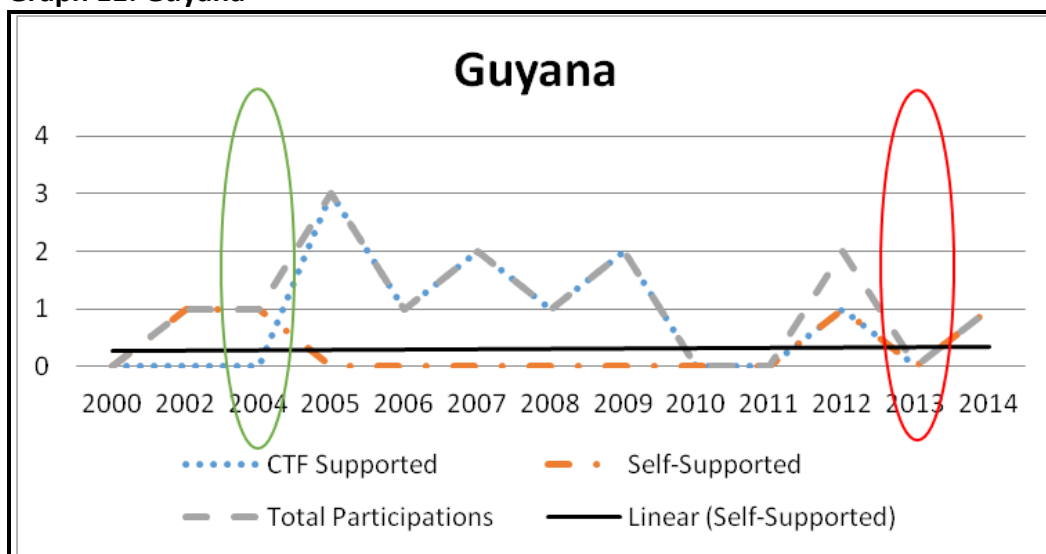
Event	No. of Days	No. of Participants	No. Supported by CTF	No. of Countries
50 years of Codex: Achievements, lessons learnt & challenges in the Codex European region, Georgia, Sept. 2012.	1	NA	24	25
Developing Capacity on Codex Work in Selected Countries of Europe and Central Asia Region, Kyrgyzstan, October, 2012	3	NA	23	5
Risk Management to Reduce Food Safety and Quality Problems within National Food Control Systems, San José, Costa Rica, Nov. 2012	1	NA		21
Introductory training course on the work of Codex Alimentarius for participants from Djibouti and Somalia, Djibouti, 14-18 October, 2012.	5	NA	18	9
Regional training workshop to enhance participation of Codex Near East countries, Beirut, Lebanon, 11-13 December, 2012		NA	28	2
Codex On-The-Job Training for Codex Contact Points from the South West Pacific, New Zealand, February- March 2012	4	6	6	3
Developments in Codex Relevant to Pacific Island Countries", Papua New Guinea, September, 2012	2	NA	26	9
2013				
National Food Control Systems, Cameroon, January 2013	1	89	58	32
Practical Application for Risk Analysis Framework in countries of West African Monetary Union, Benin, June 2013	3	28	27	8

Event	No. of Days	No. of Participants	No. Supported by CTF	No. of Countries
Implementation of Codex Standards and Guidelines for Fresh produce and Fish and Fishery Products, Mozambique, Nov. 2013	3	35	29	15
Chemical Risk Analysis in the Food Chain, China, March 2013	4	27	24	16
Developing Capacity on Codex Work in Balkan Countries, Croatia, June 2013	3	52	47	10

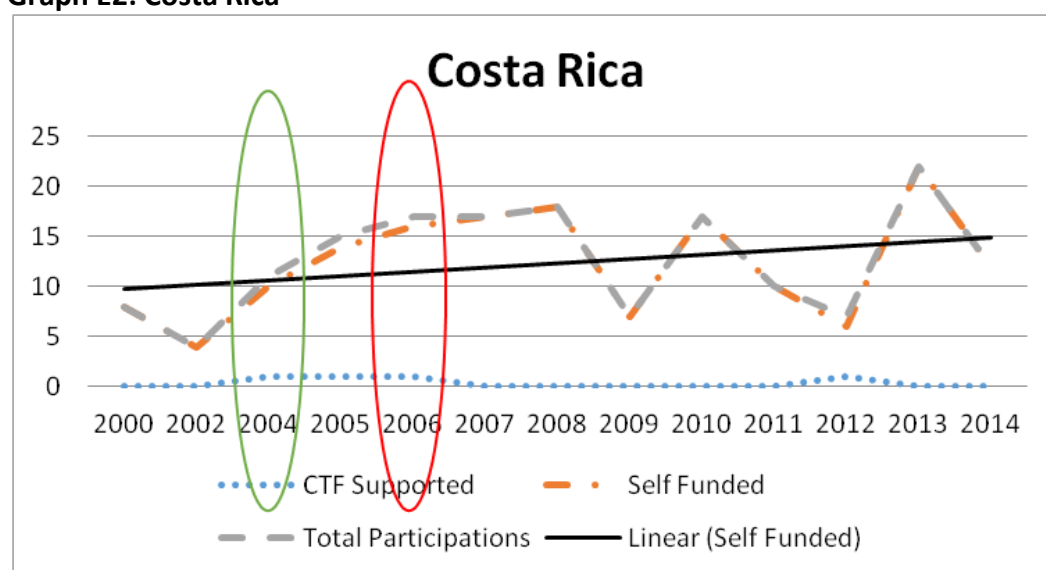
ANNEX E: COUNTRY CASE STUDY PARTICIPATION

The following graphs present the participation information from the 14 country case study countries. The first circle is the year CTF support began. The second circle is the year of graduation. The legend explains the different lines graphed. It should be noted that participations that are considered to be "self-funded", may in fact be funded by sources outside of national budgets (e.g., by other donors, programs of assistance, etc.). Information for 2014 only goes until September 2014 and is therefore incomplete.

Graph E1: Guyana

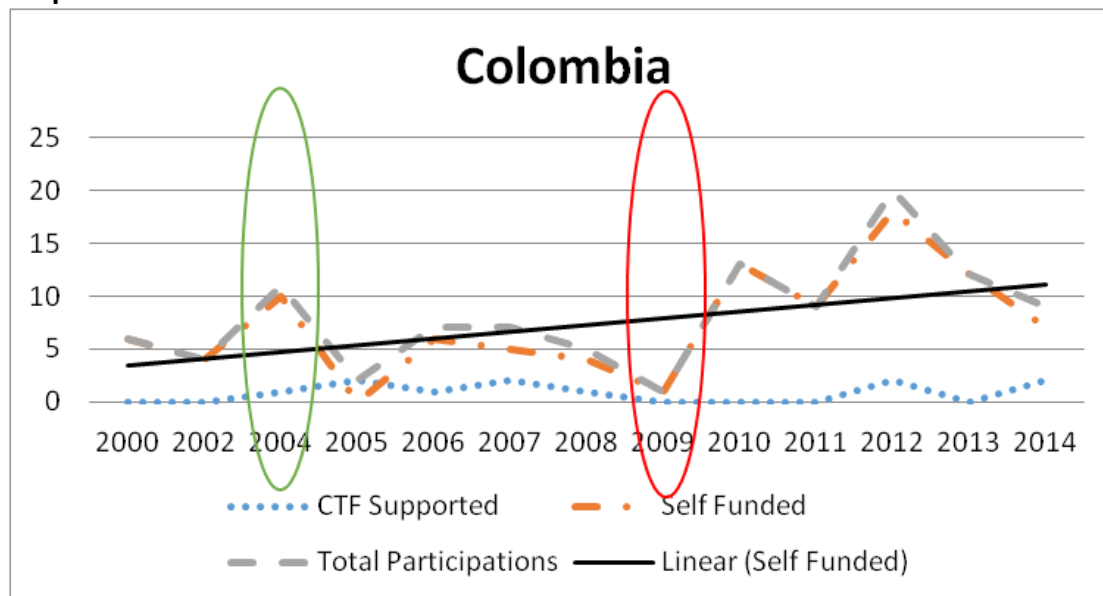


Graph E2: Costa Rica

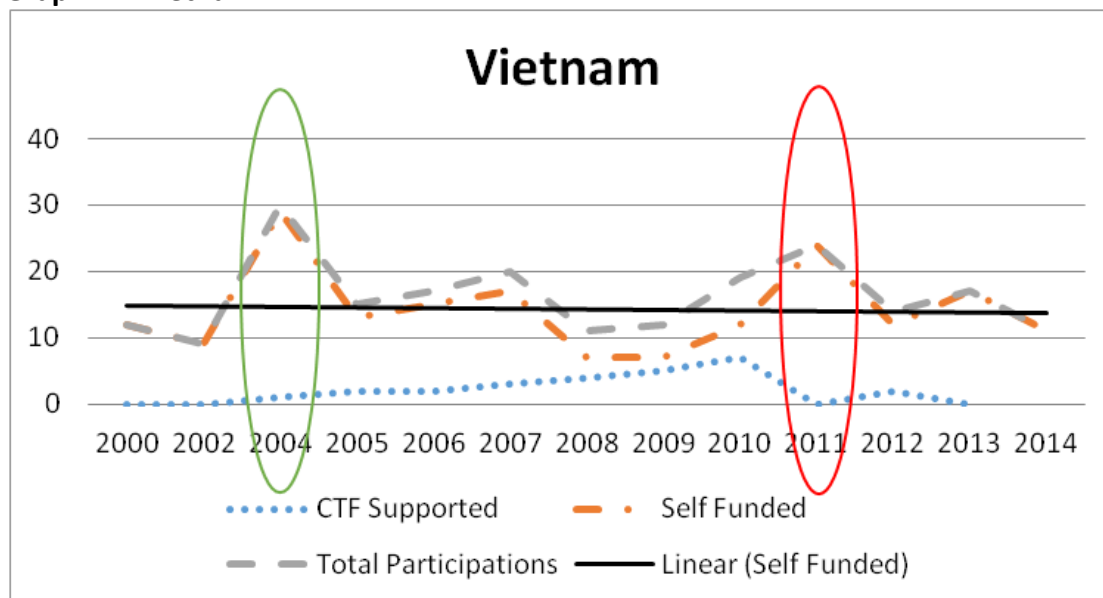


Note: For Costa Rica, self-funded participations also include participations funded by IICA to support Costa Rica in its role as Coordinator for CCLAC. This also explains high levels of participation in 2013. Another CCLAC meeting was held in November 2014 but that information is not included in the above graph.

Graph E3: Colombia

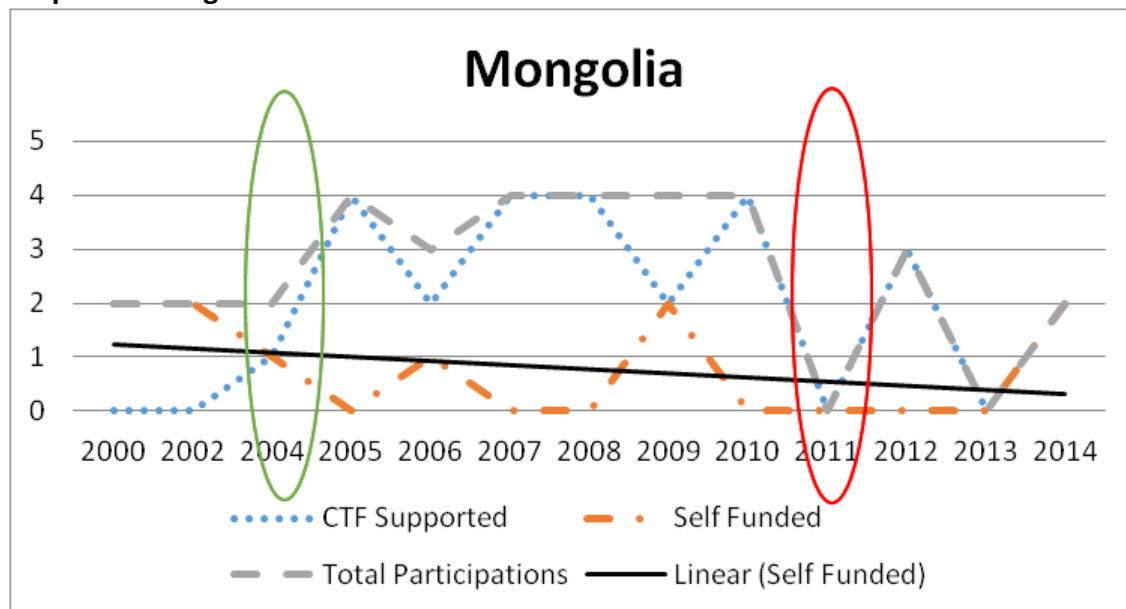


Graph E4: Vietnam

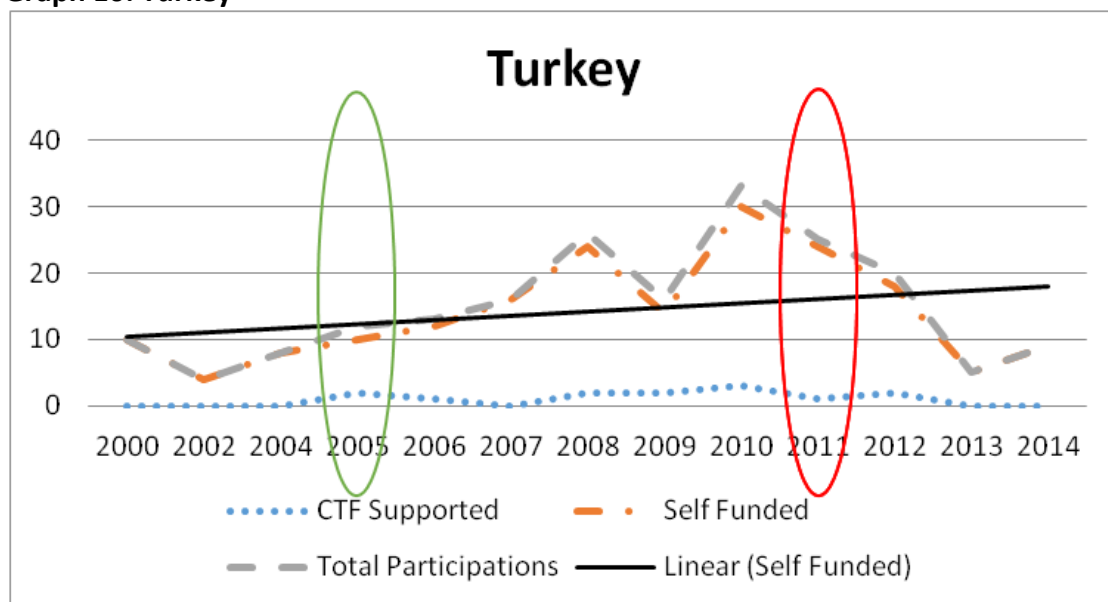


Note: the high level of self-funded participations in 2011 was due to Vietnam co-hosting the CCFH meeting that year.

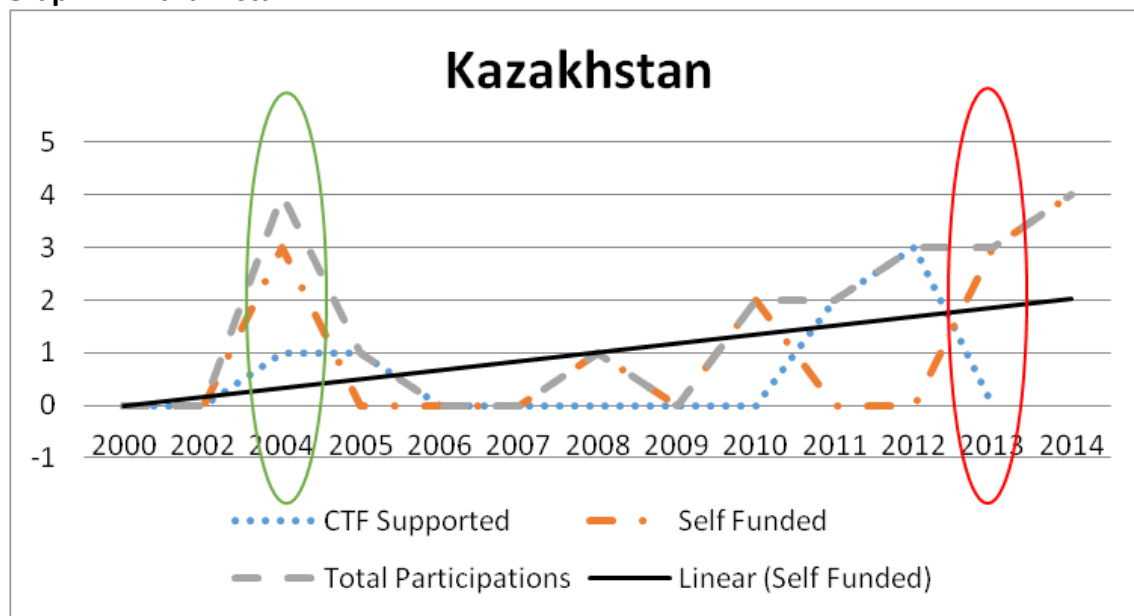
Graph E5: Mongolia



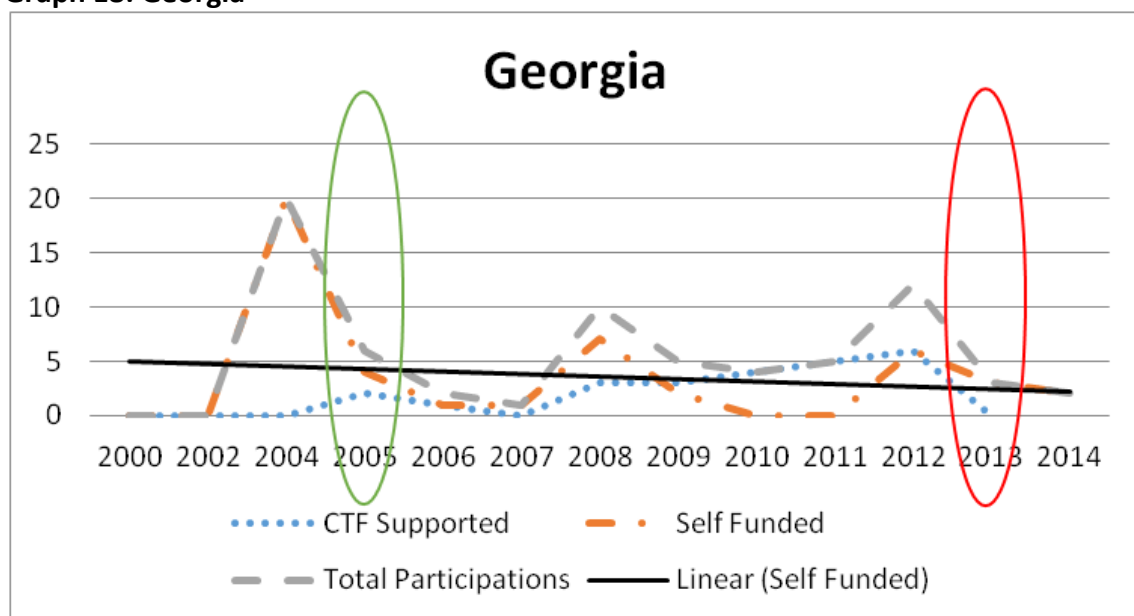
Graph E6: Turkey



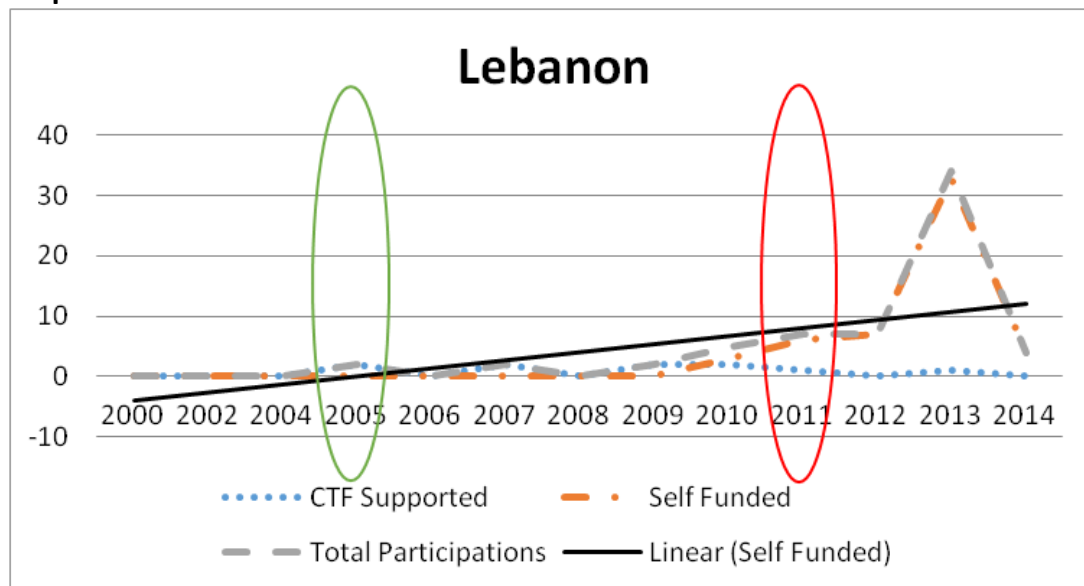
Graph E7: Kazakhstan



Graph E8: Georgia

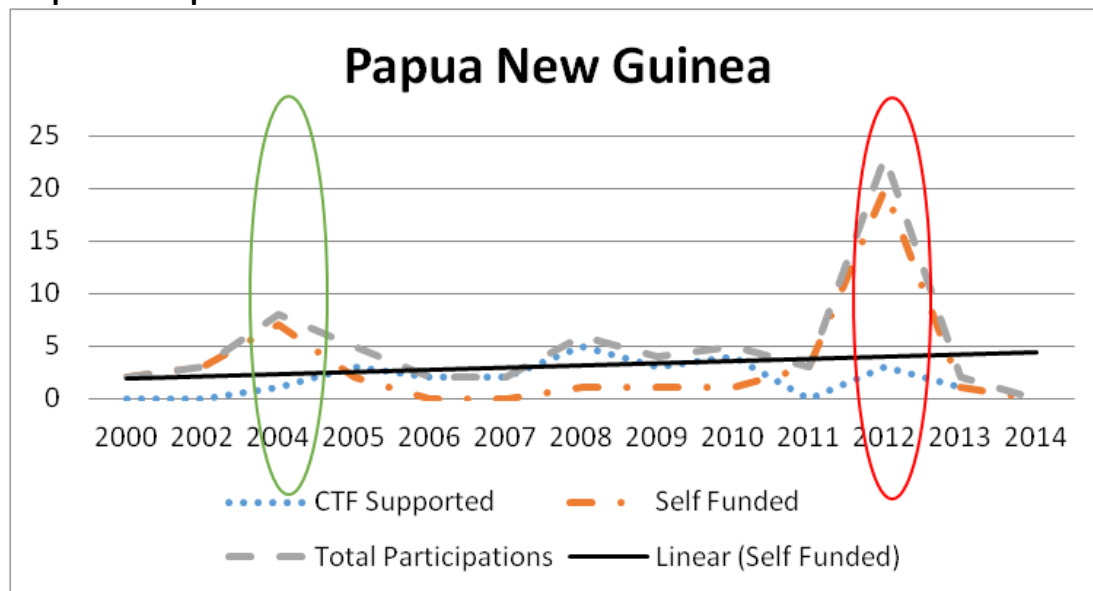


Graph E9: Lebanon

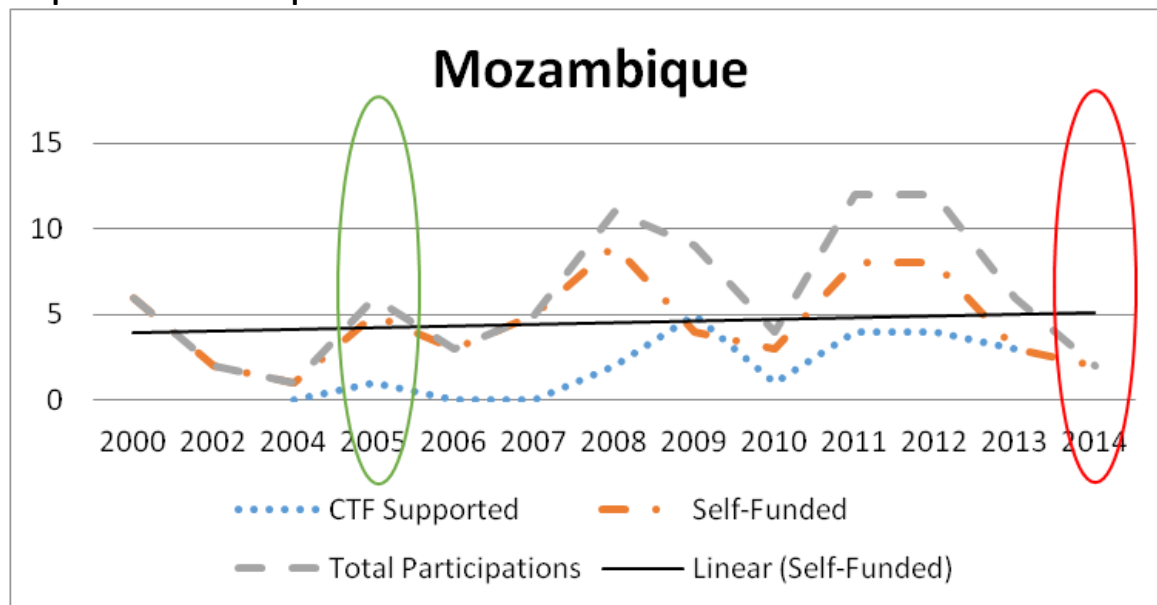


Note: Lebanon is Coordinator of CCNE and hosted the regional meeting in 2013.

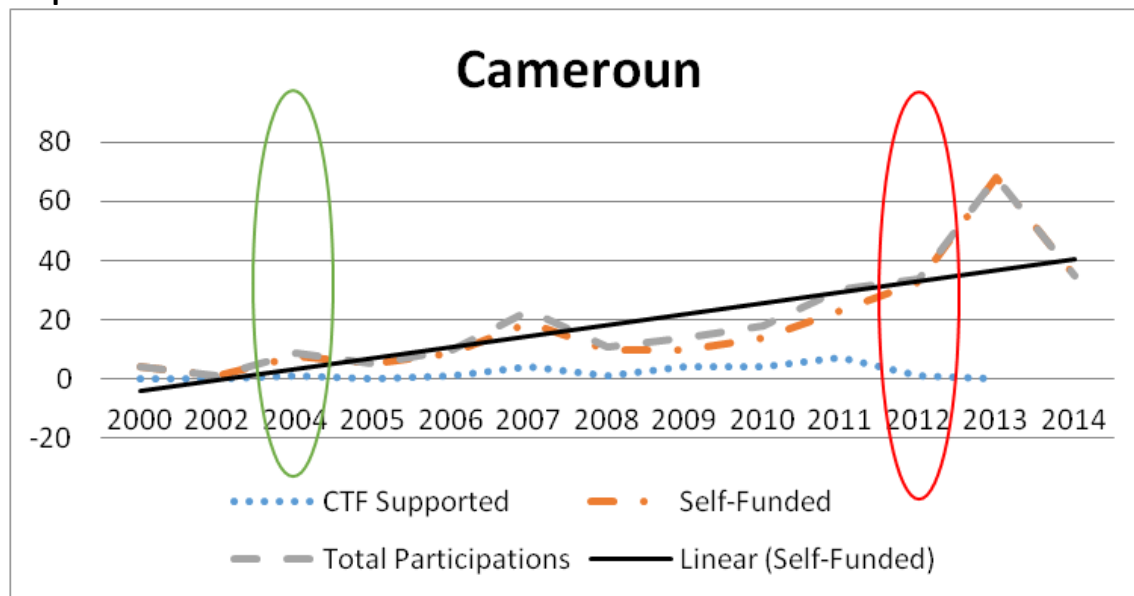
Graph E10: Papua New Guinea



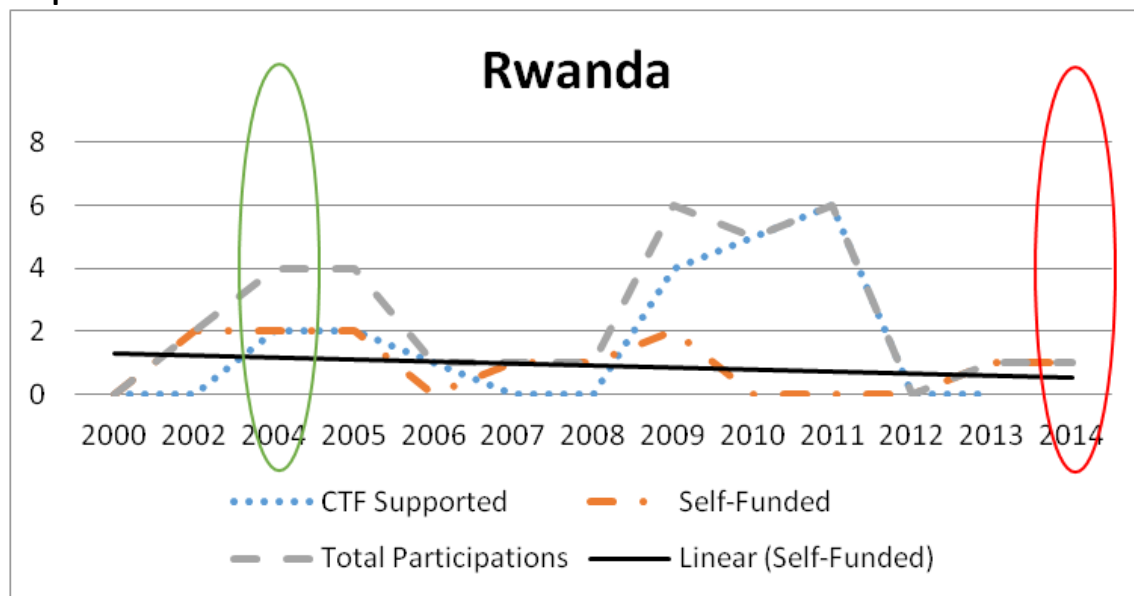
Graph E11: Mozambique



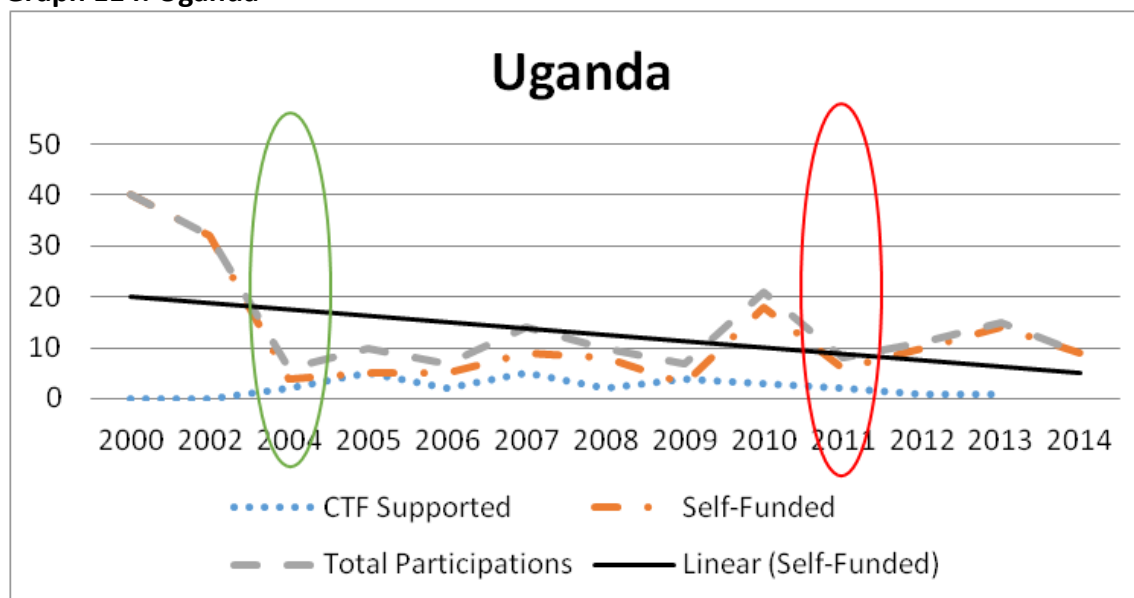
Graph E12: Cameroun



Graph E13: Rwanda



Graph E14: Uganda



ANNEX F: STAKEHOLDER ANALYSIS

The following excerpt is taken from the CTF Evaluation Inception Report.

The WHO Evaluation Practice Handbook outlines the approach to addressing the cross-cutting themes of human rights, gender and equity.

Human Rights

The human rights-based approach entails ensuring that WHO strategies facilitate the claims of rights-holders and corresponding obligations of duty-bearers. When appropriate, evaluations “should assess the extent to which a given action has facilitated the capacity of rights-holders to claim their rights and the capacity of duty-bearers to fulfil their obligations.”²³ According to the stakeholder analysis presented in **Table 2**, the CTF directly addresses the capacity of duty-bearers (i.e., government officials from eligible countries that either attend Codex meetings or participate in capacity building activities). Secondary beneficiaries also include government structures such as Ministries of Health and Agriculture, National Codex Committees, or national or regional standard setting bodies.

Gender

In respect to gender, evaluations should “assess the extent to which WHO actions have considered mainstreaming a gender perspective in the design, implementation and outcomes of the initiative and whether both woman and men can equally access the initiative’s benefits to the degree intended.”²⁴

A stakeholder analysis of the CTF is presented in **Table 2**, based on United Nations Evaluation Group (UNEG) *Integrating Human Rights and Gender Equality in Evaluation – Towards UNEG Guidance*. Ideally such an analysis would have been conducted prior to developing the evaluation Terms of Reference. It has been included in the Inception Report as a means to verify all program stakeholders are included in the evaluation methodology for data collection.

Table 2 – Stakeholder Analysis

Group	From CTF Evaluation Terms of Reference	Suggested Additions
Duty-bearers with the authority to make decisions related to the intervention	<ul style="list-style-type: none">• Donors• CAC	
Duty-bearers who have direct responsibility for	<ul style="list-style-type: none">• Codex chairs• Chairs of Codex committees	

²³ WHO Evaluation Practice Handbook, page 6.

²⁴ *ibid*, page 6.

Group	From CTF Evaluation Terms of Reference	Suggested Additions
the intervention.	<ul style="list-style-type: none"> CGTF (WHO, FAO, CAC Secretariat) Primary beneficiary: Eligible countries and CTF participants such as: <ul style="list-style-type: none"> Codex Contact Points, Other officials on training or meeting 	
Secondary duty-bearers.	<ul style="list-style-type: none"> Secondary beneficiary: <ul style="list-style-type: none"> National Committees RCCs Ministries of Health, Agriculture, Trade, National standards setting bodies, and other Ministries/agencies. 	
Rights-holders who one way or another benefit from the intervention	<ul style="list-style-type: none"> N/A 	
Rights-holders who are in a position disadvantaged by the intervention	<ul style="list-style-type: none"> N/A 	
Other interest groups who are not directly participating in the intervention	<ul style="list-style-type: none"> Eligible countries not accessing CTF 	<ul style="list-style-type: none"> Food industry, domestic and exporting Consumers (Associations) STDF IPPC OIE

According to the stakeholder analysis, the evaluation Terms of Reference correctly identifies the key stakeholders, all of whom are duty-bearers at the national level. Governments are the main target group. The analysis would suggest adding some other stakeholders in the scope of the evaluation, including food industry, consumer associations and similar standard setting bodies, such as the IPPC, OIE, and finally the WTO/STDF.

In respect to gender, the intervention itself does not have a differentiated impact on men or women. That is not to say that standards in general may not impact on productive sectors differently, and that some productive sectors in some countries may have an important gender

considerations. However, the scope of the evaluation is not about assessing Codex standard setting processes, but rather it is focused on the participation of developing countries in the processes.

Some application of gender analysis is warranted, and the evaluation will assess the extent that the CTF has assessed the relevance of the gender perspective in its programming and will capture sex-disaggregated data on the participants that have been supported. As an example, the CTF Monitoring Report for 2012 indicated that approximately 35% of the country representatives who were supported by the CTF were female. The sample of interviewees will reflect this gender distribution. As stated in the UNEG Guidance document, "disaggregation and inclusion of various stakeholder groups is a cornerstone of evaluations that are sensitive to Human Rights and Gender Equity."

Equity

The Codex Trust Fund was established in 2003 with the objective of helping developing and transition economy countries enhance their level of effective participation in the Codex Alimentarius Commission, which aims to establish international standards for food to protect the health of consumers and to ensure fair practices in the food trade.²⁵

The purpose of the CTF therefore, by supporting developing country participation in Codex, supports the principle of equity, which is defined as "the absence of avoidable or remediable differences among populations or groups defined socially, economically, demographically or geographically".

The evaluation will assess the integration of equity considerations in the CTF by assessing the level of participation of developing countries in the Codex processes (which correspond to the objectives of the CTF), and analyse the beneficiaries as Least Developed Countries (LDCs) versus non-LDC countries.

²⁵ 2003 CTF Project Document