

## CODEX ALIMENTARIUS COMMISSION



Food and Agriculture  
Organization of  
the United Nations



World Health  
Organization

Viale delle Terme di Caracalla, 00153 Rome, Italy - Tel: (+39) 06 57051 - Fax: (+39) 06 5705 4593 - E-mail: [codex@fao.org](mailto:codex@fao.org) - [www.codexalimentarius.net](http://www.codexalimentarius.net)

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## Codex Trust Fund Mid-Term Review

Final Report  
30<sup>th</sup> of April, 2010

**Andante - tools for thinking AB**

Kim Forss, team leader

Jens Andersson

Eve Kasirye-Alemu

## Executive Summary

### *Background*

The Codex Trust Fund (CTF) was launched in 2003 to help developing countries and those with economies in transition to enhance their participation in the Codex Alimentarius Commission. It was planned to operate for a period of 12 years. Its three objectives can be summarised to; (1) increase participation, (2) strengthen participation, and (3) enhance scientific/technical participation in Codex.

### *Purpose of Review*

This mid-term review was commissioned in 2009 in order to identify and learn lessons from the first six years of CTF in operation, with special emphasis on impact at national and regional levels. The review should provide recommendations for the remaining project duration, and with regards to continuing or discontinuing the project beyond its 12 year lifespan.

### *Review Process*

The review has been undertaken by a team of three evaluators. The analysis and conclusions are based on visits to 12 countries selected to be a representative sample of CTF beneficiary countries, interviews with stakeholders at WHO, FAO and in donor countries, and global surveys to Codex Contact Points and beneficiaries of the project. The review started in December 2009 and was completed in March 2010.

### *Impact*

There have been significant changes in Codex work at country and regional levels. The food safety and health arena is dynamic. The national institutions are developing and there are now National Codex Committees (NCCs) in most of the countries visited. The policy frameworks have been developed and most countries have clear policies for Codex work and for food safety. In all countries visited during the review, the Codex standards are either used in their existing form or developed and adapted to become national standards. The Codex Contact Points (CCPs) are increasingly visible and have a significant role to play. However, these changes are caused by many factors, not least the political and commercial interests of the countries concerned. Foreign assistance, be it bilateral or multilateral, plays a small role compared to the national efforts. Participation in meetings has been a useful supplement to other activities. The changes observed by the review team have not been caused by the CTF, but it contributed to these changes in a meaningful and worthwhile way.

### *Regional coordination*

One of the important changes concerns the level of regional coordination. There has been an increase in the number of networks in regions and there are more activities in joint training activities, developing

joint positions on technical as well political issues, and also joint research to propose standards. The participation that the CTF has enabled appears to have been a strong contributing factor to these developments.

### *Sustainability*

The changes in the institutional framework around food safety and health were in most parts found to be sustainable. The development of policies is, for example an ongoing process. There is no need to suspect that a policy will be revoked, unless it does not serve its purpose any longer. The institutional framework of NCC commissions and CCPs can be sustained if there is a political and administrative will to sustain them. These institutions are to date financed via government budgets or they rely on people doing the work as part of their salaried posts elsewhere (in government, in research, or in industry). The CTF has not been part of developing structures or processes that cannot be sustained when the project comes to an end.

### *Reaching Objectives*

The CTF has reached its first objective. It funded 1.129 participants from 126 countries between 2004 and 2009. The total number of eligible countries was originally 146, so 20 countries had not applied for funding by 2009. 246 people from 80 countries were sponsored in 2009. It is thus a considerable achievement and a very clear contribution to the objective of “increasing participation”. This is partly explained by the focus on this objective; 90% of the funds and about as much of the administrative resources have been used to make this happen and that is also how the majority of donors and other stakeholders have wished that the funds be spent. An obvious consequence is that the second and third outputs have not really been produced and the related objectives are thus not reached. Some 10% of the CTF funds have been spent on producing training materials and delivering training programmes to improve the quality of participation in Codex Committees. While it is relatively clear what to do in respect of the second objective, the activities that could produce the third category of outputs (enhance technical/scientific participation in Codex) remain to be defined. Effectiveness is commonly defined as whether a project reaches its objectives. At present CTF does not reach its objectives and hence it cannot be called effective. It reaches one out of three objectives. The decision not to work on the other objectives rests with donors and other stakeholders.

### *Efficiency*

The efficiency of the operations has been high and the results in terms of reaching the first objective

were accomplished with very few staff resources. Instead, the CTF built on systems of global indicators for country selection and graduation from the system. These are transparent and have strong support from donors, but are also contested, particularly from countries that have graduated from the system. The indicators that lead to grouping of countries and the system of graduation are not perceived as fair and valid by the countries that have graduated from the CTF assistance, but it is widely supported by donor countries and those countries that continue to benefit from the system.

#### *Recommendations*

The key recommendations are:

1. Focus on the second and third objectives. If these objectives are to be reached during the remaining six years there is a need to quickly expand activities that will produce the outputs and lead to the desired impact. None of the 189 interviews indicated that the objectives were not relevant or suggested that they be cut back. Hence there is a need to quickly make up for the relative neglect of these two objectives during the past 6 years.
2. Focus on countries most in need, follow-up the participation of countries that graduate in 2010 and 2011 and be prepared to respond if participation declines sharply. Focus on countries most in need is priority of donor organisations.
3. Find ways of engaging other countries. Countries that have graduated from the direct support to participation in Codex meetings can have other important roles to fill in the programme, for example in contributing to capacity development through regional coordination, mentorship and twinning activities.
4. Continue to apply and develop further stringent application procedures. There is a need to assess real country needs further and the selection process needs to make increasingly strict qualitative assessment of the applications to participate. Such procedures also force the applicants to develop their institutional capacities and the process is thus an end in itself.
5. Stay focused on participation in Codex. There are many and diverse needs of capacity development but the particular niche and role of the CTF lies in participation in Codex. Hence whatever is done in relation outputs 2 and 3, it should be centered on participation; that is, capacities to participate effectively and development of means to support technical and research inputs in relation to participation in Codex.
6. Increase collaboration with other actors. The development of activities outlined above will mean that there are more capacity building and more opportunities to obtain synergy on operations, and also higher risks of duplicating efforts.
7. Monitoring and evaluation systems can be further developed. Monitoring and evaluation systems need to discern the right opportunities, and should plan for the external evaluation activities well in time. The Mid-term review suggests an overall approach which focuses on three critical areas of needs, qualitative information and selective use of indicators.

The review concludes by weighing the pros and cons of a continued life for the project after the first 12 years of operation. A project is a time bound activity with clear objectives that should come to an end. Still, there is likely to be a need for further assistance. International cooperation to meet needs for technical assistance in the field of food safety and quality should build on a comprehensive and comparative evaluation of all activities in this field. It is recommended that such an evaluation be organized at the end of the CTF programme to provide a basis for decisions on the future activities of WHO, FAO, WTO and other stakeholders.

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## List of Abbreviations

AIDMO	Arabic Industrial Development and Mining Organization
ANSSA	National Food Safety Agency (Mali)
AU/IBAN	African Union/Inter-African Bureau for Animal Resources
BSN	National Standardization Agency of Indonesia
CAC	Codex Alimentarius Commission
CARDS	Community Assistance for Reconstruction, Development and Stabilization (EU)
CCAFRICA	Codex Coordinating Committee for Africa
CCASIA	FAO/WHO Coordinating Committee for Asia
CCCF	Codex Committee on Contaminants in Food
CCEURO	FAO/WHO Coordinating Committee for Europe
CCEXEC	Executive Committee of the Codex Alimentarius Commission
CCFFP	Codex Committee on Fish and Fishery Products
CCFFV	Codex Committee on Fresh Fruits and Vegetables
CCFH	Codex Committee on Food Hygiene
CCFICS	Codex Committee on Food Import and Export Inspection and Certification Systems
CCFL	Codex Committee on Food Labelling
CCGP	Codex Committee on General Principles
CCNASWP	FAO/WHO Coordinating Committee for North America and South West Pacific
CCNFSDU	Codex Committee on Nutrition and Foods for Special Dietary Uses
CCP	Codex Contact Point
CCPR	Codex Committee on Pesticide Residues
CTAA	Centre Technique de l'Agro-Alimentaire
CTF	Codex Trust Fund (or formally the FAO/WHO Project and Fund for Enhanced Participation in Codex)
DFID	Department for International Development (United Kingdom)
EC	European Community
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FOS	Department of Food Safety and Zoonoses (at WHO)
GAP	Good Agricultural Practice
GDP	Gross Domestic Product
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit (Germany)
HACCP	Hazard Analysis Critical Control Point
IICA	Inter-American Institute for Cooperation on Agriculture
IPPC	International Plant Protection Convention
JECFA	Joint FAO/WHO Expert Committee on Food Additives
JEMRA	Joint FAO/WHO Expert Meetings on Microbiological Risk Assessment
JFDA	Jordan Food and Drug Administration
JISM	Jordan Institute for Standards and Metrology
LAC	Latin America and the Caribbean
LDC	Least-developed country
LHD	Low human development country
LIC	Low-income country
LMC	Lower middle income country
MBS	Malawi Bureau of Standards
MHD	Medium human development country
MOU	Memorandum of Understanding
MRL	Minimum residue levels
NCC	National Codex Committee
NSCP	National Society for Consumer Protection (Jordan)
OIE	World organisation for animal health
PAN-SPSO	Participation of African Nations in Sanitary and Phytosanitary Standard-setting

	Organisations
PSC	Programme support costs (in WHO)
R&D	Research and development
SACAU	Southern African Confederation of Agricultural Unions
Sida	Swedish International Development Cooperation Agency
SPS	Sanitary and phytosanitary measures
STDF	Standards and Trade Development Facility
SWP	South West Pacific
TBS	Tanzania Bureau of Standards
TBT	Technical Barriers to Trade
TCBDB	WTO/OECD Trade Capacity Building Database
TFDA	Tanzania Food and Drugs Administration
TSPN	Trade Standards Practitioners Network
UMC	Upper middle income country
UNDP	United Nations Development Programme
UNIDO	United Nations Industrial Development Organisation
US	United States
USD	United States Dollars
USDA	United States Food and Drug Administration
WHO	World Health Organisation
WTO	World Trade Organisation

## Chapter 1. Introduction

### General Background

The Codex Alimentarius is a global reference point for consumers, food producers, national food control agencies and international food trade. The Codex Alimentarius system presents an opportunity for all countries to join the international community in formulating and harmonizing food standards and ensuring their global implementation. Simply stated, the Codex Alimentarius is a collection of standards, codes of practice, guidelines and other recommendations. Some of these texts are very general, and some very specific. Some deal with detailed requirements related to food, others deal with the operation and management of production systems, or the government regulatory systems for food safety and consumer protection.

These standards etc. are developed through the work of the Codex Alimentarius Commission, which was established through resolutions of the FAO and the WHO in the 1960s. The Statutes and the Rules of Procedure specify the working procedures<sup>1</sup> of the Codex Alimentarius Commission. As stated in Article 1 of the Commission's Statutes, one of the principal purposes of the Commission is the preparation of food standards and their publication in the Codex Alimentarius. The legal base for the Commission's operations and the procedures it is required to follow are published in the Procedural Manual of the Codex Alimentarius Commission. They involve:

- The submission of a proposal for a standard to be developed by a national government or a subsidiary committee of the Commission.
- A decision by the Commission that a standard be developed as proposed.
- The preparation of a proposed draft standard is arranged by the Commission Secretariat and circulated to member governments for comment.
- Comments are considered by the subsidiary body and a draft standard presented to the Commission
- Once adopted by the Commission, a Codex standard is added to the Codex Alimentarius.

The Commission and its subsidiary bodies keep the Codex standards and related texts up to date to ensure that they are consistent with current scientific knowledge and the needs of the member countries. The procedure for revision or consolidation of a standard follows the process used for the initial preparation of standards. Codex standards are recognized by the World Trade Organization (WTO) Agreement on the Application of Sanitary and Phytosanitary Measures as the international benchmark of food safety.

Although developing countries constitute a majority of the CAC, their participation was deemed to be low in CAC and its various committees, hence their impact on the development of standards have been insignificant. When the Codex Alimentarius as a whole was evaluated in the

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<sup>1</sup> An overview is provided in the WHO and FAO publication "Understanding the Codex Alimentarius", available at [www.codexalimentarius.net](http://www.codexalimentarius.net)

beginning of this decade, this was confirmed and one of the major shortcomings was said to be the absence of many developing countries from the negotiating tables. Food exports are an important source of income for many of these countries, and hence there is a need to apply standards in order to access export markets. The question of food quality and food safety for imports as well as for locally produced foods is also important and there is an urgent need to develop and apply standards.

### Creating the Codex Trust Fund

The FAO/WHO Project and Fund for Enhanced Participation in Codex (hereinafter referred to as the Codex Trust Fund or CTF) was launched in 2003 and became operational in 2004 to support broader and more effective participation by developing countries, especially the Least Developed Countries (LDCs) and countries with economies in transition, in the development of global food safety and quality standards in these areas.

The long-term goal of the CTF as expressed in the project document is; *to further the improvement of global public health and food security by promoting the provision of safer and more nutritious food and contributing to a reduction in foodborne diseases.* Its purpose is; *to help developing countries and those 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.*<sup>2</sup> In addition to this goal it was stated that increased participation in Codex activities should help to enhance international food trade opportunities for developing countries and countries with economies in transition. The three immediate outputs of the Codex Trust Fund were expected to be;

1. Widening participation in Codex. The number of countries routinely providing delegation 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 the 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.

When it was launched, the CTF sought funding of 40 million USD over a 12-year period. CTF operations are guided by the FAO/WHO Consultative Group for the Trust Fund. This group consists of senior FAO and WHO staff. Daily management is implemented by the CTF Secretariat which consists of an Administrator working on a short term contract 50 % of full time and a fixed term secretarial post established at 80 % of full time (both increased to 100% at the end of 2009). The Secretariat is located at the Department of Food Safety and Zoonoses (FOS) at WHO and works in close coordination with FAO.

### Purpose

As half of the time of the expected 12-year project has passed, this mid-term review was launched in order to evaluate the progress of the Codex Trust Fund to date and provide actionable recommendations that can be applied looking forward to the second half of the Codex Trust Fund lifespan and beyond. The specific objectives of the review are to:

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<sup>2</sup> Project document “WHO/FAO project and fund for enhanced participation in Codex”, 17 June 2003

- Identify and learn from the successes and weaknesses of the Trust Fund in its first 6 years of operation in regards of progress towards its key expected results, with special emphasis on its impact at the national and regional levels.
- Provide recommendations for refining or adjusting the focus of the Trust Fund's activities for the remaining project duration with a view to enable the project to achieve a sustainable impact.
- Provide recommendations with regards to continuing or discontinuing the project beyond its 12 year lifespan with benefits and risks of each.

The Terms of Reference for the evaluation are enclosed in Annex 1.

## Methods

The evaluation has been undertaken by a team of three persons. Jens Andersson has a background in development and trade policy and has worked extensively as a consultant to Sida and the Swedish Ministry for Foreign Affairs. Eve Kasirye-Alemu was Executive Director of the Uganda National Bureau of Standards and has long experience of managing food safety programmes. Kim Forss has acted as team-leader and manages a company specialised in evaluation research. The evaluation team started working in November 2009 and presented the draft evaluation report in March 2010. The evaluation builds on three sources of evidence:

- Country studies in a total of 12 countries, selected to represent different regions, country categories and levels of participation in Codex work. The country case studies synthesized information from databases on the participation in Codex meetings, document analysis (such as applications and reports from beneficiaries) and interviews. Each country visit lasted some 2 – 3 days. During the country visits we interviewed the Codex Contact Point (CCP), the persons who had benefitted from the CTF by taking part in training and/or meetings (“beneficiaries”), the Chair and possibly members of the National Codex Committee, the FAO and WHO representatives, and other stakeholders that are engaged in food safety issues, standards setting and research. Table 1 shows the countries visited during the evaluation.
- Interviews with a number of other stakeholders such as; staff and management of the CTF Secretariat, staff and management of the FAO Codex Alimentarius Secretariat and the FAO Nutrition and Consumer Protection Division, Chairs of a select number of Codex Alimentarius Committees, representatives of donors to the CTF (as well as of some “potential” donors that have not yet committed any funds to CTF). Annex 2 presents the list of persons interviewed in the course of the evaluation, including during the country visits. In total we have interviewed 189 persons. The evaluation used an open but structured format for interviewing and the interview guidelines are presented in Annex 4.
- Surveys were sent out to CCPs and to a randomly selected number of beneficiaries. As we did not visit more than 12 countries, we needed an instrument to collect more widely spread opinions on the operations of the CTF as well as on the experiences of results (or lack of results) in other countries. The response rate to the CCP survey was slightly above 50%, and the response rate from beneficiaries slightly lower. The results of the survey are presented in the analysis below, where they shed light on various issues. Annex 4 contains the survey questionnaires.

The evaluation has also used a number of documents that helped to understand the CTF, for example the applications and reports back from beneficiaries, program proposals, strategic planning exercises, the CTF reports to donors, and the studies/evaluations that were commissioned in the past.

**Table 1 List of countries visited in the course of the mid-term review**

Region	Countries currently benefitting from the CTF	Countries that graduated from the CTF
Africa	Ghana, Malawi, Mali, Tanzania	
Asia	Laos, Indonesia	
Europe	Armenia, Serbia	
Latin America		Argentina, Bolivia
Near East	Jordan	Tunisia

### Can the Evaluation Findings be Trusted?

There are different problems concerning validity and reliability<sup>3</sup> in different parts of the evaluation. When we discuss impact of participation in the CTF, the reader must bear in mind that we have only visited 12 countries, less than 10% of the countries that have benefitted from support provided through the CTF. Having completed the country studies, we were surprised to find a much higher level of institutional development on Codex work than we had expected. We will treat impact in the next Chapter, but we can already say that we found that many things were happening in relation to Codex work in all the 12 countries. But what does it look like in other countries? Surely the rate of progress cannot be as high everywhere else as it has been in these countries? We have probably ended up with a positive bias in our sample of countries; it would be prudent to keep that in mind when looking at results.

The main problem when analysing results and impact at country and regional level has been to assess the contribution of the CTF. In many cases there has been much progress on Codex work, national committees established, policies formulated, contributions to the Codex committees, comments on draft standards, development and adaptation of Codex standards to national standards, etc. There has been a noticeable and well documented development of capacities. The problem is that many actors have contributed to this. There was technical assistance from other specialised agencies, not least FAO. Many bilateral programs support capacity development, and in some cases there were huge investment programmes financed by World Bank loans that financed both physical infrastructure (research facilities) and human resource development. The CTF played a role, but was it catalyst of other activities, did it initiate events, or how important was it in the causal chain? The question of attribution and/or contribution is addressed in the next Chapter, but we point to it here as a major methodological issue.

The focus of our discussion of results and impact lies on events at country and regional levels. While we have tried to get an understanding of the working of different committees, we have not really been able to analyse the full range of changes that may have happened as a result of the increased participation. This means that the accumulated inputs to the negotiating process in terms of scientific evidence as well as political and commercial interests remain a black box. We have not assessed the negotiation, coalition-building and voting patterns either, and hence we have no data on real changes in Codex standards nor on whose interests such changes serve.

<sup>3</sup> Validity – whether our data really allow us to conclude on the questions we answer; reliability – whether the data we have assembled are trustworthy, that is, for example if another interviewer would get the same response.

Another difficult assessment relates to the efficiency of the CTF. In most circumstances efficiency is assessed by defining the ratio between output and costs. The first criterion is that this ratio should appear reasonable and positive and that is usually arrived at through benchmarking. However, there is no similar operation anywhere and hence there is no obvious benchmark. Our analysis of efficiency builds on tentative comparisons, but it is weak and must be interpreted with great care.

With these shortcomings in mind, there is still quite a lot that can be said about the CTF. There is a surprising degree of correspondence between our different sources of data. The surveys confirm the conclusions that arise out of the country studies and the interviews (although at times on other topics) tend to point in the same direction. The reliability of the evaluation therefore is quite high, but for the reasons mentioned, validity is more problematic and must be interpreted cautiously.

### **Guide to the reader**

This report follows a simple logic. We start with the overall impact at country level as we think that is the most interesting subject and the one where there is the least of prior knowledge. The analysis of impact also indicates where the focus should be when tackling the subjects of how the CTF has been set up, what the goals and objectives were, what programme logic it follows and what the strengths and weaknesses in the operation are. There is thus a logic of “if it ain’t broke, don’t fix it” and that means that it is necessary to start looking at impact before analysing what can be “fixed”. The recommendations depend not only on evidence of impact, though, but also on potential for collaboration with other agencies, the expectation of partners, etc. and hence the latter Chapters bring in the data collected from these interviews. The final Chapter concludes on the evidence of results and impact and presents recommendations in respect of, (1) refining and adjusting the operations of the CTF for the remaining 6 years, and (2) whether there might be a need for continued activities after that.

## Chapter 2. Impact at Country level

### Impact of the Trust Fund Activities

The question of impact<sup>4</sup> is complex but knowledge of impact is a key dimension of any assessment of a programme. During the country visits, in particular in the meetings with stakeholders in governments and industries, the evaluation gathered much evidence on the nature of impact, the difficulties in creating an impact, and the diversity of impacts.

The Terms of Reference for this evaluation asks three questions about impact: What has happened as a result of the project? What has been the impact at the country/regional levels? Can changes be observed in beneficiary countries? In the course of the evaluation the question has often been raised, and people often asked whether it is possible to measure impact. The answer to that question is; “Yes, of course”. But that does not necessarily mean that it is a useful exercise. Impact can be measured but one must remember that measurement presupposes a scale. The question is rather, what kind of a scale and what does it mean to assign values on a scale. In research, several scales are used, from simple ordinal scales to ratio scales. A ratio scale requires very precise data. An ordinal scale is more basic and can use qualitative data and would consist of categories that rank activities, such as these:

- Highly satisfactory
- Satisfactory
- Unsatisfactory
- Highly unsatisfactory

Many agencies in development cooperation use such ranking scales when they assess impact (the World Bank, to mention one). In the course of this evaluation we have observed several activities by the National Codex Committees and other organisations. We could surely have rated our observations on that scale. The question is whether that information would be of much interest and relevance?

The value judgement that such measures are based on is subjective. The problem is, whose judgement would be used to measure and what kind of empirical data would support the measurement? There are different kinds of impact, with a variety of potential consequences, and it is difficult to say, for example, that offering a training programme of a day on the Codex Alimentarius and its committees will lead to effective participation, or whether interaction in a twinning programme would yield the same results. There is no objective way to judge one to be better than the other, nor even to pronounce them equally good, which might come to be implied on a scale such as the one illustrated above.

In order to measure impact, it is also necessary to study the universal population. This would necessitate a classical application of causality, that is, to find out whether the project is both necessary and sufficient for the impact to be observed. We have never, during the conduct of this evaluation, encountered any such causal links. The CTF has often had a role to play, but it has always been one contributing factor among others. The idea of measuring impact should thus be

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<sup>4</sup> The common definition of impact in development cooperation is “*positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended*” (Molund & Schill 2004: 102). We use impact in the same sense, the purpose here is not to define the word but to find out and describe what it means in practice.

abandoned. It could be done, but it would neither be relevant nor interesting. It would be a costly and impractical exercise, yielding little of valuable information. It is better to use the resources to assess impact.

### Assessment of impact

Instead of measuring impact, we can describe impact and based on this description we can assess it and make a conclusion on its worth and merit<sup>5</sup>. Information and knowledge are effectively contained and disseminated in narrative form. By providing concrete and critically examined examples of how project activities affect Codex work it is possible to discuss whether that impact is high or not, whether it has been achieved at a reasonable cost, what the obstacles were, and how it can be sustained or increased. That is a far more interesting discussion than to present measures on a scale.

Let us give an example of how impact can be assessed. One person from Bolivia took part twice in the Codex Committee on Milk and Milk Products (2005 and 2008). Before the first meeting, a national position on the issues to be discussed was developed. In between the first and second participation, Bolivia corresponded with the Committee and forwarded the Bolivian position on proposals to be discussed in meetings. After the participation in 2008, the sub-committee of the Bolivian National Codex Committee chaired the work of analysing standards from the Codex Committee, followed up with research and developed adapted proposals for national Bolivian standards. Five such standards were adopted in 2008 and 2009.

As this example shows, impact is observed as a case that can be revealing and instructive. It is described as a short story. It should not be frowned upon as anecdotal - stories form the stepping stones of knowledge, and case studies can be observed and recounted systematically, objectively and with scientific rigor. Stories have always been effective and efficient means of communication and such cases can be vehicles to convey information on how impact is created and how it can be supported.

The most difficult question to answer here is whether the development of Bolivian standards should be attributed to the CTF. Our response would be “certainly not!” First, if we look at the total effort involved in creating these five standards it is quite clear that most of the work occurs in the Bolivian environment, in the national Codex committees, in research institutes, in the ministries of Health and Agriculture, and so on. The CTF contribution to the participation in the two Codex meetings amount to some USD 20.000 at the maximum. The national Bolivian inputs would be valued much higher. Nevertheless, the participation appears to have enhanced the work in Bolivia, motivated the staff, and gave concrete inputs to the work. Without those inputs, the standards development might have occurred anyway, but in all likelihood later and perhaps not as extensively. When the counterfactual situation was discussed with various experts in Bolivia, that’s what they suggest. The CTF participation has contributed to the development of standards for milk products in Bolivia, but the change in standards and the subsequent changes in, for example, prevalence of infant formulae and their contents cannot be attributed to the CTF participation. The difference here lies in the two words attribution and contribution, where the former denotes a classical causality mechanism and the latter multiple causality. In the following, we are dealing with contribution.

### Main types of impact

Before proceeding to the analysis of impact, it is necessary to unpack the concept. The word impact is deceptively simple, but it covers a wide variety of empirical facts. In order to analyse

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<sup>5</sup> Evaluation is commonly defines as “a systematic inquiry into the worth or merit of an object” (Joint Committee on Standards, 1994)

and discuss impact, we found it necessary to structure the discussion according to different categories. The question of impact can be approached by looking at the CTF project document. The outputs that are provided don't give much guidance, but the overall goals and purpose serve as a starting point. They explain what is meant to happen as a result of participation in Codex meetings and that, by definition, is the same as impact. The project document says that; "The long-term goal is; *to further the improvement of global public health and food security by promoting the provision of safer and more nutritious food and contributing to a reduction in foodborne diseases.* Its purpose is; *to help developing countries and those 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.*"

If we were able to find that there is an improvement in public health and in food security, that food is safer and more nutritious and that foodborne diseases are reduced, and if that can credibly be linked to the development of standards and to participation in Codex, that would be a strong argument for impact. While that is probably the case in the long run, it is certainly a process of development that takes more than 5 to 6 years to happen. We have not been able to document any real improvement in either public health or food safety that could be connected to participation in Codex meetings (but the Bolivian example above points to a probable link). But we have seen examples of the development and adaptation of standards in connection to participation in Codex meeting and that is a critical link along the way to improved food security.

It is more fruitful to look at the purpose of the CTF. An impact of increased and strengthened participation (cf. the project outputs) could be that countries more effectively participate in the development of global food safety and quality standards by the CAC. Such effective participation would be connected to a number of process and structure issues; for example, the submission of proposals to the Codex committees, comments on proposals, using global standards to develop national standards, building organisational structures through which these activities take place, and developing national policies to guide these processes. In the following we will thus start by analysing the development of institutions in the countries that were visited in the course of the evaluation<sup>6</sup>.

### Changing Framework of the National Codex Activities

The first question is thus what structures have been put in place to develop food standards. Table 2 sums up the experience in the 12 countries visited. The table summarises some basic data; year of joining Codex and establishing some institutional framework, and connection to government ministries. In more detail, we could point to the example of Ghana which is interesting because it has a long history of varied involvement in Codex over the years. Ghana was the first African Country to host the Codex Coordinating Committee for Africa (CCAFRICA) in Accra in 1975, after the first meeting of the Coordinating Committee, which was held in Rome in 1973. Ghana's participation slowed down and eventually Ghana had very minimal, if any, involvement in Codex activities. Following a hiatus of some 15 years, 1996 saw efforts to reactivate the Codex Contact Point. Ghana revived its interest in Codex and now has a National Codex Committee (re-inaugurated in 2003), which comprises 22 members. Under the NCC are the Shadow Codex Sub-Committees, which handle Codex standards work, including preparation for Codex meetings as well as developing a draft national position. A library of Codex documents and materials has

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<sup>6</sup> These categories of impact were derived from the empirical data obtained through country visits. The evaluation team did not define these impact categories in advance, nor did we get them from the project plans. Did we capture all categories of impact? The conceptual framework of impact categories is our own. It is based on the empirical findings but it is also supported by literature on institutional development. Would it be possible to define other categories? Yes, in theory another country visit may have brought up some form of impact that was not seen in the countries visited. It is also possible that we missed, or misrepresented, some of the information we received. Nevertheless, these categories do capture all our findings – hence if we did not find any other form of impact, it was probably not to be found.

been built up. Ghana has a Strategic Plan for Codex and has a bank account opened and operational for purpose of Codex work. The Strategic Plan is funded by five line Ministries, which are expected to donate into the account equally, but at the moment some Ministries do not comply. The account has funded some delegates to Codex meetings or projects. In a longer perspective the past 15 years have thus seen a strong development of institutions in the field of food safety and health, including institutional networks. Participation in Codex meetings with CTF funding had an important role to play as the international exposure provides strong incentives and intellectual inputs to the work done in Ghana.

**Table 2 Codex institutions in countries visited during the evaluation**

Country	Year of origin of NCC	Comments
Armenia	1994	Member of Codex since 1994, no NCC, CCP since 2007. Ministry of Agriculture
Argentina	1973	Participated through government agencies at first, NCC developed in 2000. Ministry of Agriculture leading
Bolivia	1997	Ministries of Health and Agriculture, but Secretariat under standards bureau.
Ghana	1973	Codex work revived in early 2000 and Commission recreated 2003
Indonesia	1986	First CCP in Ministry of Health, transfer to National Standardization Agency in 1998.
Jordan	NA	JISM created 1972, became independent 1995, current CCP and Chair of NCC. Ministry of Industry and Trade
Laos	1998	CCP and Codex Secretariat based in Ministry of Health.
Malawi	1996	Technical assistance team financed by FAO
Mali	2003	14 operational sub-committees. Ministry of Health
Serbia	NA	Codex in Yugoslavia since the 70's but disrupted in the 90's, Serbia starts from scratch, no NCC
Tanzania	1974	TBS, Ministry of Trade and Industry
Tunisia	2000	Commission under Ministry of Industries, CCP with CTAA, bilateral and multilateral TC

Another pattern of development could be seen in Tanzania. The Tanzania Bureau of Standards (TBS) and the Tanzania Food and Drugs Administration (TFDA) are the lead agencies for food safety (control and regulation) in Tanzania and they have a high degree of cooperation with specific non overlapping mandates. The standards setting, including Codex standards, is conducted within technical committees established in TBS, and which are composed of representatives from government ministries, institutions, academia, industry, consumers, experts and other stakeholders. TFDA is the lead agency on matters of food control and regulation. The CCP and Codex Secretariat are under the Agriculture and Food Standards Section of TBS, which is responsible for development of food standards. The Codex Committees are also under this section. Work from the Codex Committees is fed into the main national technical committees for processing into national standards or developing a position to input into global Codex work. Both TBS and TFDA have various technical departments, analytical laboratories and inspection/certification (conformity assessment) responsibilities. Both of these organisations date back to the 1970s and they were built with technical cooperation of both bilateral and multilateral agencies. The present CTF assistance thus fits into an institutional structure that has been in

place for decades and while it contributes to its functioning, the contribution is small in comparison to other programmes of technical assistance.

While these two African examples point to a rather small contribution from the CTF, it could be argued to have played a more significant role as a catalyst in Armenia. Armenia was not very active in Codex work until 2007, when the responsibility for the CCP was transferred to the Ministry of Agriculture. The key reason seems to have been that the Ministry of Agriculture was given the responsibility for food safety in the new food safety law. This should also be seen in a context where FAO was implementing a larger food safety programme in Armenia and Georgia, including organising a workshop on setting up a NCC (requested by the CCP and with CTF sponsored participation). This was well attended by relevant stakeholders. After that a draft proposal for a NCC was produced and it is now awaiting prime-minister decision since the NCC is inter-institutional. The combination of participation in Codex meetings and having technical cooperation projects produced quicker developments in the field.

Jordan has also developed Codex work quickly, but the decisive moment was when Jordan became member of WTO in 2000. This led to the creation of the NCC, in order to comply with the WTO agreement on Sanitary and phytosanitary measures (SPS), which mentions Codex. The NCC became effective in 2003, when Jordan became regional coordinator for the Near East. According to some stakeholders the NCC seems to have become more or less ineffective from 2007, when the role of regional coordinator was transferred to Tunisia. Jordan is also unique in the region by having created a national food and drug administration, which could be expected to take over responsibility for Codex issues in the future. Overall, the contribution of the CTF in Jordan has been minimal.

Indonesia has several institutions dealing with food safety and regulation. The CCP was located in Ministry of Health under the unit responsible for drugs and food control, but it was transferred to the National Standardization Agency of Indonesia (BSN) in 1998. The CCP Secretariat coordinates the Codex work in Indonesia, manages all arrangements, communication, document circulation, meetings and monitoring. The Codex work is mainstreamed into the overall national standard development process for food standards. Indonesia has Codex Committees, which are mirrors of the global Codex Committees. However, the development of food standards based on Codex is decentralized into the Technical Codex Committees assigned to the various core government Ministries/Agencies responsible for the particular regulation or food control. The Codex institutions in Indonesia were in place prior to the CTF and their changes are attributed to existing national policies.

The NCC in Laos was set up in 1998, but it is during the last 5 years that it has become active with a clear membership and holding of national Codex meetings. Despite the limited capacity for testing and analysis, since 2008 the country is starting to collect scientific data for pesticide residues levels for use in determining maximum residue limits. There are also studies on some aspects of microbiological contaminants in foods. The Lao Ministry of Agriculture is focusing on developing a national Good Agricultural Practice (GAP), much as a result of the awareness created after members from the Ministry attended CCPR. The Director of the Regulatory Division in the Ministry spearheaded the review of Pesticide Regulations after attending a CCPR meeting in Beijing in 2009. Officers in Ministry of Agriculture talk about a movement from quantity to quality, for example, strengthening Nutrition and Food Safety issues.

In sum, the overall picture is one of significant development of the institutions dealing with food safety; during the past decade there has been a significant development of new institutions, institutional changes, and recreation of institutions that had declined since the 1970s or 1980s. There are many driving forces behind these changes and most significant may be the growth of

international trade and the WTO framework for trade negotiations which forces countries to apply standards of food safety. However, domestic concerns for food safety have also triggered the development of Codex work. The CTF has been a welcome addition in this development and many who have participated in Codex meetings have returned to a dynamic environment of institutional change and development, where it has been possible to work practically with standards development.

### **Development of National Policies**

The institutional framework is one thing, the national policies another. Some countries have a strong policy framework which is formalised in policies for food safety in the country and in respect of the country's participation in Codex. In other countries the institutions are in place but there are no formalised policies guiding their work. In some cases the policy content could be seen to evolve within the institutional framework without necessarily being formalised. It is also possible that institutions are strong and policies weak, or for that matter, that both are weak. This section reviews what the evaluation found about policies during the country visits.

Bolivia is an interesting case as there is no national policy for Codex. On the other hand, Codex is connected to other policy objectives; in particular the achievement of zero malnutrition. Codex norms and standards enter that policy objective by providing standards – in particular in respect of infant formulae. What we see here is that important policies that give significance to Codex work may not be specific Codex policies, but could be formulated in terms of broader health or social objectives. Addressing malnutrition is the policy objective, and Codex is important as long as it has a bearing on that policy objective – which it obviously has. The low level of political attention to Codex may reflect the technical and instrumental character of the work done and may not be a problem in its own right. Even if Bolivia has no formalised national Codex policy, there is a coherent approach to Codex work with stable funding, an institutional framework and lively networks between organisations.

The situation is different in other countries. Ghana has taken a more formalised route and is preparing a National Food Safety Policy with technical support from WHO. Malawi has a National Standards Law, which encompasses food standards. But in both these countries there is no formal national policy on Codex work. In another African country, Mali adopted a National Policy for Food Safety in 2003. The National Food Safety Agency (ANSSA) was created by Law of December 30, 2003, to implement the Policy for Food Safety. The establishment of a NCC was based on a Decree by the Minister of Health and there is aspiration to include it in a law, with a clear emphasis on Codex and provision of a budget for Codex work.

Jordan has an Agriculture Law and a Food Control Law. The latter was recently developed within a twinning project between JFDA and the Danish Veterinarian and Food Administration that lasted for 30 months. It is similar to EU standards and is very similar to the Danish law, including issues such as consumer awareness, auto control etc. It is also the first law in the region that is risk based. The national society for consumer protection has been promoting a law on consumer protection for 15 years and has been promised that it will be passed in 2010.

The cases show that there is a swift legal development in many countries. In Serbia a range of laws has been adopted lately and last year a Food Law was finalised (which was approved by the EU). In earlier drafts it included the establishment of an independent Food Agency, but in the final version the responsibility was instead shared between the ministries of agriculture and health, with the Ministry of Agriculture given the main responsibility for food safety in collaboration with the Ministry of Health. The latter ministry is given responsible for nine types of food, including children's food, salt, water, dietary supplements and additives. The law is an

improvement, since previously there was overlap between the two ministries and producers were visited by several inspectors. Now, division of labour is clearer.

Laos also has a National Food Policy and a National Food Law. Codex is reflected in both documents as a reference. However, lack of mechanisms and resources for implementation of food safety pose a significant hurdle. A national high level policy body, the National Food Safety Commission exists for food safety matters. By and large, these concerns resonate in all countries. Legislation and the setting of standards are the first stepping stones and what comes after in terms of supervision and control requires more effort.

Like Bolivia that was mentioned initially, Tunisia is a country that has clear priorities for its participation in Codex work but which has not formalised a policy for Codex work as such. The policy content is that Tunisia takes part in some horizontal committees of general interest (hygiene, food additives and inspection systems) and two others (oils and fats, and fruits and vegetables). These committees reflect the priorities of the Tunisian export industry and public concern of food health and safety. It sets a clear line of responsibilities and it also matches institutional structures in the country. It is only recently that a national policy is emerging and in fact, it is not really a full national policy on Codex work. But there are several elements to such a policy:

- there is a clear priority in respect of which Codex committees are most important to Tunisian interest and where the country will participate – with or without personnel actually going to meetings.
- there are the occasions when a national policy has been taken on a specific issue. That has happened on three occasions; on genetically modified crops, on the composition of olive oil, and an issue relating to sorghum.
- Tunisia agreed to become the regional coordinator and thus has accepted a higher degree of responsibility and commitment.

To what extent can these policy developments be related to the CTF and is it at all meaningful to discuss them in terms of impact? It is meaningful in the context of the formulation of purpose for the CTF; *“to help developing countries and those 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”* and to the extent that formulating a national policy for food safety, as well as a national policy for Codex, are stepping stones in that direction. But how has the CTF contributed to these policies? In many cases not at all, as the policies were either fully formulated or the process had started before the CTF was created. But in other cases the participation in Codex meeting has necessitated countries to reconsider the status of policies. Exchanges with delegations from other countries highlight the need for policies, and the application process – which implies both an institutional and policy framework – encourage thinking and efforts. The contribution of CTF is marginal but also in some cases catalytic, but it would always be a small contribution.

### **Changing Work Conditions of Codex Contact Points**

The Codex Contact Point is a key feature of the institutional development of Codex work in countries and it is through the CCP that much of the practical work to benefit from the CTF is channelled. In this section we review how the CCP is set up, how it evolves and what the constraints in the office are, with selected examples from country visits.

The first example comes from Malawi. The Malawi Bureau of Standards (MBS) hosts the CCP and Codex Secretariat and is thus the pivotal point in coordinating all concerned parties for

Codex work in Malawi. MBS is also responsible for formulation of all Malawi National Food Standards and standardization in all other sectors of the economy, in addition to that of food. The institution has about 160 employees located at Headquarters offices in Blantyre and 3 districts of Malawi. MBS is an autonomous body under the parent of Industry, Trade and Private Investment. Under the new Government policy, MBS is supposed to commercialize and generate its own financial resources, which might marginalize Codex work, if Government does not prioritize Codex and allocate a budget for the work.

In Mali, The National Food Safety Agency (ANSSA) was created by Law No. 03-043 of December 30, 2003, as the main instrument to implement the policy for Food Safety. The ANSSA is an autonomous Agency with its own budget and Board of Governors under the parent Ministry of Health. Previously, a Food Safety office was established within the Ministry of Health and the office was responsible for the Mali Codex Contact Point (CCP) and Mali's participation into Codex work. When the ANSSA became operational, the CCP was transferred to ANSSA up to today and the Agency also serves as the national Codex Secretariat.

In Bolivia the CCP was hosted by the Bureau of Standards, but in Tunisia it was hosted by the CTAA, a development agency for agro-industries with an emphasis on applied R&D. In other countries, such as Argentina, the CCP is located in a government Ministry (in that case, the Ministry of Agriculture). However, the actual position of the CCP and the institutional home may matter less, or rather, the most effective solution is in some countries to place it in a ministry, in other countries with the standards organisations and in yet others in R&D, or something else. It would depend on the context and the main thrust of Codex work in that particular country. In Argentina the Codex has always been important and had a high profile, strongly linked to the importance of agro-industries in the country. In Tanzania other solutions were found, closer to standards work, more technical and less politically oriented. There is no ground for saying that the one is better than the other generally speaking. It would take more knowledge of either country to suggest other structures, but that being said, the structures and processes are certainly everywhere gradually changing and evolving.

Against that background the impact of the CTF can be discerned. The CTF's impact on the CCP and the institutionalisation of that office is threefold. First, the presence of the CTF and the opportunities for sponsored participation in meeting that it presents has increased responsibility and thus the visibility of the CCP. It has added a task to the many other coordinating tasks that the CCP has, and it has added a task that conveys power and prestige and a function that is seemed as highly beneficial by many involved in Codex work at national level. That, in itself, strengthens the CCP. Secondly, the participation in meetings gives people an opportunity to exchange experiences of how Codex work is organised in different countries. Participants from Hungary may tell colleagues from Armenia about how their national policies emerge and what the CCP does, and vice versa. All sets the stage for learning and for bringing ideas and knowledge back after meetings. It adds dynamism to the work, and compared to a situation where essentially nobody from either Armenia, Laos, Malawi or Bolivia took part, Codex meetings have a much richer breeding ground for information. Third, the CCPs have also benefitted from the training events funded by the CTF in relation to regional meetings. Regional meetings seem to be a particularly importance venue for networking and learning-by-doing.

### **Development of Codex-Related Research**

The third expected output of the CTF is *"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."* Here the issue of research is formulated as an output, but as we will see later, the CTF has not produced any outputs in this category. Instead, the discussion may be

focused on the question of an impact, which might have been achieved, rather than on question of an output (that was not produced). ?

Let us first consider how a country develops a national position. The following outlines the process in Mali: The CCP receives the Codex documents and circular letters. The documents are sent by email to all stakeholders of NCC, Codex Sub-Committees and other stakeholders who are not direct members for Codex meetings. The original documents are sent to sub-committee members with an invitation to attend a meeting at ANSSA. At the meeting the Sub-committee develops a draft national position, which is sent to the members of the NCC and other stakeholders for comments. The comments are integrated into the draft national position, which is sent to the Chair of the NCC for final review and approval. After approval the CCP dispatches the position to the corresponding Codex Committee with a copy to the Secretariat in Rome. Research findings could enter the debate when a proposal is submitted, when it is reviewed, and when comments are integrated, and when there is a final review and approval. Hence, participation in Codex meetings triggers relations with research, and it is quite likely that the interaction between research institutes, standardisation agencies and the administration increases with increasing participation in Codex meetings. That being said, it is of course not all participation that leads to development of national positions based on research evidence. However, a substantial part of the interview respondents and also many of the survey responses indicate that this occurs frequently and is rather a rule than an exception. To point at some more detailed examples:

- A delegate sponsored by CTF is carrying out research to measure smoke residue levels in smoked fish as part of the input into a standard being developed to deal with excessive use of wood to smoke fish.
- In the course of preparation for a working group on the prevention and reduction of Ochratoxin A in cocoa, research was being carried out on evaluating pesticides of concern to determine MRLs for Cocoa.
- For Fresh Fruits and Vegetables, Ghana is working on justification for getting some additional varieties of Chili peppers included on the Codex Standard. Ghana is also to submit that taxonomy of Okra (a food under cotton has to be changed to foods and vegetables rather than cucubits).
- After CTF sponsorship to the Microbiological Committee that is working on Microbiological quality of poultry in respect of Campylobacter and Salmonella, Ghana was encouraged to take part in an electronic working group of such standards.

While these examples were all from Ghana, there was similar evidence of progress in other countries that we visited. In particular, Argentina, Bolivia, Jordan, Tunisia, Mali and Indonesia gave many examples of applied research in support of Codex participation. The question is if these research links had been established any way? They are part of a general strengthening of Codex activities in these countries. The research links are reinforced by the institutional development as well as the deepening and widening of policy coverage. Codex participation is an integrated part of this. Would the research activities take place to the same extent even if nobody took part in meetings? It is generally considered futile to submit positions and comments if one is not physically present at Codex meetings, hence it is not so likely that the supporting research would have occurred if people did not participate. In addition, the CTF has funded direct participation of scientists in Codex meetings. This may not only enhance the scientific input to

Codex directly, but also contribute to greater understanding of Codex processes and procedures in the scientific community, thus potentially creating potentially long-term dynamic effects.

### **Improved National Food Standards**

We have already indicated that six years is a short period of time for the processes of improving food safety to unfold. However, it can also be quick. The Bolivian example that was identified above showed a time span of less than two years from the initiative to develop standards to the adaptation of new Bolivian standards. However, that process occurred within a framework of very high political priorities and little controversial debates around the standards issue. In other cases the standards may be more controversial and the evidence less clear on the safety and health concerns and it takes much longer.

The chain from standards to improved food safety is long and to assess the real impact one would have to look at how standards are followed, what certification processes are put in place and if there are any bottlenecks in that sector, and finally also what the control mechanisms are. During most of our interviews the respondents remarked that control is a weak link in the chain, and there is a risk that standards are developed but not applied. There are many reasons for that, but the key culprit would be understaffed inspection organisations, corruption, and a large informal sector that operate outside any official control. With this in mind, there is probably a point at which it does not really make much sense to develop more and increasingly sophisticated standards if there are no means to control how they are implemented.

That being said, there are also examples of how the Codex standards are put to use. Malawi uses Codex Standards as reference in matters of food safety enforcement, food import and export certification. The Malawi National Certification Mark is found on food products displayed in the market place. Malawi has a small, growing Consumer Association, the “Consumer Association of Malawi”, which the MBS assisted and promoted. The Law requires authorization of food manufacturers, importers and other food enterprises in order to put safe, quality food into the Malawian market. The approval of the enterprises is based on compliance with the Codex Code of Hygienic Practice, HACCP and Codex Standards.

In Jordan, the National Society for Consumer Protection (NSCP) has existed since 1983. It relies on funding from the municipality of Greater Amman and from the Parliament, in addition to very modest membership fees. In conjunction with the law on consumer protection it is hoped that a special law will be passed for the association that will ensure public funding and representation in policy making. The association describes itself as a watchdog and it does not hesitate to go the media if issues arise. It tries to rely on hard data and produces numerous studies. It also tracks the Jordanian inflation rate to verify the public data and sells these studies to raise revenue. The Association is member of both the higher council for food and the NCC. In Armenia there are several active consumer associations.

In other countries the consumer organisations are weak, as for example in Tunisia. However, in that country the export industries are the driving force behind the application of standards. Similarly in Indonesia, the country is a big exporter of a wide range of tropical food products, including coffee, palm oil, cocoa, spices, flavours and also imports many food products. As per international best practice standards, formulation work in Indonesia is conducted under Technical Committees and working groups comprising of concerned public (including private sectors like industries, producer associations, consumer associations, experts and researchers, universities or other institutions of higher learning plus other fields as necessary). Indonesia has a published national “Codex Procedural Manual, Guidelines for Handling Codex in Indonesia, of 2005”. The Manual was agreed by several institutions related to Codex activities in the various Ministries. All the institutions are committed to playing an important role in Codex work.

Indonesia has a national accreditation body, KAN, which accredits private certification bodies. The certification bodies offer services for independent (third party) certification of food and other products, which comply with Indonesia national standards. Government Regulatory Agencies for food safety control inspect for Hazard Analysis Critical Control Point (HACCP) system and its application is food manufacturing and food service enterprises.

In conclusion, the evaluation points to several examples of how the process of formulating standards has been developed and it also shows that parallel to participating in the international meetings there have also been activities at national levels to create new national standards. It could of course well be argued that physical presence at Codex meetings is not a necessary precondition to access Codex standards and to apply them in any national setting. That would, however, be a rather theoretical approach and in real life people benefit from and are encouraged by interactions, meetings, exchanges of experience with others. The point would rather be that if there is no prior commitment to develop standards, then it is not so likely that participation in Codex meetings will create that impetus. When the commitment was there, then participation served as a stimulus and an incentive – it was catalytic for the continuing process.

### **Exports, Imports and Domestic Trade**

Perhaps the clearest example of how participation in Codex supports a country's export industries comes from Tunisia. The European market have always been the main target for the agro-industries of Tunisia and the development of standards and the certification of export products are absolutely necessary to gain market access.<sup>7</sup> The expected gain to Tunisia can be expressed shortly: to enhance the competitiveness of the country's agricultural and agribusiness exports. That is the main driving force and it is through this that the institutional networks benefit. The CCP is a senior manager in the CTAA, which is partly financed by government but also generates its own revenues (60% of the total turnover). Many of the services being sold relate to Codex work; training on standards, testing that export products fulfil Codex standards, and development of inspections systems close to the production lines of companies. The CTAA therefore has a strong incentive to market and sell its competence and to disseminate information that relate to the development of Codex Alimentarius. Thus, the main role of those who actually attend the committee meetings has been to feed the information into CTAA, who then can take it further in the Tunisian agro-industrial environment, sometimes as information that is free for all, and at other times as information that can be sold. There is a strong monetary incentive to make use of Codex work and that seems to guarantee that the work has an impact.

There are other countries close to major import markets. The evaluation team visited Serbia as well; most export opportunities in Serbia are in agriculture. Due to conflict and embargo value-added remains low and exports are mainly in raw materials. Producers are still relatively small and transformation industry nascent. The food chain is not well integrated. This causes a problem, since modern food safety standards, and those of the EU in particular, are adapted to highly integrated food chains, with a focus on self-control. Small producers do not have the capacity to perform reliable self-control. So Serbia has to find ways to adapt standards and also work with measures such as grouping producers in associations and cooperatives. But in comparison to Tunisia, it is not yet possible to discern any impact from the participation in Codex.

Trade is of course both about exports, imports and domestic trade. The country visit to Tanzania led to discussions around pesticides, mycotoxins, residues of veterinary drugs in food and food hygiene. In addition the application of HACCP in industry are important to the country.

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<sup>7</sup> An interesting and complicating factor is that the European markets at times use other standards than Codex standards, but that is a question relating to the position of Codex compared to other standards on the global arena and cannot be treated here.

Rejection of food consignments have occurred in the past. The country's interest in reaching a stage of complying with international standards for fish and fish products for its fish exports is still to be achieved. The Tanzanian delegate to the Codex Committee on Fish and Fishery Products noted the importance of the deliberations on the standard for sardines to Tanzania, as a country which produces sardines. There was an initiative to review Tanzanian Regulations in light of new information. In addition, because fish and fishery products are major exports, Tanzania will use the new information obtained from attending the above-mentioned Codex Committee to review the National Code of Hygiene for Fish and Fisheries Products.

Of all the countries visited in the course of the evaluation, Argentina is the one with the largest agro-industries sector and the one for whom international trade is the most important. Argentina has been a member of Codex since the beginning and has well developed institutional infrastructure, comprehensive national policies and legislation, a centrally placed CCP with strong political backing, and close links to the industrial confederations and to many research centres in the country – some of which are world-leading in their areas of focus. However, none of the above relates to the CTF; Argentina has had three participants financed in Codex meetings, but it belonged to country group 3b and graduated very early. It is not meaningful to speak of any impact in Argentina of the CTF financing as the country benefitted so little from the Fund. On the other hand, if the CTF had used more of its funds for the third output (research) then it is likely that Argentina could have had much to offer and experiences of relevance to other developing countries.

### Capacity Development

The changes outlined in the previous sections point to increased capacities in respect of managing food safety. The development of institutions, networks, and policies are all examples of capacity development. Would it be possible to identify a more direct link between the CTF and capacity building? To the extent that the CTF has not been extensively involved in capacity building, could there still be an indirect effect that can be linked to participation, or what are the contributing factors behind the growth in capacities that can be seen?

The link seemed quite strong in Armenia. The combination of FAO workshops and CTF funded participation has contributed to improving the national Codex structure of Armenia, even though there is some way to go before it is being institutionalised. The initiatives of the CCP have been important and there seems to be a response from stakeholders. An important pre-condition was that the Ministry of Agriculture was given a clear responsibility for food safety. Establishing an NCC is the logical next step. It is possible that the country needs one more “push” in terms of practical experience from other countries. Still, Armenia's own assessment is that it is probably better organised than other post-Soviet Central Asian countries.

In Serbia, the first application to the CTF was turned down, because a proper consultative process had not taken place, e.g. involving the local WHO office. The next year, a meeting was held with the ministries and the local WHO office in order to select committees and participants and this has continued since. The urgent need for a NCC in order to formalize the selection process and develop national positions is now recognized by all parties. The Ministry of Agriculture has sought support from USDA to assist them in setting up the NCC and it seems that work will start during the spring.

But as the Tunisian example shows, the development of capacities is a long-winding process where many actors play a role. The change towards a more active role can be dated to the late 1990s. The Tunisian Government took the decision to set up a centre on food safety (CTAA) in 1996 and this was developed over the next decade. In the early phases the CTAA received technical support from UNIDO. The CTAA laboratories and new office buildings have partly

been financed under a World Bank programme to increase the competitiveness of Tunisian industry. The CTAA has taken part in a twinning cooperation with a centre on food safety research in Valencia, Spain, financed by the bilateral Spanish technical cooperation programme. FAO financed technical support to establish the NCC. There are plans for expansion and new investments will be financed under the EU programme for industrial development and quality enhancement in industry. There are thus several bilateral and multilateral donors that have contributed to the strong position of Tunisia in Codex work.

The conclusion in respect of capacity building is that in some special cases, the participation in the Codex meeting seem to have reinforced the capacity building programmes of FAO and initiated other activities. But we only saw such isolated cases primarily in transition economies during the 12 country visits. In other instances, it is quite clear that national institutions in for example Tanzania, Malawi and Ghana have also had support from bilateral donors, sometimes for many years, and the the opportunity to supplement that by taking part in international Codex processes, would benefit the long-run capacity development in these countries. With better coordination and sequencing between CTF funded participation and national capacity building programmes there is a potential for greater reinforcing effects and higher overall impact. A basis for such coordination from the perspective of the CTF could be the follow-up of applications in general and the requests for technical assistance that they open up for. This issue is explored further in the following Chapters.

## Regional Cooperation

At a first glance it may seem that regional interactions have increased significantly over the last 5 – 10 years. At a concrete and practical level, the evaluation team was informed that in the Mid-Eastern region three regional standards have been developed for hummus with tahina, only tahina and a variety of beans. The region wants these to become global standards, since the consumption of these items is spreading over the world. Jordan has made this suggestion to the regional committee (and it will be forwarded to the CCEXEC, the CAC and eventually to the relevant technical committee). The benefit of participating in the regional committee is to exchange information on all issues related to food safety and control. There are attempts to unify food safety regulation at a regional level. Jordan has bilateral MOUs with Saudi Arabia, Syria, the Gulf countries, Morocco and Tunisia. There is also a regional organisation, the Arabic Industrial Development and Mining Organization (AIDMO), with the aim of unifying procedures for the Arab region. Countries in the Latin American region have also cooperation around standards, for example the quinoa producing countries of the Andean region have jointly launched standards for the varieties of this product.

To what extent do these changes (and many others) reflect an impact of the CTF? The link is weak, but there are some connections. First, the CTF has encouraged regional cooperation, for example by organising regional training workshops. This provides an arena where representatives from the countries in the region can share experiences and define joint activities. The latter requires that they actually meet and get an opportunity to define common interests. The CTF has helped form such platforms. Second, the regional coordinators are given clear responsibilities that positively affect their national Codex activities and interaction within the region. Third, the regional meetings are an opportunity for regional interests to be defined and developed. The meetings at the Codex Committees serve the same purpose. Our interview data indicate that many of the respondents saw opportunities to act more effectively if they allied themselves to countries of the same region. In the short- and long run, that's also a way to coordinate presence at the international meetings when it is difficult for countries to finance their own participation.

That being said, there are also many other factors that promote regional cooperation and the growth of this phenomena should certainly not be attributed to CTF only. It is the effect of many

factors and there are also technical assistance programmes that are regional in character, for example the FAO project in Armenia and Georgia that was mentioned above.

### **Sustainability**

This chapter has been concerned with the impact of the CTF, not with its outputs. To what extent can the changes documented in this chapter be sustained? There are different threats to sustainability in respect of the different forms of impact. We analysed national policies and described how there were new policies developed and how countries adapted standards. Now, can a National Food Policy be revoked? Can a standard be changed? Yes they can, but not because of any problem with sustainability. Sustainability is simply not an issue, policies remain and new standards can remain as long as they serve a purpose. There would be a problem around enforcement and control, but that is another issue.

We have also analysed the institutional structures and the CCPs. Can these be sustained? It is important to remember that the changes we have described were initiated by the countries themselves and were for the most part financed under the regular government budget (with some exceptions, such as the institutional network in Tunisia). But looking at Bolivia, the changes brought about since 1997 with the creation of the CCN are by and large sustainable, not least because they are not in themselves huge investments. The structures are not complex and not many (compared with, for example, Argentina), but on the other hand they have been sustained without foreign assistance in many years, and there's no reason they could not be sustainable now. The institutions in Argentina have been created over many years through domestic efforts and there is no dependence on foreign aid to keep them functional.

The changes are considerable; they have to a large extent been endogenous and seldom can bilateral or multilateral development cooperation be credited with anything but marginal contribution to these developments. That also means the changes are sustainable as the costs have been within the budgets of the countries and their institutions (private and public). No dependent structures have been created and no investments in capacities that cannot be sustained.

## Chapter 3. Achieving participation at global level

### Participation in Codex Meetings

In the previous Chapter we analysed the impact at national level that could be related to the funding of participation through the CTF. However, we did so without really presenting the actual activities of the CTF. We started with the changes at country level and in this Chapter we turn to the CTF activities and examine who took part, from which countries and whether the participation is sustained.

This discussion thus documents the achievement of objective 1 of the CTF; to increase participation Codex work. The preceding external reviews (Connor, 2007, and Slorach, 2007) found that so far the CTF has focused on that objective and also succeeded in increasing participation. The limited number of technical assistance activities supported by the CTF to address objectives 2 and 3 are discussed in Chapter 4.

The CTF funded 1,129 participants from 126 countries between 2004 and 2009.<sup>8</sup> The total number of eligible countries was originally 146, so 20 countries had not applied for funding by 2009. 246 people from 80 countries were sponsored in 2009 (Diagram 1). CTF beneficiary countries are classified into groups, which are presented in Chapter 4.

The overall share of CTF funded participants from group 1a was 47% for all years, 68% for the total group 1, 25% for group 2 and 7% for group 3 (Diagram 2). This is even a slightly higher focus on poorer countries than the original target as stated in the project document of 60% to group 1, 30% to group 2 and 10% to group 3. In terms of regions, Africa has sent 41% of the participants, followed by Asia and Latin America (Diagram 3). The share of Latin America diminished markedly in 2009 due to graduation from CTF (Diagram 4).

The projected support level for 2010 is 347 participants from 79 countries. This is an increase caused by high availability of funding, but for various reasons, such as individuals not being able to participate in meetings, the actual outcome may be lower. Djibouti, Somalia, Tajikistan, Montenegro and Comoros are expected to receive funding for the first time in 2010.

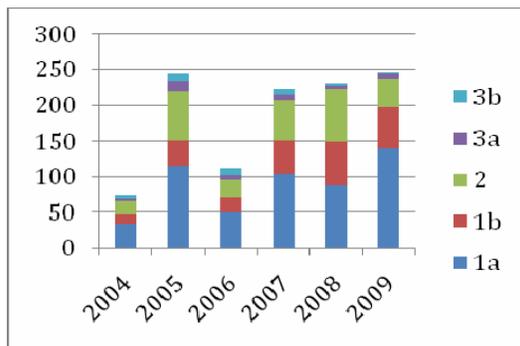
Diagram 5 shows that 34% of the total number of CTF sponsored participants were women, even though this information is not available for all participants. The LAC region stands out with over 50% female representation, while the level is closer to 20% for the Near East. Slorach (2007) was first in identifying the overall gender imbalance in CTF sponsored participation and recommended that the CTF Consultative Group should seek ways to improve the gender balance among Fund beneficiaries and that FAO/WHO consider carrying out a study into food safety in developing countries from a gender perspective and in particular its relation to health, trade and poverty reduction.

The CTF Secretariat collects statistics on gender balance among CTF-supported participants from data provided to administer travel and, as of 2009, from the on-line participant reports. Terms of reference for a study on gender and food safety have been under discussion for some time with the Swedish aid agency Sida. Such a study would seem welcome.

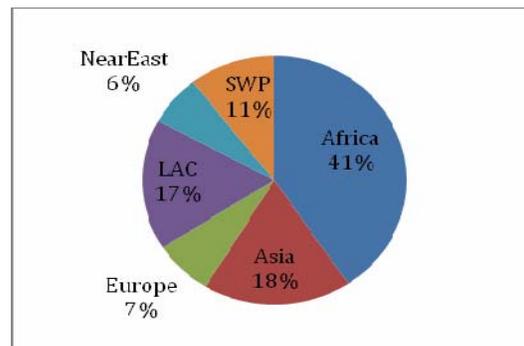
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<sup>8</sup> All data on participation and financial information is from the CTF Secretariat.

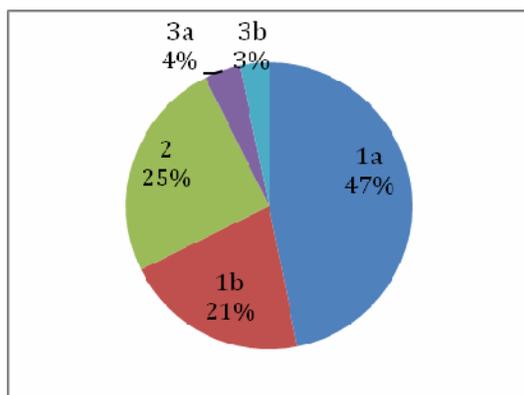
**Diagram 1 Total number of participants funded by the CTF 2004-2009**



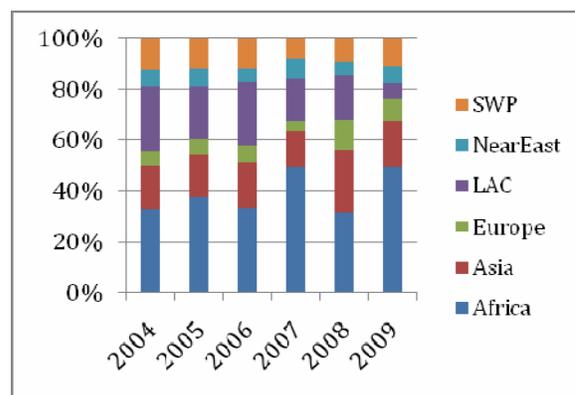
**Diagram 3 Share of the total number of participants funded by the CTF, by region**



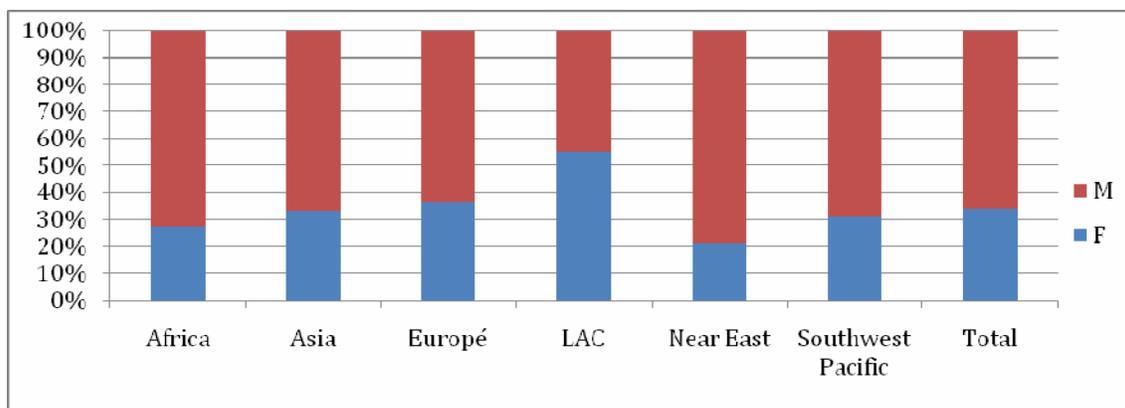
**Diagram 2 Share of the total number of participants funded by the CTF, by country group**



**Diagram 4 Share of the total number of participants funded by the CTF, by region and year**



**Diagram 5 Gender balance among the total number of CTF beneficiaries, by region**



The top ten committees for beneficiaries are shown in Table 3; the CAC comes out on top, followed at a distance by CCFH and CCFL. The CAC comes out on top for both LDC and non-LDC countries, followed by CCGP, CCAFRICA and CCFH for LDCs and CCFH, CCFL and CCFICS among non-LDCs.

**Table 3 Top 10 committees for CTF beneficiaries**

Committee	LDC	NON-LDC	Total
Codex Alimentarius Commission (CAC)	91	88	179
Codex Committee on Food Hygiene (CCFH)	44	67	111
Codex Committee on Food Labelling (CCFL)	39	58	97
Codex Committee on Food Import and Export Inspection and Certification Systems (CCFICS)	39	45	84
Codex Committee on General Principles (CCGP)	48	35	83
Codex Committee on Pesticide Residues (CCPR)	44	36	80
FAO/WHO Coordinating Committee for Africa (CCAFRICA)	48	18	66
Codex Committee on Nutrition and Foods for Special Dietary Uses (CCNFSDU)	28	25	53
Codex Committee on Fish and Fishery Products (CCFFP)	24	26	50
Codex Committee on Fresh Fruits and Vegetables (CCFFV)	19	22	41

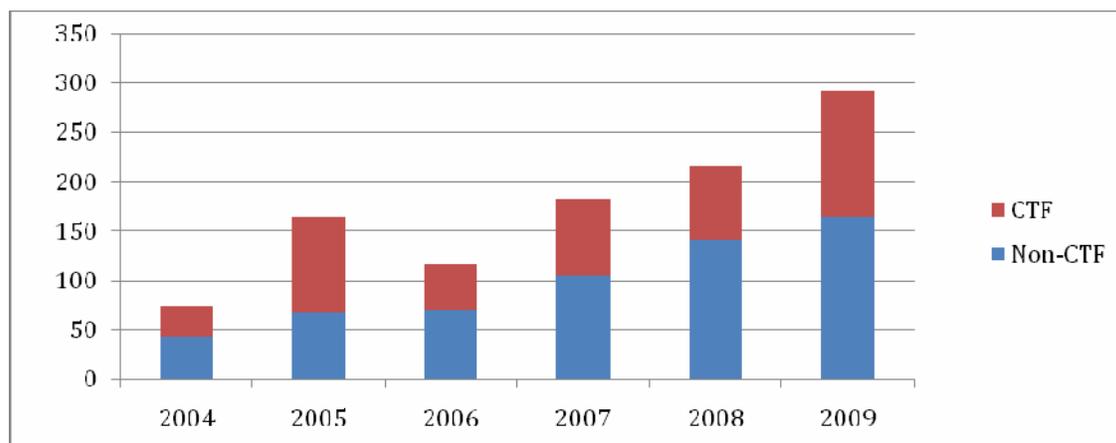
Over the life of the CTF, total annual participation of developing countries in Codex committees increased from 1,044 in 2004 to 1,567 in 2009 or 50%, excluding regional committees to increase comparability between years.<sup>9</sup> CTF funded representation represented 12.5% of the total over the period. Non-LDC participation increased by 28% over the same period and CTF funded participation represented 8% of the total for that group of countries. For LDCs (i.e. group 1a here and in the rest of the report) CTF funding is a much more important source of funding for participation than for non-LDCs. LDC participation in Codex committees increased from 74 to 292 between 2004 and 2009, a fourfold increase. Diagram 6 below shows how CTF and non-CTF (national sources, other external support programmes, private sector etc) sponsored participation has evolved over the life-time of the CTF for LDCs, excluding regional committees. Over that period CTF has funded 43% of total participation for LDC countries. There has been a consistent rise in funding from the CTF as well as from non-CTF sources; the share of CTF funding was the same in 2009 as in 2004. The shares of CTF funded participation for regional committees are slightly higher than the shares of the other meetings; 17% for all groups, 12% for non-LDCs and 45% for LDCs.

To exclude bias resulting from participation of individual countries, Diagram 7 shows the number of LDCs that have participated in Codex meetings, yet again excluding regional committees. Both CTF and non-CTF funded participation has grown consistently over time, apart from a sudden peak of non-CTF funded participation in 2005. In 2009, 38 LDCs benefited from CTF funding and 35 LDCs financed participation from other sources, up from 21 and 12 respectively in 2004.

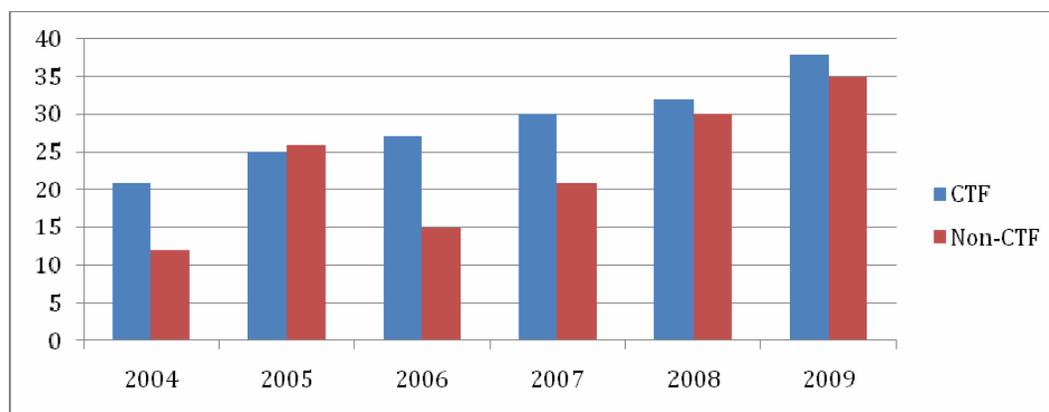
Overall there has been a consistent rise in LDC participation in non-regional Codex meetings, partly fuelled by the CTF. There is no systematic data on the reasons for increasing participation not funded by CTF and to which extent countries that benefit from the CTF also increasingly fund participation from national or other external sources. However, it would not seem unlikely that the CTF has contributed to such a development, together with other factors such as greater general awareness among countries and availability of support from non-CTF sources. In any case there is evidence of a positive cycle of LDC participation in Codex meetings, with growth in CTF funding being matched by increased funding from other sources. The conclusion is that the CTF has greatly contributed to increased LDC participation, without crowding out other sources of funding.

<sup>9</sup> For example, Ghana listed 95 delegates for the CCAFRICA organized in Ghana in 2009.

**Diagram 6** Number of participants from LDCs in Codex committees by year and sources of funding, excluding regional committees



**Diagram 7** Number of LDC countries participating in Codex committees by year and sources of funding, excluding regional committees



**Table 4** Countries that had graduated from the CTF by 2009

First year without CTF funding	Countries (initial group)
2010	Egypt (2), Guyana (2), Honduras (2), Jamaica (2), Philippines (2), Syrian Arab Republic (2), Cook Islands (2)
2009	Bolivia (2), Colombia (2), Croatia (3b), Cuba (2), Dominican Republic (2), Ecuador (2), El Salvador (2), Guatemala (2), Iran (2), Morocco (2), Paraguay (2), Peru (2), Tunisia (2)
2008	Antigua and Barbuda (3a), Argentina (3b), Chile (3b), Mexico (3b), Seychelles (3b), Uruguay (3b)
2007	Costa Rica (3b), Lithuania (3b), Panama (3a), Poland (3b)
Total number of graduated countries	30

## Continuity of participation

23 countries had graduated completely from the CTF by 2009, (Table 4), so it is possible to analyse what happened to overall participation of these countries. One approach is to follow non-CTF funded participation over time. Table 5 does that, excluding regional committees to allow for better comparison over time. Twelve of the countries can be considered to have consistent participation with a history of regularly funding participants from non-CTF sources.

In the cases of Colombia, Croatia, Panama, Paraguay and Uruguay, non-CTF funded participation increased markedly after graduation. Bolivia, Ecuador, El Salvador and Lithuania continue to fund limited participation from non-CTF sources, but overall participation declined with graduation. Antigua and Barbuda did not participate at all in Codex work in 2008 and 2009, while the Seychelles did not participate in 2007 and 2008, but funded one participant in 2009 outside CTF in addition to one participant with CTF funds.<sup>10</sup> Not surprisingly small economies and island states seem to have more difficulties in funding participation from other sources. At the time of writing, no LDCs and low-income countries have graduated.

However, in 2009 the first LDCs reached matched funding status, which means they either had to match the funding provided by the CTF or face a reduction in the number of participants funded by the CTF. Consequently it is possible to analyze what happened to the participation of this group of countries, before and after matched funding was required. Table 6 shows participation funded by non-CTF sources for countries in groups 1a, 1b and 2 for the years 2008, last year without matched funding, and 2009, the first year with matched funding requirements, again excluding regional committees.

Laos, Nepal and the Solomon Islands in group 1a and Albania in group 2 did not provide any non-CTF funding, while Vanuatu in group 1a and Nicaragua in group 1b only funded one participant each from non-CTF sources. For Niger, Samoa and to some extent Bhutan in group 1a and Mongolia, Papua New Guinea and Zimbabwe in group 1b there is a marked increase in non-CTF funding for 2009 compared to 2008. Togo also financed two participants to CCAFRICA from non-CTF sources, which does not show in the table.

In the survey, CCPs were asked about national plans for Codex meeting participation in coming years and how those plans were going to be financed. The general picture is that there is a real awareness about the need to seek financing for participation outside the CTF, in general with national resources, the private sector or other donor programmes. Few responses linked participation only to the availability of CTF funding.

The need to lobby decision-makers or central authorities for funds is a recurrent theme in the responses. After graduations, the likelihood of no or low physical participation is expressed to a higher degree by LDCs, small low-income economies and small island states, confirming the analysis above. However, it is important to note that it is apparent that the potential for future participation varies greatly between countries beyond the level of national income.

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<sup>10</sup> Seychelles graduated in 2007, but made a request to the CTF in 2009 to assist Seychelles as a small island state, since Seychelles was finding it difficult to sustain its participation in Codex committees. The Consultative Group for CTF offered an additional year of support at 50% to the Seychelles in 2009 as part of the decision to support small island developing states with population of less than 1 million for an extra year at 50%.

Table 5 Number of participants funded by non-CTF sources of CTF graduate countries

	2004	2005	2006	2007	2008	2009
Antigua and Barbuda	1	2	1	0	0	0
Argentina	20	34	29	31	22	23
Bolivia	2	4	0	2	0	2
Chile	20	25	20	16	18	29
Colombia	6	1	6	5	2	10
Costa Rica	10	14	14	17	14	15
Croatia	0	3	1	2	2	6
Cuba	15	18	17	17	23	11
Dominican Republic	1	2		5	6	7
Ecuador	1	3	5	4	2	3
El Salvador	0	5	1	1	4	1
Guatemala	3	2	3	6	10	8
Iran	16	11	12	12	22	12
Lithuania	1	6	6	4	4	2
Mexico	29	39	63	46	52	29
Morocco	21	18	33	29	24	43
Panama	1	3	2	4	6	4
Paraguay	9	11	7	15	10	14
Peru	4	6	6	1	1	8
Poland	12	19	14	17	9	9
Seychelles	0	0	0	0	0	1
Tunisia	14	15	12	12	10	14
Uruguay	8	5	1	3	2	11

Table 6 Number of participants funded by non-CTF sources of countries for which 2009 was the first year on matched funding, by initial group

	2008	2009			2008	2009
<b>Group 1a</b>				<b>Group 1b</b>		
Bhutan	2	4		Ghana	14	23
Burundi	2	2		India	24	21
Haiti	1	2		Indonesia	73	79
Lao PDR	1	0		Mongolia	0	4
Mali	7	8		Nicaragua	1	1
Nepal	1	0		Papua New Guinea	1	4
Niger.	1	5		Vietnam	7	19
Samoa	0	4		Zimbabwe	0	3
Solomon Islands	1	0				
Sudan	34	29		<b>Group 2</b>		
Tanzania	6	12		Albania	2	0
Togo	0	1		China	130	119
Uganda	8	6		Swaziland	4	2
Vanuatu	0	1		Turkey	24	22
Zambia	4	7				

To sum up, evidence is limited so far, but it appears that country circumstances rather than group membership determines what happens when CTF funding is phased out. Small size, low GDP/capita and economy in transition seem to be risk factors, which should come as no surprise. On the other hand there are countries with those same characteristics that have managed to counter graduation or meet matched funding requirements, such as Niger, Mongolia and Papua New Guinea, at least the first year for which data is available. This is an issue that the CTF Secretariat is and should be following closely (see also the discussion in Chapter 4 on graduation). The two databases on CTF funded and non-CTF funded participation are excellent tools for doing that from a quantitative perspective. However, deeper more qualitative analysis is needed to understand the circumstances of individual countries. This highlights the difficulties in developing simple and objective criteria that correspond to the exact needs of individual countries.

### Committee dynamics

It was shown above that there has indeed been an increase in terms of the number of participants from developing countries and from LDCs in particular in Codex in recent years. It seems reasonable that this affects the committee dynamics and eventually Codex standard setting itself.

As was pointed out in the introduction, given the focus of this mid-term review on the impact of the CTF at country level, it has not been possible to collect primary data on which to do detailed analysis of committee dynamics and standard setting. This would have necessitated activities such as extensive physical observation of committee meetings, detailed analysis of meeting reports, surveys of and interviews with a wide range of meeting participants, systematic collection of cases of Codex standard setting where developing countries have made important contributions or have taken the lead and analysis of the work of the Joint FAO/WHO expert committees.

One argument that is sometimes heard relates to the nature of the international negotiations and that the “balance of power” between blocks of countries change as a result of increasing participation from developing countries (that is, those developing countries which did not take part before the CTF was created). With many new countries present at negotiations, the scope for alliance building changes and during some of our interviews it was mentioned that bilateral donor agencies and aid recipients could at times take joint positions – positions that did not really reflect the developing country’s real interest in the subject matter. If that happened, it would seem to be a side effect of increasing participation. However, we have not been able to document any such cases and that would build on an entirely different form of evaluation approach than we set out to do. In any case the point of the argument does not seem to be really a case against increasing participation of developing countries.

In this report we will have to rely on indirect observations related to interviews, surveys and country visits to gauge the qualitative impacts of CTF funded participation in Codex committees. Interviews with committee chairs and donors indicate that there has indeed been a perceived increase in the participation and level of activity of developing countries in Codex committees. In the words of one committee chair: *“Overall, the nature of the debates has changed and developing countries are increasingly articulate and well-informed.”* There is an overall appreciation of the increasing contribution of developing countries. One donor points to Ghana as a “success story”: *“Five years ago the country was absent, but now it participates and is active. Ghana even organised a physical working group in 2007 or 08. This has created a snowball effect within the region.”*

On the other hand several donors and chairs doubt the suitability of some developing country participants:

*“Some arrive after the meeting started and leave early. Are they committed? Selection of candidates is a touchy issue. It makes it difficult to convince aid agencies.”*

*“Sometimes it appears as if participation is treated as a gift, since on a few occasions the persons attending have not been experts. At the same time, I understand that it is a long learning process.”*

*“If countries do not have any interest, there is no benefit in their participation. The meetings go slower if the attendants do not know Codex, which may delay standards. For example, one delegate wanted to discuss the trust fund, which was not appropriate.”*

The choice of meetings is also questioned to some extent, in particular the perceived preference for the CAC and CCGP, which, it is argued, have less potential impact of the food safety of poor countries than other committees, since they are largely procedural. Interviewees point out that these issues create bad-will both for the individuals concerned, the countries they represent and the CTF. Eventually, it is the selection process at country level, in conjunction with the CTF selection process, that is questioned, in addition to the overall food safety capacity of the poorest countries: *“The poorest countries need capacity building rather than to participate. If a country does not have an inspection authority, participation does not help.”* The need for continuity in participation is emphasised by interviewees.

However, it is important to emphasise that none of the interviewees could substantiate their critical remarks with any systematic evidence, so it is difficult to assess if they are based on isolated cases or systematic occurrences. During the work of the mid-term review, no apparent cases of unsuitable participants were encountered; the beneficiaries met during country visits all seemed competent enough. What is also clear from the case studies is that the selection of meetings and participants is based on very different realities and processes and serves different purposes in different countries. For example in Armenia focus has been on sending the CCP (who is not a food safety expert) to CCEURO and CAC, which would seem appropriate since the country has severe limitations in language skills. In Serbia, focus was on more technical committees, in particular since the country has highly specific expertise in various areas. Some participants from Tunisia seemed to be coming from relatively high positions in Ministries, but that could be justified as there was a need to gain increasing political support and commitment to Codex.

These examples show that it is difficult to give a complete judgment as to whether a meeting or a person is suitable or not, since it depends on the circumstances and the criteria used. Certainly, political realities and connections may come into play and there is no denying that cases of misuse and ill conduct may occur. At the same time the Codex structure is technical and based on continuous interaction with peers, factors that would be likely to make the Codex system less susceptible to abuse compared to, for example, a one-off training event. In addition, as pointed out by one donor, it is not always the most appropriate persons that take part in developed country delegations. It would seem important that delegates from countries with more advanced institutional setting have an open attitude to increased participation from “new” countries and leave them sufficient time to get involved in Codex work.

The CTF management has had the fundamental view that the selection of meetings and participants is a matter of national sovereignty, while at the same using the CTF’s application procedures to strengthen the national selection processes. This issue will be discussed at length in Chapter 5.

CTF funded participants (“beneficiaries”) do not seem to be deterred by the complexity of Codex work. On the contrary, 75% of survey respondents believe Codex committee meetings are

clear and structured, but that it takes time to learn to participate effectively. The importance of continuous participation was also confirmed by discussions undertaken during the country visits. In Serbia, there was a general agreement among beneficiaries that participation can be effective only from the second meeting, the first meeting being a learning exercise. Indonesian beneficiaries argued that that it takes 2 to 5 years to comprehend Codex fully.

In an analysis of the reports from beneficiaries sent in to the CTF between August 2007 and December 2008, Dimechkie (2009) shows that 78% of participants indicated that they engaged in active participation during meetings. Repeat participants show a slightly higher rate of activity. Most participation occurred through interventions on country positions during meetings. Only 18% of beneficiaries indicated that they had contributed scientific data.

There are several examples of contributions of developing countries to Codex work that have been cited during the review work and facilitated by CTF. A very specific example comes from Jamaica: *“At the 37th session (2009), Jamaica made seven interventions of which five require further work to be done before the next session. However, two of the five require immediate action. These are (i) provision of scientific justification for the use of ethylene on an expanded range of tropical fruits and (ii) review of the two Chapeaux statements related to the Labelling of Foods and Food Ingredients obtained through Certain Techniques of Genetic Modification/Engineering.”* Other examples include Jordan’s efforts to promote a regional standard for tahina and the promotion of a bitter cassava standard by the Pacific Islands.

There are also apparent cases where countries have used the CTF to fund the participation of scientific expertise to meetings.<sup>11</sup> Indonesia is participating and contributing effectively in the Codex Working Group on Microbiological safety of broiler chicken, in respect of contamination with *Campylobacter* and *Salmonella*. Following participation of an Indonesian expert in CCFH, Indonesia has used data collected to formulate a national standard for microbiological quality of broiler chicken, in respect of *Salmonella* and *Campylobacter*. There is apprehension that when CTF funding ends, the travel and on spot contribution from experts will not be affordable and would cease to the detriment of quality of Indonesia’s participation and a loss to the Codex process in general. In Serbia, two highly qualified university researchers (one of them member of JECFA) have been funded by the CTF.

A university professor from Latin America highlights why participation in Codex is important for other reasons than only scientific: *“I believe it is equally important to direct support to university representatives [for participation in Codex], since universities play a key role in promotion, dissemination and training on Codex issues, especially because in these future professionals are trained that will be the experts of ministries and public institutions with power to decide on key issues to ensure quality and safety of food.”*

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<sup>11</sup> Countries has used CTF to support participation of local scientist on Codex working groups or Codex committees but not participation at Joint FAO/WHO expert bodies such as JECFA or expert consultations. Attendance to these events are for invitation only and normally the cost of travel is covered by FAO and WHO. In the case of a local expert who participated in a JECFA or JEMRA meeting, they act as experts of these committees just during the duration of the event. When they participate later on in a Codex working group they act as experts from their country.

## Chapter 4. Programme Logic of the Codex Trust Fund

### Objectives and outcomes

The objectives and expected outcomes of the CTF are outlined in the original project document. They were mentioned briefly in the introduction and are presented more fully in Box 1. One of the questions posed to this evaluation is whether the objectives and outputs remain valid or if there is a need to change them for the final six years of the project. Our interview and survey data show very strong support for the existing three (immediate) objectives from both beneficiaries and donors. 63% of the CCPs that responded to the survey believe that the three objectives are valid and 34% that they are very valid. LDC CCPs are more favourable than non-LDC CCPs, 50% of LDC CCPs believe the objectives are very valid, versus 25% of non-LDC CCPs. All eight contacted donors give strong support to the existing objectives. However, some beneficiaries and donors argue that the CTF will have strong difficulties in reaching objectives 2 and 3 with its current focus of activities. They argue that more emphasis on capacity building and coordination with other programmes would be needed to achieve objectives 2 and 3. At the same time, the importance of supporting participation is highlighted by all stakeholders.

A key issue is how the three objectives are interpreted. The key objective of the CTF clearly focuses on participation in international Codex work, while the development goal links participation with enhancing the capacity of experts. The objectives and outcomes focus mainly on participation and on initiating programmes and empowering countries to participate in Codex work. Effective participation is clearly linked to national capacities, but there is no standard model for this link as should be clear from Chapter 2. As one interviewee pointed out in the case of India: *“It is active in some committees and has a vice-chair, but it does not have a functioning Codex office.”* Serbia has strong scientific expertise in certain areas, but does not have a NCC.

From a programme theory perspective it is important that the hierarchy of objectives correlate with a programme’s mandate and scope of activities. If the objectives focus on participation then it makes sense that the activities focus on participation. However, the project document does not assign any priority to the first of the three objectives. In fact, they are listed with similar emphasis and if nothing else is said, that should mean that they are equally important. Objectives entailing national food safety capacity and institutions would be difficult to reach directly, while focusing on participation. This does not exclude that a narrow focus on participation, could have indirect positive impact on national food safety structures, as indeed was shown in Chapter 2.

Given the strong support expressed by stakeholders there does not seem to be a need to revise the basic objectives of CTF within the lifetime of the programme. However, the way the objectives are formulated in the project document is somewhat unclear and complicated – e.g. what is the signification of initiating a *“programme of participation* in Commission meetings”? There is an opportunity to clarify the objectives and the outcomes of the programme, within the ongoing work on developing a monitoring and evaluation system of the CTF. This issue is discussed in Chapter 5.

As has been pointed out by previous external reviews, the first of the objectives and the first output, what we sum up as “increasing participation” has received priority. When the programme structure is now being reviewed, the sources for this priority should be addressed, as we cannot see that it follows from the programme logic. If the programme should be able to meet its objectives by 2016, there must be a sharp refocusing on the quality of participation and in bringing scientific research from developing countries to the Codex process. As this raises difficult issues of the division of labour with the FAO capacity building programmes, there is a

need for increasing conceptual clarity on the subject. In the past, the vagueness seems to have been dealt with by avoiding the issue and refraining from any more significant activities relating to these objectives and outputs. As a consequence there is a danger that the whole set of programme objectives will not be met and a program that only meets one of three objectives would obviously be called a failure.

### **Box 1 Goal, objectives and expected output of the CTF**

#### **Development goal**

The goal of the Project and Fund is to further the improvement of global public health and food security by promoting the provision of safer and more nutritious food and contributing to a reduction in foodborne disease. This will be achieved by (a) helping regulators and food experts from all areas of the world to participate in international standard-setting work in the framework of Codex and (b) enhancing their capacity to help establish effective food safety and quality standards and fair practices in the food trade, both in the framework of the Codex Alimentarius and in their own countries.

#### **Key objective**

To help developing countries and those with economies in transition (target countries of the CTF) to enhance their level of effective participation in the development of global food safety and quality standards by the Codex Alimentarius Commission (CAC).

#### **Immediate objective 1**

Countries that are members of the CAC, but which are unable to effectively participate in the CAC and its committee/task force process because of the limited availability of government funds to support an ongoing presence in the continuing work of the Commission and its committees, will be assisted to initiate a programme of participation in Commission meetings and in the work of those committees/task forces addressing issues of priority health and economic concern to them.

#### **Immediate objective 2**

Countries that are members of the CAC, that have as yet to routinely develop and put forth national considerations in the Codex standard setting process, will be empowered to effectively prepare for and participate in the work of those committees addressing issues of priority health and economic concern to them.

#### **Immediate objective 3**

Countries that are members of the CAC, that have as yet to participate actively in the provision of scientific/technical data in support of the standard setting process, will be assisted to initiate a programme of scientific/technical participation in committees addressing issues of priority health and economic concern to them.

#### **Output I – 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.

#### **Output II – 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.

#### **Output III – 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.

### **Country groupings, matched funding and graduation**

The arrangement for country groupings, matched funding and graduation is one of the more controversial aspects of the CTF. Some beneficiary countries, in Latin America in particular, have expressed concern that the criteria used for determining eligibility and phase out periods are biased. The debate has reached such proportions that, in the words of one of the Codex Chairs: “[t]his issue affects the whole Codex process. We cannot allow this malignancy to grow.”

The question of who should benefit from the CTF and from which type of activities relates to the perception that certain CTF beneficiaries are not up to standards that was discussed above and that some countries have low capacity to make participation effective. At the same time it can be asserted that there is a learning process in terms of preparing countries for Codex participation and it takes time for national structures to evolve. In addition, donors have aid priorities, often with a focus on the poorest countries, which have to be met. There is also a need to establish transparent and objective allocation criteria. To this background, what is a 'fair' distribution of CTF resources?

The current allocation system is based on country groupings, in which countries are placed, based on a set of criteria relating the list of Least Developed Countries established by the United Nations Economic and Social Council, the World Bank classification of economies and the UNDP Human Development Index.<sup>12</sup> The list of eligible countries is reviewed annually. The original groupings are presented in Table 7.

**Table 7 CTF country groups and graduation**

	Criteria	Initial number of countries	Number of countries 2010	No. of countries graduated 2010	No. on matched funding 2010	No. expected to graduate 2011
Group 1A	Least Developed Countries (LDCs)	42	48	0	23	12
Group 1B	Other low income countries, low-income (LIC) or low human development (LHD)	19	11	0	11	8
Group 2	Lower middle income (LMC) or medium human development (MHD) countries	41	30	19	13	6
Group 3A	Upper middle income (UMC) and MHD countries	15	16	2	11	5
Group 3B	UMC countries	16	11	9	1	0
	<i>Total</i>	<i>133</i>	<i>116</i>	<i>30</i>	<i>59</i>	<i>31</i>

Since the CTF is intended to act as a catalyst to enhanced participation in Codex and also to ensure the financial sustainability of the Trust Fund, a matched funding mechanism has been put in place. A gradual increase in the financial participation of countries takes place according to a sliding scale which is shown in Table 8. For example, LDCs are expected to start contributing by their sixth year of participation and are no longer eligible for funding ("graduate") in their eighth year of participation. In addition to these rules, a decision was taken at the December 2007 meeting of the Consultative Group for the Trust Fund that small island developing states with populations of less than 1 million should be given an additional year at 50% matched funding status given the small size of their economies. As shown in Table 9, the lower the group, the more meetings are financed. The exact levels depends on availability of funds and are decided in December each year by the Consultative Group based on planning scenarios presented by the

<sup>12</sup> Initially, only three groups based on World Bank classification were foreseen, but it was extended to the current structure in view of the desirability to take into account other factors than those purely economic in nature. (FAO/WHO Project and Fund for Enhanced Participation in Codex (2003))

Secretariat. In total 30 countries had graduated by 2010 and 59 countries were on matched funding. So far no countries in group 1 have graduated, but, as is shown in Table 7, 20 countries, including 12 LDCs, can be expected to do so in 2011. This will be a decisive point as far as sustainability of participation is concerned.

**Table 8 CTF graduation schedule, percentage financed by the CTF**

Country Group/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%				

**Table 9 Number of supported participants per country by country group and year.**

Year	Group 1a	Group 1b	Group 2	Group 3a	Group 3b	Expenditures US\$
2004	NA	NA	NA	NA	NA	561,297
2005	5	4	2	1	1	1,759,272
2006	2	2	1	1	1	882,641
2007	3	3	2	1	1	1,300,427
2008	4	4	3	1	1	1,635,993
2009	5	4	3	2	1	1,807,296
2010	5	5	4	3	1	2,500,000 (planning figure)

So how is this allocation system actually perceived by stakeholders? Half of the surveyed CCPs believe that the Codex Trust Fund rules on country groupings, selection criteria, matched funding arrangements and country graduation are transparent and fair, while a quarter believe they are very fair (Table 10). The CCPs that do not believe that the criteria are fair are in majority from Latin American non-LDC countries. Among the non-LDCs outside LAC, only two CCPs out of 23 (9%) believe the criteria are not so fair. In their written comments, countries highlight their various needs: LDCs (group 1A) argue that they are disadvantaged; small-island states that they have special needs; and non-LDCs that they also are developing countries with limited financial resources and that account should be taken of the capacity to participate effectively. The Latin American countries also argue that the criteria unfairly give advantage to other regions and claim that donor countries may use the support of the CTF to pursue their own aims by seeking support from certain developing countries. An interviewee from Latin America suggests:

*“The funding should be focused on those countries with economic disadvantage, but that have already proven to have their institutions in place. The aid for the most needed countries should be based on capacity building first, in order to get them to a level of understanding of the international debates. The CTF should find ways to assure that the participation in the meetings is effective (take into account the national committees, the preparation of the national positions, the status of the institutions that deal with food safety and food trade issues, etc.), otherwise the money is not well spent.”*

Ideally, as a Caribbean CCP suggests, when “...recipient countries become Graduates from the Trust Fund, a final assessment of the country’s financial capability to attend Codex meetings should be conducted to determine the extent to which it will be possible for that country to finance future participation in Codex meetings.”

**Table 10 Do CCPs believe CTF's rules on country groupings, selection criteria, matching funding arrangements and country graduation are transparent and fair?**

	Not so fair	Yes	Yes, very fair	Total
Africa	3	11	6	20
LAC	8	3	0	21
Other regions	2	12	7	11
Total	13	26	13	52

The donor representatives interviewed are with one possible exception supportive of the current focus on the poorest countries and the incentives provided by graduation and matched funding requirements. This seems to correlate with the strong poverty focus that prevails in the international development community. This is not to say that donors are not aware of potential tensions, as one donor representative puts it:

*“We are aware that there is dissatisfaction about the country groupings which are based on World Bank/UNDP classifications but we cannot identify any viable alternative to the current system. We believe that it is entirely justifiable to direct limited funds to those countries that have the greatest need and to have a system of graduation that calls on countries to take on progressively increased responsibilities for self funding. We are aware of concerns of some middle income countries with regard to their eligibility and access to the Trust Fund but there are no simple solutions to their concerns unless the Trust Fund can gain access to significant additional contributions.”*

Based on the data presented above it seems reasonable to conclude that there is strong support among donors and beneficiaries outside Latin America for the current allocation criteria. The country visits conducted during the review work and also the analysis of the participation of countries that have graduated and are on matched funding in Chapter 3 show that country circumstances are complex and variable. A country's Codex or food safety capacity cannot be grasped within easily computable quantitative indicators. As a consequence any attempt to group countries, without resorting to resource demanding assessments, is second-best by nature. The criteria currently used are based on well-established sources and they seem to have been followed in a transparent manner by the CTF Secretariat. The focus on the poorest countries was stated at the outset in the project document and is supported by donors and beneficiaries, but at the same time a much wider range of countries, that would perhaps not usually be the target of development cooperation activities, have been able to benefit from funding. In effect, the CTF was never meant to be a permanent support mechanism and as countries in group 1 start to graduate, any in-built bias of the allocation system will decrease.

As was shown in Chapter 2, the CTF has played a role not only in enhancing participation, but also contributing to institutional changes at country levels, for a wide range of countries. It is now important to focus on what happens after graduation, in particular since it will now become a reality for the poorest countries. What follow-up mechanism can be put in place that ensures transparency and fairness, addresses the greatest needs and fulfils the poverty focus of donors? We would suggest that the CTF Secretariat and the Consultative Group explore options as regards monitoring of participation and potential corrective action should participation drop dramatically in 2011.

### **Training and other forms of capacity-building**

It is difficult to get an overview of global development cooperation activities relating to Codex and food safety, not the least since the issues are inter-sectoral. Relevant interventions are likely to feature in relation to areas such as health, trade, agriculture and private sector development. Within the trade area efforts were made to track SPS-related assistance in the WTO/OECD

Trade Capacity Building Database (TCBDB), but from 2007 onwards it was integrated into the general OECD/DAC reporting system and SPS issues were integrated into a general trade policy code.

However, there are clearly many activities going on in the food safety field and the CTF is but a small actor in terms of volume. For example, the annual budget of CTF is around USD 2 million, while total assistance to SPS activities amounted to around USD 100 million in 2006, the last year for which information is available from the TCBDB. In that year, the EC was recorded as by far the largest donor in the SPS field, followed by the US, Australia, Norway, FAO and Switzerland.

No systematic compilation of donor activities related to Codex or food safety has been done in the framework of this mid-term review. However, interviews and surveys give an insight into some of the activities and actors highlighted by stakeholders. FAO and WHO (albeit to a lesser extent) are of course involved. Bilateral donors such as the EU, the US, Sweden and New Zealand indicate that they sponsor a variety of activities, which relate more or less closely to the CTF. In the words of the Swedish donor representative: *“Funding to the STDF is an obvious example of SPS- and food safety-related support provided by Sida. Moreover, the World Bank Trust Fund on Trade and Development, the Enhanced Integrated Framework and the International Trade Center all address standards-related issues, but not exclusively. Bilaterally we have various projects at country level. It is a focus area for Sida and keeps coming back. Demand is high.”* New Zealand, in turn, *“... has made a significant contribution to various multilateral and bilateral capacity building programmes in Codex and related areas. These have included contributions to regional training workshops and related activities aimed at promoting understanding of Codex and enhancing the capacity of countries to improve food regulation for health protection and trade.”*

61% of surveyed CCPs state that their countries have benefited from Codex training and/or capacity building. Programmes cited include various national FAO projects, which i.a. support national Codex structures, regional Codex seminars, training for CCPs, Codex online training, support from DFID/COMARK/SACAU, IICA activities, support from US Codex office and support to the national Codex structure from WHO national offices. In addition, 18% of CCPs state that they have received support from other donor programmes to participate in Codex committees. The other donor programmes or sources cited are: Southern African Confederation of Agricultural Unions (SACAU) (3 African countries), WHO (2 Asian and 1 SWP), Inter-American Institute for Cooperation on Agriculture (IICA) (2 LAC), the German agency for technical cooperation GTZ (1) and CARDS - an EU programme for the Western Balkans (some of these programmes are discussed below).

The CTF has so far participated in organising a limited number of technical assistance activities, spending a total of around USD 0.5 million by end 2008 (or 8% of total expenditures since the start of Trust Fund) and another USD 0.2 million planned for 2010. In the last years regional Codex training has been organised in collaboration with FAO and WHO back-to-back with Codex regional coordination committee meetings for all regions bar the Near East (planned for 2010). In addition, three Codex training courses back-to-back with CCEURO, CCASIA and CCNASWP and two sub-regional workshops in Africa are planned for 2010. As should be clear from the discussion in Chapter 2, the country visits show that these activities are important to stimulate Codex work at national level, in combination with CTF sponsored participation. The CTF is also supporting a pilot CCP partnering/mentoring programme in 10 countries in the Codex African region, which was proposed as part of the strategic framework action plan at 18th Session of CCAFRICA.

In addition to training activities of more global reach, beneficiary countries have the option to replace funding for participation with funding for other activities. According to CTF rules, such activities must be directly related to enhancing the participation in Codex activities at national,

regional and global levels and may include support to CCPs and NCCs, participation in workshops and training, exchanges between countries and for fulfilling certain regional responsibilities. In the past, human resource constraints limited the possibility for the CTF Secretariat to follow up systematically on these requests. However, for the 2010 application, increased capacity allowed comprehensive compilation of the requests and active follow-up of all requests through contacts with the countries involved and by sending the list to FAO headquarters and WHO regional focal points. Most of the requests fell more within the FAO mandate rather than that of the CTF according to the CTF Secretariat. The latter saw its role more as a facilitator.

In the end, and as a result of dialogue with concerned countries and FAO and WHO Headquarters and Regional Offices (sometimes also involving FAO and/or WHO country offices) only two projects have been retained in exchange for participation, one concerning a study tour to a country in the Asian region with more advanced Codex structures and activities and one focusing on developing a data-base to help determine Codex priorities. In addition, many of the requests related to risk assessment. This fed into on-going discussions between the CTF Secretariat and the joint secretary of JECFA (located in FOS) on addressing objective 3 of the Trust-Fund by taking initial steps to develop a training programme designed to increase the knowledge of developing countries on how scientific data gets inputted into the Codex process and how they can participate in this process. The CTF is supporting an external consultant to develop a short training course which will be delivered for the first time to delegates to the 4<sup>th</sup> session of the Codex Committee on Contaminants in Foods (CCCF) in April 2010. According to the CTF Secretariat this is intended to be a first building block in working with FAO, WHO and the secretaries of the FAO/WHO expert committees to work on the design and delivery of more comprehensive risk assessment training aimed at enhancing the capacity of developing countries to both understand and participate more effectively in contributing to the science base of Codex. Also to address objective 3, the CTF is providing pilot funding to Ethiopia to develop useful information for Codex consideration.

The role of the CTF in capacity building is not clear-cut. The original project documents opens up for financing the following type of activities:

- Activities which would help countries to meet the basic criteria for participation, e.g. facilitation of the designation of a Codex contact point;
- Basic awareness raising and training in relation to Codex;
- Technical support to empower national Codex committees (or equivalent) to develop and put forth national considerations to the CAC, its committees or task forces.
- More scientists/technical persons contributing to the work of the CAC through their participation in delegations to Codex committees and task force meetings.

So far CTF does not seem to have been directly involved in activities at national level, but have rather focused on regional training as mentioned above. There seems to be an established division of labour primarily with FAO, according to which the CTF focuses on participation and FAO on capacity building. In the most recent action plan, the CTF is getting more engaged in national and sub-regional activities. In addition, there are initial steps to address output 3.

When asked if the current focus on activities and funding of the CTF is appropriate, 88% of surveyed CCPs believe that it is appropriate or very appropriate. The difference between Africa and LAC is apparent; All African respondents believe the focus is appropriate or very

appropriate, while only 58 % of the LAC respondents. The difference between LDCs and non-LDCs is not that pronounced (the approval figure is 11% higher for the former group compared to the latter). In spite of the strong support, several CCPs would like to see greater engagement in capacity building, including at national levels. Around half of the surveyed CCPs believe that the CTF should direct its efforts more towards capacity building, by supporting inter alia national CCPs, NCCs, and technical and scientific work, when questioned if the future focus of CTF should change. Some of the suggestions purported by CCPs are listed in the table.

**Table 11 Selected answers to the question: “What role do you see the CTF playing in Codex training and/or capacity building?”**

Region	Proposal
Africa	System assessment, support to training with experts, exchange of experiences, strengthening of the national CCPs
Africa	More focus at sub-regional levels
SWP	Funding participation of participants in regional training workshops
SWP	CTF plays a vital role in codex training and capacity building but there should be more specific trainings focused on writing country positions, responding to circular letters, etc.
North Africa	Continuous training for the CCPs
LAC	The Trust Fund should be exclusively for participating in Codex meetings.
Caribbean	The Codex Trust Fund should consider offering financial and/or technical assistance to developing countries that need to conduct research, in order to provide scientific evidence in support of their draft proposals and/or National Positions.
Africa	1. The codex trust fund activities need to be in the website to enable us respond to the question above appropriately. 2. For Capacity building the trained developing countries can be used to train their neighboring countries to save some funds on long distances
Asia	Organize the New E-Learning course on Codex, entitled "Enhancing participation in Codex activities.
Asia	Facilitator and fund provider.
Africa	Awareness raising is an important step towards training and capacity building.

The interviewed donor representatives are quite firm in their opinion that the CTF should continue to focus on participation (as expressed by the three objectives) and not engage in capacity building activities, for which there are other providers, in particular FAO and WHO. At the same time, some donors want to see more work done on making participation effective in line with the need expressed above to address objectives 2 and 3. Overall, donors seem to be rather supportive of the activities currently undertaken by the CTF Secretariat, in terms of training activities organized back-to-back with Codex meetings and acting as a facilitator between countries and providers of capacity building such as FAO and WHO. Three donors independently suggest that a mentoring approach may be tested, whereby developed countries “adopt” developing countries. The EU mentions that a mentoring programme is already in place in the SPS Committee, in which the Commission mentors Senegal and Kenya. It can also be mentioned that the Swedish National Board of Trade is testing this approach with eight African countries in relation to the WTO TBT Committee.

The most important partners for the CTF as regards capacity building activities are FAO and WHO. The former has extensive activities that relates to food safety and Codex, while the WHO regional and country offices are involved to various degree depending on the region and the country. The cooperation between the CTF Secretariat and FAO/WHO is discussed further in Chapter 5.

Donors also emphasise the important relationship between the CTF and the Standards and Trade Development Facility (STDF). The STDF is a multi-agency/donor initiative that aims to promote coordination in the provision of SPS-related assistance, while at the same time mobilizing resources and supporting projects to assist developing countries enhance their capacity to meet SPS standards.<sup>13</sup> FAO, WHO and the Codex Secretariat participate in the STDF. The Department of Food Safety and Zoonoses (FOS), where the CTF Secretariat is located, represents WHO in the STDF. There is a difference in focus between STDF and the CTF; STDF supports implementation of standards, while CTF supports enhanced participation in the development of standards. STDF would not fund participation or scientific research for the development of standards, infrastructure or equipment. STDF also have a wider mandate that cover the whole SPS area. STDF is already involved in Codex activities, e.g. the STDF Secretariat participates in some regional Codex activities and is discussing with the Codex Secretariat to participate in CCAFRICA in 2010 and the facility supports Codex structures as part of support to food control. STDF reports on its activities to CAC each year and is trying to reach out to CCPs through its newsletters.

Considering the many institutional links and common interest between the two facilities, it may come as a surprise that the substantive interaction appears to have been very limited. There may have been less need for collaboration when the CTF mainly focused on enhancing participation, but if the CTF is to scale up its efforts to address Outputs 2 and 3 the STDF seems a very suitable partner. Previous external reviews of the CTF did not focus explicitly on this issue. Recently, however, and seemingly following the enhancement of capacity of the CTF Secretariat, initial contacts have been taken directly between the two Secretariats. The exact relationship between the STDF and the CTF will need to evolve through recurrent discussions and interaction between the involved parties. One possibility could be for the CTF Secretariat itself to take more direct part in the STDF working group together with colleagues in FOS. The two facilities could also cooperate in information and training activities. There may also be potential collaboration in project development, based on requests and needs expressed within the framework of the CTF. The coordination activities of the STDF, e.g. in relation to needs assessments and indicators, may also be of interest to the CTF. At the same time cooperation goes both ways; e.g. it has been suggested that the WHO could increase its level of activity in STDF, e.g. through presentation of its standards related activities and by sending STDF project proposals to its country offices for comment.<sup>14</sup>

The next priority would be to engage with programmes that are directly involved in supporting preparation of Codex meetings and funding participation. Again some initial steps seem to have been taken by the CTF Secretariat. Three relevant programmes have been identified during the evaluation, hosted by the Southern African Confederation of Agricultural Unions (SACAU) and African Union/Inter-African Bureau for Animal Resources (AU/IBAN) in Africa and by Inter-American Institute for Cooperation on Agriculture (IICA) in Latin America. SACAU has collaborated with the DFID funded ComMark programme which aims to develop the private sector in Southern Africa, through improving the participation of SADC countries in international standard setting bodies, including Codex. The ComMark programme seems to have come to an end in December 2009 according to the website.<sup>15</sup> IICA is an affiliate of the Organization of American States and also an observer in STDF. IICA implements a SPS

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<sup>13</sup> <http://www.standardsfacility.org/>

<sup>14</sup> There is also a Trade Standards Practitioners Network (TSPN) with a large number of members and partners, including STDF and IICA, which according to its website aims “to improve the effectiveness of initiatives that support developing country capacity and participation in the implementation of trade-related social, environment and food safety standards and related measures through information sharing, policy research and capacity building.” (<http://tradestandards.org>).

<sup>15</sup> [www.commark.org](http://www.commark.org)

Initiative for the countries of the Americas with support from the US. It includes funding physical participation in Codex meetings.

IBAN manages funds provided by the EU in the framework of a programme named Participation of African Nations in Sanitary and Phytosanitary Standard-setting Organisations (PAN-SPSO). The focus is on helping prepare African countries for participation in Codex, the World organisation for animal health (OIE) and International Plant Protection Convention (IPPC). The main activity is to organise multi-country general meetings to understand issues under discussion. Normally the programme does not sponsor participation, but that could be envisaged according to the EU. CCAFRICA and the Codex Secretariat are involved in the programme. STDF is member of the steering committee of the programme and some funds are set aside for STDF to formulate activities, which includes regional/national training sessions on standard setting, standards capacity building for the African Regional Economic Communities and exploratory work on promoting the establishment of national SPS committees.

The *raison-d'être* of the CTF in terms of capacity building would seem to emanate from its core activities in terms of sponsoring participation and the privileged dialogue opportunities (and even leverage) it gives with CCPs through the CTF application process. In this way the CTF Secretariat may be able to collect information through recurrent interaction that may not be available to other actors. The key question is what happens when countries, in particular the most vulnerable ones, start to graduate. Will that mean that the relationship with the CTF is lost?

The involvement of the CTF Secretariat in terms of capacity building has so far been limited to regional training, primarily back-to-back with Codex regional committee meetings. Lately, work has been spent on sub-regional activities, follow-up to capacity building requests and development of training material. There may also be opportunities in supporting novel approaches, such as mentoring and inter-regional exchange. However, given the extremely limited human and financial capacity of the CTF and the number of actors and initiatives involved in analytical and capacity building activities, the CTF Secretariat has to tread with caution. Developing the internal cooperation with FAO and WHO, participating more systematically in STDF and liaising with programmes directly supporting participation in Codex activities seem to be a reasonable initial level of ambition.

## Chapter 5. Management of the Codex Trust Fund

### Secretariat capacity and efficiency

Daily management of the CTF is undertaken by the CTF Secretariat located in the Department of Food Safety and Zoonoses in WHO. Both Slorach (2007) and Connor (2007) argued that the capacity of the CTF Secretariat was insufficient to among other things ensure administration of recurrent administrative tasks and allow for sufficient monitoring and evaluation of results. The task to administer applications, travel arrangements and reporting is considerable. On the whole analytical and coordination tasks, such as reflecting on reporting, following up requests for capacity building and coordinating with other actors seem to have suffered. In addition, a number of administrative issues, delays and communication problems have been reported during this review (see next section).

Nevertheless, beneficiaries are on the whole content; 84% of surveyed CCPs rate the performance of the CTF Secretariat as Good or Very good. There is little difference between LDCs and non-LDCs. Latin American countries are less content than other regions, with 45% rating the performance of the CTF Secretariat as average or not so good. All African countries have performance ratings in the Good or Very good range. Donors are overall also appreciative of the Secretariat, acknowledging that it performs its tasks with dedication, given limited resources. One donor saw a risk in dependency on very few persons; what would happen if the current Administrator left the programme?

At the end of 2009, the capacity of the Secretariat was augmented, when the Administrator (P4 level) was hired on a full-time basis. The support staff is still on 80%, but both staff were given 2 year fixed-term contracts instead of having to rely on temporary contracts. There are already indications, as has been mentioned above, that this has freed up time to qualitative aspects of the CTF, such as increased focus on capacity building and coordination activities.

The CTF Secretariat follows WHO procedures and financial rules and regulations. Contributions to the CTF are recorded in the WHO "Voluntary Fund for Health Promotion" and earmarked for the Codex Trust Fund thus ensuring that all contributions are used solely for the purposes of the CTF. WHO has a "results based management" system that is used to develop biennial "programme budgets" which are adopted by WHO's governing body; the World Health Assembly. Biennial "workplans" are developed within this programme budget and the CTF has a separate section in the overall workplan of the department of Food Safety and Zoonoses. This allows the CTF to track expenditures for the project using a WHO internal coding system. Financial records and reporting are part of the overall financial reporting of WHO and reported on in the financial report and audited financial statements of WHO. The CTF maintains an internal list of all individual donor contributions which is updated and published each year in the Annual Reports of the CTF. Aggregated expenditures of the CTF are extracted from WHO financial records and presented in the Annual Reports.

WHO levies programme support costs (PSC) of 13% on all contributions made to the organization to cover administrative costs related to administering the funds. The PSC is taken off contributions as soon as funds are made available for use (for example upon signature of agreements with donors). The funds that are available for use by the Codex Trust Fund are, therefore, net of the 13%. Administrative costs reported for the project include the costs associated with staff (fixed and short term), travel of staff, hospitality (e.g. catering during side events at CAC), and general operating expenditures (telephone, fax, mailing, equipment, translation).

There is a financial section in the CTF annual reports, which includes information on donor contributions (see below) and expenditures. The expenditures for 2006-2008 are shown in Table 12. The review could not get access to the expenditures for 2009 as these had not yet been finalised at the time of writing. According to the CTF Secretariat, that information is not available internally until April and is not released officially until the Annual Report goes out in June of each year. One donor stipulates that administrative costs associated directly with the project should not exceed 12% of total expenditures. The high level of expenditures on Project management and administration in 2008, exceeding the stipulated 12% level, is explained by the cost of a replacement for the support staff who was on maternal leave and contracts issued for short term staff to assist the Secretariat in the strategic planning process to implement the recommendations of the Connor and Slorach reports.

**Table 12 Actual CTF expenditures 2006-2008**

(USD)	2006	%	2007	%	2008	%	2003-2008	%
Support to beneficiary countries								
- <b>Least Developed and Low Income Countries</b>	428,788	49%	584,356	45%	667,793	46%	2,739,466	46%
- <b>Lower and Upper Middle Income Countries</b>	322,194	37%	486,197	37%	307,685	21%	1,883,958	32%
Training and technical support	-39,174	-4%	115,383	9%	110,524	8%	470,815	8%
Project management and administration	170,833	19%	114,491	9%	361,778	25%	857,178	14%
<b>TOTAL</b>	<b>882,641</b>		<b>1,300,427</b>		<b>1,447,780</b>		<b>5,951,417</b>	
No sponsored beneficiaries								
<b>Least Developed and Low Income Countries (Group 1)</b>	70		151		149		567	
<b>Lower and Upper Middle Income Countries (Groups 2 and 3)</b>	41		72		81		316	
<b>Cost per beneficiary (Group 1)</b>	6,126		3,870		4,482		4,832	
<b>Cost per beneficiary (Groups 2 and 3)</b>	7,858		6,753		3,799		5,962	

The information provided on expenditures in the financial section is highly aggregated and covers the whole period of the existence of the CTF, making annual comparisons difficult to make. There is no break-down per activity and no reference to the 12% benchmark stipulated by one donor. Moreover, for planning purposes, CTF uses a flat rate per beneficiary (USD 4,500 in 2010), but the financial section does not compare this amount to actual costs.

When asked about cost-effectiveness of the Secretariat the responses indicate that donors do not have sufficient information to have a clear judgement, even though some appeared to be satisfied and they are on general happy with the overall performance of CTF. Two donors reflected critically on the appropriate level of overhead costs, in the words of one donor: *“The progress*

*reports state that around 10-15% go to administration. This is probably in line with most funds, but we are not sure where the money is going, because it is intransparent. More information is needed.”*

One possible approach to gauge efficiency is to look at the travel cost per participant. As can be seen from the table it fell dramatically between 2006 and 2007, and even more in 2008. This is probably because the CTF started issuing only economy class tickets in the beginning of 2007, a move that was greatly supported by Slorach (2007). One problem when discussing the efficiency of the CTF is that no information on the cost of individual capacity building activities is available. The cost of training activities that take place in relation to committee participation (essentially additional per-diem) is included under the Support to beneficiary countries heading, while the cost of stand-alone training events are included in Training and technical support.

There seems to be limitations as to the type of financial reporting that can be produced in the WHO systems. According to the Secretariat it is a time consuming manual exercise to revise and compile the raw financial data provided by the WHO system. The final financial information also has to be cleared with internal budget and financial control before they are published in the Annual Report. In addition, the figures given in the Annual Report for each year are based on the information snapshot that is available to the CTF Secretariat in the WHO financial system at the time that the Annual Reports are written (around March). There are outstanding and unliquidated obligations from the previous year that may not yet be showing as expenditures and that are reconciled little by little throughout the year. Consequently the CTF Secretariat is never able to “close its books” and expenditure figures will show adjustments from one Annual Report to the next.

Nevertheless, in principle it should be possible for the CTF Secretariat to provide more disaggregated data than is currently being done. It should also be part of procedures to save the underlying files containing the disaggregated data and individual entries for the Annual Report. Overall, there is clear room for improvement both in terms of the presentation, the level of detail and the analysis of expenditures in order to enhance transparency and allow for better analysis of efficiency.

### **Selection of participants and travel arrangements**

As discussed in previous Chapters, one key criticism of the CTF is based on the perception (real or not) that the selection of participants and meetings are not optimal. At the same time the selection process is a key tool for the CTF to have an impact at country level. There seems to be a lack of awareness among stakeholders what the CTF selection procedures actually look like. Beneficiaries, in turn, have been frustrated by administrative issues and delays as has already been mentioned above. Consequently, there are many reasons to review the whole selection and administrative cycle of the CTF in some detail. There is an annual administrative cycle which is outlined in Table 13 together with the division of responsibilities.

As can be seen in the table, there are four main phases in the CTF administrative cycle: application, review and decision making, travel arrangements and reporting (which is dealt with below).

As a matter of national sovereignty the CTF Secretariat leaves to the applicant country to nominate and decide on which meetings and participants to support. However, in the application form there are several requirements to ensure that this process is as transparent and inclusive as possible, something that was enhanced in the application for 2010. Each box in the application form has to be completed and the final application has to be signed by the CCP, the designated participants to meetings, those involved in completing the application form, and the local WHO and FAO representatives. In addition all participants from countries that received support during

the previous reporting period (e.g. the reporting period is August 2008-July 2009 for countries requesting support in 2010) must have submitted a report on the supported participation in order for the country to be considered for funding. The application contains the following boxes:

- CCP contact data
- Description of the NCC or equivalent structure, including the information on members, meetings, structure, other stakeholder consultations, activities and obstacles.
- A list, in order of priority, of up to five Codex meetings at which a country would like to be represented in the following year 2010, including the names, positions, and signatures of delegates to be funded
- A description of the process and rationale for priority-setting, including the process and criteria used at the national level to select priority meetings and reference to how the priority meetings fit into the objectives of the country's Codex programme
- A description of how the applicant country prepares delegates for Codex meetings and ensures information sharing after meetings
- The possibility to request support to activities other than participation
- Other sources of support and technical assistance
- Names, positions and signatures of national authorities involved in completing the application and of FAO and WHO country representatives consulted during its preparation

The beneficiary participants are obliged to undertake relevant country-level consultations, discussions and research prior to the meetings, be present at the opening session and remain and participate for the full duration, debrief interested parties at country level and complete the online report form in conjunction with the CCP and interested parties. According to the CTF Secretariat, much time and effort is needed to work with applicants to ensure that the applications are complete. This was particularly the case in the most recent round of applications, possibly caused by a more demanding application format, i.a. requiring signatures from all parties involved. At the time of writing three applications are still not complete. The CTF Secretariat believes the efforts are worthwhile, that the requirement for national consultations will bring results and that there is an educational process taking place. In addition, the interaction allows the Secretariat to identify and address weaknesses in national Codex systems in collaboration with regional/national WHO/FAO offices and staff.

An alternative approach would be for the CTF Secretariat directly or through intermediaries to start getting deeper involved in the selection process itself in order to guide countries in making the 'right' choices in terms of participants and meetings. Initial steps in this direction have already been taken through the application requirements and the involvement of local FAO and WHO offices. Varying local circumstances and the aim to keep transaction costs low makes it difficult to imagine an efficient way to centrally guide the whole selection process. There are indeed strong ownership, sovereignty and learning-by-doing arguments for applicant authorities, with involvement of regional and local FAO and WHO offices and strong signals through the application requirements, to take the main responsibility for the selection process.

**Table 13 Administrative cycle of the CTF**

Step	Timing	Responsibility
Application sent in using application form available on CTF Website	Deadline: 31 October	CCP
Review of applications	November – December	CTF Secretariat
Scenario planning	November – December	CTF Secretariat
Decision on support levels	December	Consultative Group
Response to CCPs with decision and instructions	January	CTF Secretariat
Registration form and bank details to the CTF	January	Beneficiaries
Invitation to meetings	2-3 months in advance of meetings	Codex Secretariat
Registration for meeting; visa and travel arrangements*	One month before each meeting	Beneficiaries
Travel request upon confirmation of receipt of travel itinerary and visa	At least 10 days before the travel date	CTF Secretariat for countries in regions who are not yet on GSM (Africa and Lat Am), WHO offices for countries in regions who are on GSM and who can pay per diems from WR's imprest account and WHO administration in Kuala Lumpur
Travel authorisation to travel agency that releases ticket to beneficiary	8 days before travel date	Amex and WHO admin in Kuala Lumpur
Per-diem is transferred to bank account of the beneficiary or disbursed locally	8 days before travel date	WHO admin in Kuala Lumpur (automatically send instructions for payment 8 days before travel) and local WHO Office when necessary
Reporting to CTF Secretariat	Three months after meeting	Beneficiaries

*\* If there is travel agency authorised by WHO in a country, participants book their tickets locally; if not the CTF Secretariat takes care of ticket reservations from Geneva.*

Another decisive issue is the administrative and travel arrangements that follow on a successful application. As can be seen in the table above, there are a number of procedural steps, all of which may be delayed or misinterpreted for various reasons. In order to facilitate this process the response letter sent out to successful applicants in January contains information about registration for Codex meetings (to be sent directly to the Codex committee of the hosting/co-hosting country), travel and per diem. In addition, a document named Codex Trust Fund policies and administrative procedures is published on the CTF website.

Previously, the CTF Secretariat sent out individual e-mail invitations to beneficiaries before meetings, but this procedure proved cumbersome and ineffective which is why it was discontinued. Beneficiaries can now start preparing for travel after the application response mail to CCPs in January. During country visits and surveys issues were reported on all steps of the administrative process: e-mail invitations arriving late, problems with travel agents, delays in receiving visa and non-reception of per-diem. In one of the visited countries, the interviewees were frustrated by difficulties to get response from the CTF Secretariat and invitations arriving very late, which made it difficult to plan ahead and get flight tickets at low cost. In some cases participants had been forced to travel at their own expense and had not been reimbursed several months after the meeting.

In addition to capacity constraints within the CTF Secretariat, administrative issues may have been caused by the fact that WHO switched to a new administrative system in the summer of 2008, which was outsourced to Kuala Lumpur in Malaysia. According to the CTF Secretariat, the instructions for payment of per-diem are automatically sent from Kuala Lumpur 8 days before the date of travel, which is often not enough time for the payment to be processed and for the participant to get the money in their bank account or to get their per diem from the local WHO office before travelling.

There are also factors external to the CTF, which affect travel arrangements. Visa problems is a major issue for beneficiaries, in particular when there are no embassies of meeting host countries in their countries. The CTF Secretariat states clearly in its instructions that procuring visas is the responsibility of the beneficiary country. Another issue is that some participants have travelled to meetings without having received their per-diems, which is against the explicit instructions of the CTF. With the new administrative system per-diems cannot be provided on site.

### **Coordination with other stakeholders**

In previous chapters we have brought up the topic of coordination with other stakeholders, in particular in the context of various capacity-building programmes. However, one should not forget that division of labour is also a coordination instrument – and often the most effective one. The process of coordination through meetings, joint decision-making structures, informal and ad-hoc exchanges, etc. can often be very costly. It is always important to consider how much coordination is actually needed in order to get a job done, and to keep coordination at a minimum.

The coordination issues that we have brought up are largely ones where there is an additional benefit to be gained from considering what others are doing and how that could serve the overall purpose of the CTF. We have not seen any examples of how CTF activities duplicate efforts, collide with and create problems for other programs, and thus lead to an inefficient use of resources. The division of labour, that is, the clear and distinct purpose and activities of the CTF, has in itself been an effective coordination mechanism. Those working with the capacity building activities of other organisations can see what the CTF does and how its activities may fit into their programmes.

The problem, as it is identified in this report, is rather that it seems as if the participation in Codex meetings have been most useful when participants have come from an environment where Codex institutions are relatively well developed already, or where there is a process of change. The latter is then often a result of bilateral and multilateral technical cooperation projects.

In particular, the FAO's mandate calls for “raising levels of nutrition and standards of living ... and contributing toward an expanding world economy and ensuring humanity's freedom from hunger” (FAO Constitution). Developing the capacities of member countries to effectively manage food safety and quality is key to that objective. FAO consequently has capacity development in food safety and food quality as a core activity. In chapter 2 there were many examples of how FAO-financed technical assistance had played a role in the development of the Codex institutions in the countries visited in the course of the review.

The FAO activities are intended to enhance effective participation in Codex – input into the Codex process and application of Codex norms – in three ways. These approaches are closely

linked; rarely is one element isolated from the other two. A strong national Codex programme is an integral part of any well managed system for food safety, and vice versa<sup>16</sup>.

First, Codex capacity is strengthened whenever FAO helps members improve their technical and scientific ability to assess, monitor and control food safety in any aspect of the food chain: production, harvest, post-harvest handling, storage, transport, processing and distribution. Providing resources and training to enable countries to strengthen their laboratories, employ best practices, conduct risk analyses, and both monitor and control food quality makes them more informed and effective participants in Codex. It increases their preparedness for the scientific deliberations involved in the drafting of international standards and guidelines on commodities and food safety.

Second, FAO helps members create national food standards – or harmonize existing ones – in agreement with the international norms established by Codex. This involves identifying the gaps between national and international norms to establish a prioritized work plan for bringing them into accord. New food legislation is often drafted, codifying the new standards and regulations, and clarifying the responsibilities of various government bodies involved in food safety, including the CCP and the NCC.

Third, FAO works with countries to immediately enhance their participation in Codex. The goals are to create, fortify or reform CCPs and NCCs; encourage political and financial support for their work; and provide ongoing education about Codex to improve a Member's ability to navigate the standard-setting process

There is thus a clear division of labour between the FAO activities and the CTF, but it is also clear that the activities are closely related and that there are opportunities for synergies as well as risks of duplicating efforts. The coordination between the CTF Secretariat and FAO follows two main venues. First, FAO staff members are part of the Consultative Group of the CTF, and thus part of the strategic decision-making of the CTF. This arrangement provides the FAO Food Quality and Standards Service with direct access to all the information that would be necessary to coordinate effectively with CTF. This venue for joint decision-making that should provide for well coordinated decisions. Second, there is also an informal and decentralised consultation process between staff members of the CTF Secretariat and the FAO (Food Quality and Standards Service).

One of the prerequisites for coordination is that the partners who are to coordinate activities have adequate information on each other's activities. So, for example, the CTF Secretariat would need to know if the FAO finances a programme in Malawi and, if so, what that project is doing right now, if that would influence a Secretariat decision. Vice versa, the FAO staff needs to understand the decision process of CTF in order to plan capacity building activities that could match the participation in meetings. The FAO has recently completed an inventory of its technical assistance activities and that should facilitate more effective coordination in the future<sup>17</sup>.

As was mentioned above there are other actors with whom the CTF could consider developing and/or strengthening coordination, in particular when expanding activities to address the second and third objectives – but also if less universal approaches to allocation of funds were to be developed. The STDF as well as IBAN, SACAU, IICA and several bilateral donors have activities that are of interest. However, it is important to remember that coordination could be mutually reinforcing effects, but it is probably more important for other agencies to coordinate

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<sup>16</sup> Information from FAO/WHO (2007), the Global Initiative for Food-Related Scientific Advice, and the FAO Food Control and Consumer Protection Group

<sup>17</sup> Inventory of FAO Activities to Build Codex Capacity 1995 – 2009. (work in progress as of 12 Feb.2010)

their activities with the CTF than vice versa. To date, the other agencies have tailor made projects where the timing and content of activities could be adjusted to also make use of the CTF. The CTF has a universal approach that does not yet allow for much of local consideration and context. The challenge to coordinate is more with other organizations than with the CTF.

### Funding and donor relations

At the time of writing, Sweden is the largest donor to the CTF, followed by the EC and the US. The contribution of Malaysia should be noted, as the first emerging country donor. When Slorach (2007) wrote his report, the financial outlook for 2008 was bleak. The CTF enters 2010 with a much more comfortable situation. After closing two major funding agreements (Sweden and the Netherlands) in December 2009, the main worry of the Secretariat is currently its absorptive capacity. For the first time there is no funding gap in the beginning of the year.

One interesting aspect of the CTF is that it gets funding both from development agencies (such as Swedish Sida) and technical ministries/agencies (such as Japan) depending on the donating country. A donor like Sida provides its contributions to the CTF under an umbrella agreement with WHO, other follow a more decentralised approach. In addition, also depending on the donor country, there is a dynamic between the Codex and the development sides. In some countries the development community is rather sceptical (*“There is a general scepticism vis-à-vis Codex and they believe it is about food trade without link to development”* as one Codex responsible described it), while in others it has limited involvement.

**Table 14 Donor contributions to the CTF 2003-2010**

Donor	USD	Donor	USD	Donor	USD
Sweden	2,699,142	Norway	500,125	New Zealand	136,063
EC	2,156,606	Japan	550,000	France	100,000
USA	1,762,406	Ireland	410,267	Australia	75,946
Netherlands	939,701	Germany	306,441	Finland	58,824
Canada	651,118	Switzerland	275,643	Malaysia	20,000
		<b>TOTAL</b>	<b>10,642,282</b>		

In order to dialogue with donors, the CTF Secretariat organises a side event during the CAC each year (in addition to side events with beneficiary countries and all member states). Most donors look favourably on these meetings and only one donor believe there is not enough interaction between the CTF Secretariat and donors. A couple of donors would favour deeper cooperation between donors, but one highlighted that it is a capacity issue.

### Monitoring change, evaluation and other reports

There is a wealth of feedback information on the CTF activities. The CTF Secretariat produces Annual Reports and Progress reports. The latest Annual Report had a volume of 35 pages and it covered activities in considerable detail. It was an honest and open report that also mentioned problems, shortcomings, and difficulties. The regular reports have also been supplemented with other studies.

One report (Connor, 2007) was commissioned by DFID to: i) explore the impact of increased participation in Codex on the ability of developing countries to engage in food trade; ii) analyze how the Codex Trust Fund might be enhanced to strengthen national institutions to increase trade opportunities and food safety. The main data collection consisted of four country studies (Cambodia, Rwanda, Uganda and Viet Nam) and a visit to Geneva, in addition to a desk study. Another study (Slorach, 2007) was commissioned by Sida before making a decision on further

contributions to the Fund. The report addresses a number of questions related to the Fund, with particular emphasis on African countries. The main data collection methods included visits to Rome and Geneva and contacts with seven donor countries and some other stakeholders, in addition to a desk study.

Furthermore, the CTF Secretariat commissioned Krell (2008) to identify progress and difficulties in relation to national food safety activities in recent years. This report is based on a survey of national policy and activities related to food safety in countries eligible for the Codex Trust Fund. 46 of 60 countries responded to the survey. There is also a report commissioned by the CTF Secretariat to analyse country reports submitted to the Codex Trust Fund by participants supported by CTF to attend Codex meetings between August 2007 and December 2008 (Dimeschkie, 2009). These four reports were summarised in the Inception report of this evaluation. The CTF Secretariat have made a management response plan where it is identified how to take the recommendations forward.

The 2010 Action Plan prepared by the CTF Secretariat lists a number of activities in respect of tracking results and providing evidence for decision-making. The quantitative information on numbers of participants, origins, and which meetings they participate in is adequate and comprehensive. For a programme of its size, there has been a surprising quantity of monitoring and evaluation information made available, commissioned by the Secretariat and also by some of the donor organisations. That information is a necessary component in any assessment of the CTF. The question is rather whether too much information is collected and whether it is the right type of information and whether it is aggregated so as to make most use of it. If we look at the information gathered through the above mentioned efforts, it would seem as there are three gaps – that is, three aspects of results that need to be covered more systematically (that does not mean that the contents of the studies and reports were not useful, only that there are questions that remain to be answered):

1. Information on the quality of participation, that is, what happens during meetings, is it an effective participation, do the beneficiaries contribute to the discussions, do they propose sound and practical suggestions to move the work on standards forward?
2. Information on activities that follow at country level, for example research to substantiate a position, to submit before next meeting, developmental work to adapt standards and to publish national standards, etc.
3. Information on the overall changes in food safety systems, for example, the development of the NCC, funding issues and budgets for Codex works, networks and linkages, that is, the changes that could be analysed as a contribution to impact on food safety systems.

In respect of the first, Committee Chairs and possibly other participants could provide feedback on the performance in meetings, and other interviews do suggest that there are observations available – though of an ad hoc character. It has not been digested and may not merit being developed further at present, it is not sufficiently structured for that. There is data on attendance, but that only covers whether a person is there or now. It has no information on the quality of engagement. So, if someone does not really show up in meetings, or does not contribute to discussions, it could be reported. In the past the CTF Secretariat tried to have WHO staff monitor participation but results from the "intervention monitoring table" were not useful. We have not seen such data systematically analysed nor supplemented with qualitative analysis. Our interviews with Committee chairs indicate that they are too busy chairing meetings to be able to monitor participation. So, while some of the pieces of information exist, there is still not any reliable and comprehensive data on quality of participation.

In respect of the second subject, the most important data source is the participant reports that the participants are meant to send in after CTF-supported participation in a Codex meeting. There is a problem that not all participants send in such reports, but it seems that the number who actually does is increasing. This makes up a large volume of data and so far, the CTF Secretariat has employed a consultant to review, analyse and summarize the information. The quality of the reports vary, and it would probably be useful to select a random sample of countries and to see the participant report as the first step in an interactive process to describe what happens after the participation.

In respect of the third category of information, it is primarily through country visits such as were undertaken during this evaluation that this information can be gathered. The assessment of impact is qualitative and context dependent. While there are some factors that would always be part of the assessment, the interpretation of what they mean and whether some factor is a problem or not would depend on the situation in the country. An evaluation system should also be cost-effective. There is often a risk that too much information is gathered and the time to analyse it and reflect on its meaning is not there. Sometimes it is better to gather less information but use it more extensively. The progress reports from participants are a case at hand. We are not suggesting they should not be gathered, but that source of information should be used more extensively before developing new systems. It has a great potential and it is worthwhile to mine for more information, both on the activities following participation and on the overall impact of Codex work.

The CTF Secretariat has prepared a list of key indicators for project monitoring. There are a total of 15 indicators and it is described what the sources of verification are and when the data will be collected and reported. In many of the discussions that the evaluation team had with stakeholders of the programme, donor organisations, and participants, the question of results information was brought up. The subject was also discussed by the previous evaluation reports/studies mentioned above. There is a tendency to believe that all information needs will be met through the definition and gathering of data to measure indicators. There is no doubt that indicators play a useful role in monitoring and evaluation. It is also quite clear that the concept of indicators is handled very differently. Trained researchers mostly use the concept indicator to signify a very precise form of a data, often of a quantitative nature. If an indicator is qualitative, it should be rather simple qualitative data. There is a need to reassess the list of indicators in two ways;

- to make sure that quantities of outputs are not used as indicators of results (for example, number of training workshops organised as an indicator of whether the result “strengthened participation” has been achieved.)
- to critically assess the methods that would be used to measure the indicator. The method to verify the result (value of the indicator) must generate valid and reliable data. It is not likely that beneficiary country self-assessment will provide useful information on, for example, CCPs improved capacity to perform duties. There are forms of data that can be gathered from beneficiary countries, for example in respect of the key objective, development of national policy and legislative frameworks.

Indicators are attractive in many ways, but they are best seen as part of an inquiry rather than as answer to questions. It is particularly difficult to build monitoring and evaluation systems on indicators when the relationship between programme activities and impact is complex and non-linear, as in the case of CTF. Indicators can be used to assess progress in delivering the outputs of the programme, but their role in assessing impact and the achievement of more complex results is likely to be marginal.

## Chapter 6. Conclusions and recommendations

The Codex Trust Fund is a complex operation that has been active for six years, which is a sufficient length of time to launch operations, achieve some success, make and to learn from mistakes. We have reviewed the project design, the management of the project, its results and its impact. The focus of the evaluation has been on results at country level and the systematic gathering and analysis of data from those who have benefitted from the project and who are its main stakeholders. This Chapter presents the main conclusions and recommendations in respect of the questions posed in the Terms of Reference for the mid-term review (Annex 1).

### Relevance and Strategic Fit

The project has three objectives that connect to three outputs and these are generally summed up as; (1) increasing participation, (2) strengthening participation and (3) bringing scientific research from developing countries to the Codex process. While these objectives/outputs are clear in themselves there are still two sources of confusion. First, whether any one of them is more important than the others. Second, whether it is necessary and/or possible to undertake capacity building activities to reach the objectives 2 and 3 in particular.

There is an overwhelming consensus among stakeholders that all three objectives were relevant when the CTF started and remain relevant today, and that the CTF should undertake activities to address them all. To date some 90% of the budgets has been spent in relation to output 1 and 10% in relation to output 2, and very little on output 3. There is an urgent need to change that balance and shift resources to outputs 2 and 3 for the remaining six years of the project life-time.

Many developing countries need capacity development activities to make effective use of Codex participation. The second and third objectives of CTF need to be defined so that capacity development becomes an integral part of activities. At the same time it is necessary to have a clear division of labour between the CTF and FAO technical cooperation programmes in relation to Codex Alimentarius. The CTF should define activities that relate specifically to effective participation in Codex meetings (output 2) and bringing research and scientific evidence to meetings (output 3). These activities should supplement the activities of other projects and programmes that aim to strengthen Codex capacity. The value added of the CTF lies in a clear focus on global participation in Codex meetings and a privileged place in the Codex structure.

### Progress and Effectiveness

When half of the project time has passed, the first of the objectives has been reached, there has been some progress to the second objective, but there is very little progress on the third objective. In that situation there are two alternatives; (1) design activities that address the second and third objectives and make sure that they are reached within the remaining six years, or (2) revise the project document and remove the second and third objectives/outputs. There is no other choice – having objectives while not undertaking sufficient activities to reach them is not a serious approach to programme management. As indicated above, there is an overwhelming support for the three objectives and no indication that they would not remain relevant. Hence the evaluation arrives at a very clear recommendation of the first alternative; to develop activities to reach the second and third objectives.

Different factors influence the achievement of the three objectives. At a very general level, the selection of participants to the Codex meetings appears to be the most significant determinant. The selection process and administrative systems put in place by the CTF have been improved over time and the most recent changes will address past shortcomings. Before any new changes

are introduced the present selection process needs to be assessed during 2010. The cost to change is high and the administrative burden should be kept as low as possible.

At an equally general level the effects and impact of participation depend very much on the institutional environment that the participants come from and return to. It is a truism that development cooperation is usually most effective where it is least needed. Some of the most significant changes at the level of national institutions and food safety documented in this review occurred in countries that graduated from the system and most often irrespective of CTF funding. However, there were also significant impacts in other countries, and the presence of clear national policies, institutional structures, networks between organisations, and other context specific factors, indicate that participation in Codex meetings is beneficial.

### **Efficiency and Effectiveness**

The administrative costs of the CTF help the Mid-term review assess efficiency, but the ratio of costs to overall budget does not tell the entire story. The measure of efficiency should take into account the nature of the work done. Chapter 5 showed the different steps in handling the application and approval process and the management of participation. It is a large number of decisions to take and steps to go through, and as we saw there are also “accidents” along the way. Compared to other programmes that involve similar steps, it seems that this programme is managed at lower cost than many others<sup>18</sup>. In fact, the problem has rather been that the administrative costs have been too low and hence the quality of the processes has suffered and the effectiveness of the programme has been lower than it could have been. Efficiency and effectiveness are often contradictory values and doing something at the lowest possible cost can jeopardize the achievement of objectives and the quality of the work done as was pointed out in past evaluations. The capacity situation of the Secretariat has now been improved, as we have described in Chapter 5.

Whether the objectives will be reached by the time the project comes to an end in 2016 remain to be seen. The first objective will certainly be reached and if the present capacity-building activities in relation to participation are strengthened and some new initiatives developed, such as twinning partnerships and regional coordination, the second objective could be reached. As we have not seen any initiatives to develop a systematic and comprehensive approach to the third objective, and as six years is a short period of time to develop a new approach, there is a danger that the third objective will not be fully reached.

### **Impact**

The evaluation has documented substantial changes in national Codex infrastructures and the food safety systems over time. At times, these changes coincide with participation in Codex meetings. However, there are many factors that contribute to the observed changes. Sometimes export industries drive the development of standards and certification, while at other times the social policies of governments. However, what is clear is that there is a need for strong stakeholders who see the benefits of food safety systems. Such interests can come from many directions. Bilateral and multilateral development cooperation often play a part, and in the countries visited in the course of the evaluation there were many examples of technical cooperation programmes, at times duplicating each other and at other times supplementing each other. The evidence from our country visits shows that the participation in meetings has been seen as a useful supplement to other activities. The CTF has financed a small element in the total Codex work at country level, but one which it was often difficult to find other financial resources for. This provided an incentive for other activities and brought intellectual inputs, networking

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<sup>18</sup> see for example evaluations of Sida International Training Programmes, UNESCO Workshop management (External Independent Evaluation of UNESCO (forthcoming 2010)).

opportunities, stronger regional collaboration. The participation in meetings can be described as catalytic and it contributed to the changes and the development of the institutional framework related to Codex Alimentarius at country and regional levels.

## Sustainability

It is important to be clear about what exactly it is that could be sustained when a programme is analysed. The CTF is expected to generate three outputs; increased participation, strengthened participation and scientific evidence from developing countries (for brief). Can these outputs be sustained? The evidence gathered through country visits, surveys and interviews give some indications;

- The level of participation achieved through CTF financing may be difficult to sustain, at least for small low income and some transition economies, even though the first real test will come when a large group of LDCs graduate in 2011. At the same time, even some of the poorest countries have been able to fund participation from non-CTF sources in parallel with seeking CTF funding and when required by the graduation process. Strengthened participation could be sustained. There are institutional changes that have been catalysed by the CTF in some countries, such as the establishment of NCCs, which are unlikely to just evaporate after graduation. Capacities have been strengthened at the individual level; the knowledge gained through the training programmes, the possibility to update with web-based training material, the experiences gained through participation – all these are immaterial assets that rest in the minds of persons. There is no financial issue involved in this.
- As there has not been much progress in respect of the third output, there is no question of sustainability to address. In cases where progress actually occurred, the issue of sustainability could be analysed using a mix of the two first arguments.

The more important question is to what extent the changes in food safety systems (the impact) are sustainable? There are different threats to sustainability in respect of the different forms of impact. We analysed national policies and described how there were new policies developed and how countries adapted standards. The evaluation argued that such changes are sustained as they are part of the political and institutional landscape of countries; they are not dependent on foreign funding. Looking at the institutional landscape, the changes are considerable; they have to a large extent been endogenous and seldom can bilateral or multilateral development cooperation be credited with anything but marginal contribution to these developments. That also means the changes are sustainable as the costs have been within the budgets of the countries and their institutions (private and public). Very few structures dependent on external support and funding have been observed during this evaluation.

## Project management

This evaluation as well as past external reviews unanimously identified that staff resources were not adequate to ensure the quality of work during the first five years of the CTF, but the situation has improved with recent increases in staff resources. The major part of the managerial systems with its procedures for applications and decision-making has been built up to cater for activities leading to the first output. This evaluation suggests focusing more on addressing the second and third outputs and objectives of the CTF. The present staff resources may need to be increased even further in order to address all three objectives effectively.

There is an exchange of information between the CTF Secretariat, FAO, WHO and the Codex Alimentarius Secretariat and the contacts between organisations function well and are to some extent institutionalised. However, effective coordination requires that there is detailed information available on activities at country level, with budgets of projects etc. While the CTF

has detailed information available, not all of the other organisations do and that makes coordination more difficult.

The criteria for country groupings and the criteria for financial resource allocations are clear and transparent. However, they build on macroeconomic indicators that are contested and some claim that the indicators are not valid instruments when it comes to taking decisions on needs for CTF funding. The country groupings and resource allocation system are systematic and comprehensive and a majority of those whom we interviewed among donor countries and during country visits are in favour of the present systems. There is still a substantial minority who question the system and though they are transparent find them less than fair and not valid. No alternative allocation criteria have been proposed during the evaluation, but the focus on the poorest and most vulnerable countries is in line with the policies for development cooperation of the donor organisations.

The CTF Secretariat has been able to increase the contribution from donor countries considerably over the past 6 years. Developing and implementing marketing and fundraising strategies is one of the six priority areas for action in the strategic plan of the CTF. It is a difficult task as aid volumes are going down globally in the wake of the financial crisis and it may take many years before they reach the levels that prevailed before the crisis. Would it have been possible to raise more funds? The evaluation cannot tell, but in light of the increasing competition and overall shortage of funding opportunities, the outcome of the activities must be considered as quite good.

## Recommendations

The focus of this review has been on outcomes and impact and we have spent most of our time on the critical and evaluative analysis of that. Most of the recommendations presented here are solidly based on this analysis. However, we would like to note that other recommendations are of a different nature. What we indicate there does not come out of the empirical findings. There is no data that suggests, for example, how to develop monitoring and evaluation systems. The evaluative evidence is that the efforts are adequate and have provided useful information in the past. Our suggestions for the future come from our own work in evaluation, our experiences, our approach and our thinking on what might be useful for CTF. Evaluation is a contested field of practice and there are different schools of thought in for example, the “evidence movement<sup>19</sup>”, among participatory evaluation practitioners, program theory evaluators, etc. Our own approach comes closest to what is usually termed the “realist synthesis”. With this we would just like to say that in those areas of recommendations where the substance of proposals do not build on findings, other evaluators or other consultants could have come up with other ideas.

### Recommendation 1. Focus on outputs 2 and 3

The emphasis on increasing participation (output 1) during the first half of CTF’s lifespan made sense. It was a concrete and rapid way to involve more countries in Codex activities. Most stakeholders agree that participation is a core function of the CTF, while acknowledging that all three outputs remain valid in order to enhance the quality of participation. This report does not propose any changes in the objectives of the CTF. Instead, there is a clear need to balance the activities of the CTF and put more emphasis on outputs 2 and 3.

There are two major challenges in doing so. First, this report has pointed to the richness of national institutions even in countries normally considered to have less developed institutional frameworks and the extent to which the evolution of these institutions are dependent on national

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<sup>19</sup> Proponents of which would argue that only randomized controlled experiments provide reliable information on results.

factors and a variety of external support. In this context it is vital that the CTF finds a clear focus to provide value-added and works with partners. This is a challenge since the more the CTF moves away from funding participation and to supporting capacity building, the higher is the risk of overlapping activities of other agencies. Second, a stronger focus on capacity building would entail a fundamental change in the management of the CTF and the allocation of its resources. It would no longer primarily be a service unit geared to repetitive administration of travel; it would need to dedicate more resources and capacity to larger and more substantive efforts in collaboration with other actors.

So what is the comparative advantage of the CTF, which would help it to find a way to address outputs 2 and 3? There may be others, but this report would like to highlight three strengths. On the demand side, the CTF has privileged and on-going dialogue with and knowledge about national CCPs and their respective institutional settings. On the supply-side, the CTF has the mandate and the financial and intellectual autonomy to address the needs of countries with difficulties participating in Codex. At the same time it is firmly linked up with its sponsoring organisations – FAO and WHO. These issues have implications for the subsequent recommendations. Finally, CTF has a transparent administration showing what it does and how the resources are used, and it can be held accountable by virtue of its comparatively strong monitoring and evaluation activities.

### **Recommendation 2. Allocate funds to countries most in need**

One of the forces of the CTF has been the universal coverage of support, giving access to countries that normally would not be able to benefit from financial support for participation. The graduation mechanism put in place has gradually shifted the focus of support to lower income and vulnerable economies. As the surveys and interviews show, this seems to be approved by most donors and benefitting countries. It also rimes well with the current poverty focus of international development cooperation. So far there does not seem to be a dramatic systematic drop in participation of graduated countries and even the LDCs have been able to access non-CTF funding. In 2010, countries in group 1 will start graduating, why we strongly propose that the CTF Secretariat and the Consultative Group explore options as regards monitoring of participation and potential corrective action should participation drop dramatically in 2011.

### **Recommendation 3. Engage other countries in project activities**

The allocation mechanism will also have to adapt to an increased focus on capacity building activities. When organizing sub-regional and even national workshops and activities it will be harder to maintain equal distribution of resources. As has also rightly been pointed out by critics of the current allocation system, capacity building activities are most urgently needed in the countries with the lowest levels of institutional capacity. At the same time there may be activities of a “public goods” character that may be beneficial to (and should be open to) all countries, such as the workshops organized back to back to regional committees.

Stronger focus on the countries with most needs should not entail exclusion of formerly eligible countries. A way to compensate for a stronger focus on the most vulnerable countries would be to actively stimulate the engagement and contribution of countries with more advanced food safety structures. There are great opportunities to draw on the expertise of e.g. middle-income countries in CTF activities, such as training and mentoring programmes. This could be done by promoting sub-regional networking, using the expertise of such countries in training activities and engaging these countries in mentoring programmes. This would also be a way to allay fears of donor countries trying to influence the Codex agenda through aid. The CTF itself may also need to seek ways to safeguard its privileged continuous dialogue with national CCPs, which, as was highlighted above, constitute one of its core strengths and ‘raison d’être’.

**Recommendation 4. Apply stringent application procedures**

The outcome of the graduation of the countries in group 1 will provide more data on the effects of graduation than is currently available. However, it is not unreasonable to assume that participation will fall for a number of graduated countries. Any criteria to support these countries will have to balance addressing needs and providing a 'just' allocation of resources, while at the same time stimulating countries to fund participation from national resources in a sustainable manner. Simply providing funds to countries that stop participating when they graduate run the risk of creating adverse incentives.

As has been discussed elsewhere in this report country circumstances are complex and variable, why systematic needs assessments based on a set of criteria would be very resource demanding. Another extreme would be to rely purely on applications for funding that would be considered on a case-by-base basis. This would not provide sufficient focus on the more vulnerable countries. One way forward could be to focus support on the group that normally would be most in need, the LDCs (group 1a), supplemented by a selection of small island states and countries. These countries could be sponsored with a limited number of participants subject to submission of a rigorous application. The CTF could keep in constant dialogue with these countries to stimulate applications and ensuring their quality much as today. This would be a way to capacitate the national CCPs and keep leverage on institutional development in these countries. These countries would have to submit to the application procedures, which could be even further developed, and invest time and resources in fulfilling the application criteria. It could be useful to outline to critics of the present and future allocation systems how arduous the application process to the CTF actually is, while at the same time being a capacity building exercise in its own right. Since the number of eligible countries and participants per country will be smaller, CTF could consider making bi-annual allocations to enhance predictability. CTF could also consider to support countries for the rest of the lifespan of the CTF to allow sufficient time to develop national processes and institutions.

**Recommendation 5. Stay focused on participation**

As mentioned above, the CTF is a very small "player" in the wider context of development cooperation, even though it has significant comparative advantages in relation to Codex. This report strongly recommends that the CTF stays focused on participation related activities, even when addressing outputs 2 and 3 and as it gets engaged in capacity development activities. The activities of the CTF in this respect have evolved over time and have been fuelled by the recent capacity increase of the Secretariat. The activity plan for 2010 shows that the CTF is indeed exploring ways to address outputs 2 and 3. It is important that these efforts continue and that due account is taken of the fact that these are resource demanding activities for the CTF Secretariat. One possibility is to set up a number of criteria for the involvement in capacity building activities that could supplement the potential activities listed in the original project document. Such criteria could involve:

- Keep a focus on participation, with CCPs as the main target groups or acting as counterparts
- Provide public goods to the benefit of all countries, such as the development of training material
- Engage primarily in networking and cross-country activities at regional or sub-regional activities or in activities that involve considerable interaction between Codex countries, such as mentoring programmes
- At country level, focus on seed funding or finance limited activities directly relevant to participation

This report has not considered output 3 in particular, mainly since there have been no activities specifically addressing this objective in the past. However, the criteria guiding such activities would not differ in principle from those put in place to address output 2, even though in substance there may be differences. One option to consider would be to conduct a survey of needs and potential activities in relation to output 3 in conjunction with FAO and colleagues of WHO/FOS.

#### **Recommendation 6. Strengthen collaboration with the most relevant actors**

In order to develop its activities and address outputs 2 and 3, the CTF needs to work closely with other actors, building on its comparative advantages in relation to Codex participation. More capacity has given the CTF more possibilities for the necessary and sometimes time-consuming interaction this entails. The Secretariat seems to be moving in this direction, deepening the interaction with FAO, reflecting on how to address output 3 with colleagues at WHO/FOS and taking initial steps to strengthen ties with the STDF. It is recommended that ways are explored to further strengthening ties with the FAO in a systematic manner. It is also recommended that the CTF Secretariat on a tentative basis participate in the working group of the STDF, in order to stimulate stronger ties between the mechanisms, given a stronger focus of the CTF on outputs 2 and 3. This would permit the CTF to be more involved in SPS-related assistance, activities involving information-sharing on best practice networking with the multilateral and bilateral donors that participate in the working group. It is also recommended that the CTF makes direct contact with IBAN, SACAU and IICA to exchange information and identify common concerns and possible areas of cooperation.

These recommendations aside very few suggestions were made during the evaluation on how, concretely, the CTF could coordinate more closely with other actors. It is popular among donors in particular to emphasise this point, but even though they usually support many of the actors involved they can offer limited advice on what this collaboration should look like. At the end of the day it is up to the people involved in day-to-day management to find their ways. What this report can do is to support the need for collaboration, and also argue that this should not be done for its own sake. A pragmatic approach involving the actors of most immediate concern is preferable. There are so many activities and actors involved in broader development cooperation that any attempt for a small actor such as the CTF to engage more broadly or even getting an overview of what is going on will very be resource demanding, while the benefits are uncertain.

#### **Recommendation 7. Strengthen monitoring and evaluation**

Chapter 5 identified three areas of results that the M&E efforts of the CTF need to address, apart from what is already covered. These are; (1) quality of participation, (2) activities at country level, and (3) overall changes in food safety systems. We have concluded that the Annual and Quarterly reports describe well what the CTF does and provide information on numbers of beneficiaries and continued participation after graduation. The established systems of data collection, analysis and reporting should be continued. They are effective and efficient and meet the needs of intended audiences. In order to further develop the M&E system we recommend:

#### **Overall approach**

- Long-term perspective on evaluation. Timing is essential in evaluation and in particular questions of impact cannot be assessed until some time has passed. This review has answered some impact questions now, and it is not necessary to return to these questions within the next few years.
- Do not fragment resources. During the past two years there have been 5 studies of an evaluative character. If the resources had been combined into one major study this could have taken a more comprehensive approach, covered more countries and also more in

depth. It is also likely that the overall costs had been lower. During the next six years, the CTF would be better served by fewer but more comprehensive efforts at monitoring and evaluation.

- Balance between quantitative and qualitative information. The contribution of the CTF in any given context is very small and whatever is identified as results depends on many other factors. This is typical of complex interventions and it has consequences for the use of indicators in M&E:
  - there is a need for more indicators to assess results than when an M&E system deals with ordinary linear connections between activities and results
  - indicators will often point in different directions when interpreted
  - quantitative indicators often raise more questions than they answer
  - hence there is a need to follow-up, analyse, discuss and interpret indicators
- Indicators in respect of CTF are instruments within an inquiry that is largely qualitative, or that builds on the interpretation of many sources of contradictory data. In terms of the overall allocation of resources in the M&E system, the system of indicators may account for some 25 – 30% of the overall costs, but not more than so. Indicators are the starting point in monitoring and evaluation, measures of indicators do not in themselves answer evaluative questions.
- The CTF has good relations with the Codex Contact Points and with national Commissions. This is a great advantage when it comes to data collection for M&E purposes. The CCPs and NCCs can be asked to report on basic facts around food safety systems, such as the character of national policies, the structural and process characteristics of the NCC, research links and research activities, regional networks, etc. Such reports should be factual descriptions but not assessments of strengths and weaknesses or similar evaluative assessments. The CTF can ask for changes during recent years, but not for the effect of changes. The reason for this is that evaluative data collection with this form of surveys is only valid and reliable when seeking well-defined descriptive information. A survey to CCPs would not provide valid information if the respondents were asked to assess level of capacities, relevance of policies, etc. There would be no way of knowing what their criteria for assessment would be and hence no way of knowing what it is that is being aggregated through the M&E system.

### *Short-term priority*

- In the short term, the most important area of evaluative information that needs to be addressed concerns the quality of participation. There are several reasons for that;
  - it has not been adequately covered in this review
  - there are many myths circulating around the quality of participation but no substantive knowledge
  - quality of participation is the second objective of the CTF and one that we recommend be further emphasized in the future, hence it is essential to get solid experience of what capacities that need to be developed and whether the interventions through training, mentoring, etc. have the desired effect.
- There are three steps to be taken in an evaluation of the quality of participation;
  - defining what quality of participation is in terms of quantitative and qualitative criteria. Quantitative data might include presence in meetings, numbers of interventions (in different categories such as comments, questions, proposals ...),

network building during meetings, continued presence, level of interaction with other countries and the Committee between meetings, etc. Qualitative data would be observations on the skills demonstrated in meetings, for example in knowledge of substance field, ability to present critical questions and constructive proposals, network building skills and negotiation skills, understanding the perspectives of others and political analysis.

- defining how to collect data, which could basically be done through, (1) a self-assessment format, (2) observation of meetings proceedings, and (3) interviews with committee members, both those who have taken part in capacity building programmes and others. It is desirable to combine data collection instruments.
- selecting a sample of capacity building activities to follow up, select Codex committees to study, define the length of time the study should cover.

### **Long-term priority**

- The second area to focus activities on would be the monitoring and evaluation in relation to the third output, bring research from developing countries to the Codex process. This task can start when these activities have been further developed and the best methods to assess results can be defined once it is better known what should be assessed. It is likely that the basic steps will be similar to those outlined above. The most valid and reliable findings will come out of the qualitative assessment based on external and independent evaluation, and less of self assessment. We would like to note that though data collection through survey formats to CCPs and NCCs do not have any budget consequences for the CTF they still incur costs, and if the total working time of some 140 respondents is aggregated such costs are not insignificant.

This evaluation is asked to provide recommendations with regards to continuing or discontinuing the project beyond its 12 year life span with benefits and risks of each.

Even if the three objectives have been met, it is very likely that many countries will have a need for external finances to bring research to the Codex processes. There will be a continuous demand for capacity building to make the most use of participation in Codex meetings. It is not difficult to foresee many arguments for a continuation of the project in some form or the other and there will certainly be relevant development issues related to Codex Alimentarius to address.

If the Codex Trust Fund continues to operate as it has been working for the first six years, that is, as an efficient and (by then) effective programme, supplementing other activities, and contributing to the development of food safety systems globally, there would be good reasons to continue beyond the 12 year period. The distinctive advantages of the CTF would then be that it has a comparatively solid reporting system, that it makes good use of both global indicators and qualitative assessments in its decisions on resource allocation and in monitoring and evaluation. Even though this review has pointed at areas that can be improved, there are many aspects of the operations that work well and what is being suggested and recommended here is rather building on successes than correcting mistakes. As the essence of performance management is to reward success, it would thus be natural to extend and further develop a project that has been successful.

On the other hand, it is also inherently attractive to have projects come to an end. If a task is well done, targets reached, and the agreed funds used efficiently and effectively, the next logical step would be to conclude the operations. Far too many projects become perpetuated and the risk is that they lose the initial drive and focus. The Trust Fund was based on an agreement to address a specific problem during a period of 12 years. When the time is up, there may be an agreement that countries have had ample opportunity to get exposed to Codex committee work. It would set a good example if the programme is terminated on that basis.

The term project should be used for time bound activities with clear objectives. If there is a need for further international cooperation as an extension of this project it is not unlikely that such activities should be targeted rather than universal. At that time it would be relevant to undertake a joint evaluation of all multilateral assistance in food safety and quality, and if possible also include much of bilateral assistance. Such an evaluation should then also address the continuation of activities and the structures and processes for that – but built on a comprehensive and comparative assessment of what WHO, FAO and WTO together do in this field. At the end of this programme we would thus recommend a joint evaluation of the activities of multilateral and bilateral actors in the field. Another evaluation of only a part of the system would at that point in time not be the best way to address the needs and prospects of continued development cooperation in this field.

## Annex 1. Terms of Reference



FOOD AND  
AGRICULTURE  
ORGANIZATION OF THE  
UNITED NATIONS



World Health  
Organization

### INDEPENDENT MIDTERM REVIEW OF THE FAO/WHO PROJECT AND FUND FOR ENHANCED PARTICIPATION IN CODEX (CODEX TRUST FUND)

#### TERMS OF REFERENCE

##### I. Purpose and Objectives

The **purpose** of the mid-term review is to evaluate the progress of the Codex Trust Fund to date and provide actionable recommendations that can be applied looking forward to the second half of the Codex Trust Fund lifespan and beyond.

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

1. Identify and learn from the successes and weaknesses of the Trust Fund in its first 6 years of operation in regards to progress towards its key expected results, with special emphasis on its impact at the national and regional levels.
2. Provide recommendations for refining or adjusting the focus of the Trust Fund's activities for the remaining project duration with a view to enable the Project to achieve a sustainable impact.
3. Provide recommendations with regards to continuing or discontinuing the project beyond its 12 year lifespan with benefits and risks of each.

##### II. Background

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 those with economies in transition to enhance their level of effective participation in the Codex Alimentarius Commission. It aims to achieve this goal by providing resources for eligible countries to participate in Codex meetings and training courses and 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 2008 inclusive, the Codex Trust Fund supported 884 participants from 129 countries to attend Codex meetings, task forces, and working groups. As at December 2008, the Fund had received over US \$7.4 million from 14 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 consisting of senior FAO and WHO staff, 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 (secretarial) staff, and one part-time (50%) professional staff. The Codex Trust Fund Secretariat is located in the Department of Food Safety and Zoonoses at the Headquarters of WHO in Geneva.

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).
- Slorach, S. (2007) *Enquiry Concerning the FAO/WHO Project and Trust Fund for Enhanced Participation in Codex*. Funded by Swedish International Development Agency (SIDA).

The assessments examined the performance and impact of the Trust Fund against the objectives and expected outputs of the Trust fund as stated in the Project Document establishing the Trust Fund (see Annex 1 for a summary of objectives and outputs extracted from the Project Document<sup>20</sup>). Both of the assessments concluded that the Trust Fund has been successful in allowing developing countries to participate in setting global food standards (output 1), but that additional efforts were required to strengthen overall participation in Codex (output 2) and enhance the scientific/technical participation in Codex (output 3). Both reports also recommended that a monitoring and evaluation system be developed. In response to the conclusions of the evaluations, a strategic planning process was carried out in 2008 and a strategic action plan (2008-2009) drafted to guide the work of the Codex Trust Fund.

The Trust Fund is currently in its sixth year of operation, half way through its planned duration. As specified in the Codex Alimentarius Commission Strategic Plan 2008-2013, a mid-term review (MTR) to assess the progress and sustainability of the Fund, should be carried out. In line with established good practices in evaluations, the mid-term review will be carried out by an independent external evaluator/evaluation team.

It is envisaged that the results and recommendations of the mid-term review will be presented to Codex member states at the 33<sup>rd</sup> Session of the Codex Alimentarius Commission. The final report of the mid-term review will be published on the Codex Trust Fund website and circulated widely to relevant networks using electronic means. Recommendations agreed upon will be incorporated into a plan of action for 2010-2012 for implementation by the Codex Trust Fund and stakeholder groups as appropriate.

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<sup>20</sup> The full Project Document in English, French and Spanish, and summary objectives in all languages can be found at <http://www.who.int/foodsafety/codex/trustfund/en/index1.html>

The mid-term review should address the following questions:

### III. Evaluation criteria

Performance shall be measured against the objectives and expected outputs of the Trust Fund as established in the Codex Trust Fund Project Document and outlined in Annex 1. The key objective of the Trust Fund is to help developing countries and those 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 Assistance<sup>21</sup>, the mid-term review 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 are the objectives of the project still valid?
- Are the activities and outputs of the project consistent with the overall goal and the attainment of its objectives?
- Are the activities and outputs of the project consistent with the intended impacts and effects?
- What is the continuing added value of the Trust Fund in enhancing effective participation in Codex?
- How well does the Trust Fund complement other FAO and WHO projects and programmes, or other initiatives aimed at strengthening Codex capacity?

#### b) Progress and Effectiveness

- To what extent are the objectives achieved/are likely to be achieved?
- What are the major factors influencing the achievement or non-achievement of the objectives?
- What barriers to effective participation in Codex can be identified?
- What progress has the project made so far in implementing the Trust Fund's Strategic Action Plan as the comprehensive follow up to the recommendations in the two assessments carried out on the Codex Trust Fund in 2007?

#### c) Efficiency

<sup>21</sup> *The Development Assistance Committee Criteria for Evaluating Development Assistance*, OECD (1991) available at [http://www.oecd.org/document/22/0,2340,en\\_2649\\_34435\\_2086550\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/22/0,2340,en_2649_34435_2086550_1_1_1_1,00.html)

- Are activities cost-efficient?
- Is the project likely to achieve its objectives on time?
- Is the project being implemented in the most efficient way compared to alternatives?

#### **d) Impact**

- What has happened as a result of the project?
- What has been the impact at the country/regional levels?
- Can changes be observed in beneficiary countries' Codex infrastructure or food safety systems that can be linked to the project's activities?
- Are the indicators currently being used/proposed for use by the project to measure performance and impact relevant and suitable, specific, measurable, achievable and time-bound (SMART)?

#### **e) Sustainability**

- To what extent are the benefits of the project likely to continue after donor funding has ceased?
- What are the major factors which will influence 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:

- Are the current structure and staff arrangements of the Trust Fund Secretariat the most optimal for achieving the intended results?
- Is there adequate exchange between the CTF Secretariat, FAO, WHO and the Codex Alimentarius Secretariat to ensure technical, administrative and political information-sharing and support?
- Are the criteria used for country groupings valid for the purposes of participating in Codex, and do they ensure neutrality and fairness in resource allocation?
- Are 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?
- Is it likely that sufficient financial contributions can be mobilized for the remainder of the project duration?

#### **g) Recommendations**

- How should the Trust Fund refine or adjust its focus for the remaining duration of the Project in order to deliver, with value for money, the objectives and outputs effectively?
- What corrective actions should be taken to address barriers to effective participation in Codex?
- What further support can the Trust Fund provide at national and regional levels to generate sustainable and effective participation in Codex from developing countries?
- How can monitoring the Trust Fund's performance be enhanced, particularly in terms of measuring impact at the country level?
- Should the project be extended? If so, under what framework?

#### **IV. Scope and Methodology**

The review will cover the Trust Fund's activities since it became operational in March 2004. The focus of the review is on the outcomes and the impact of the Fund on CTF eligible countries, both quantitatively and qualitatively. The Trust Fund should be reviewed taking into consideration the wider context in which the Trust Fund is operating, particularly FAO and WHO projects and programmes, or other initiatives aimed at 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
  - Financial reports and audited financial statements
  - Independent assessments of the Codex Trust Fund
  - Strategic planning documents
  - Country reports and analyses of country reports
  - Training materials for enhancing participation in Codex and training reports
  - Other key relevant publications and research
2. Information and data gathering from relevant WHO, FAO, Codex Trust Fund Secretariat and Codex Alimentarius Commission staff:
  - On-site interviews of the Trust Fund Secretariat and WHO staff in Geneva, and FAO and Codex Secretariat staff in Rome
  - Written or web-based survey questionnaire of a sample of FAO and WHO regional and country level staff involved with the Trust Fund
3. Data gathering from beneficiary countries, Trust Fund eligible countries who are not beneficiaries, and Trust Fund "graduates." This could include one or a combination of the following:
  - Telephone interviews 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)
  - Field visits to a representative sample of Codex Trust Fund beneficiary countries
4. Telephone and/or in-person interviews with donors contributing to the Fund and non-donors.
5. Telephone, electronic and/or in-person interviews with: 1) countries currently serving as regional Codex coordinators; 2) countries currently hosting Codex committees.
6. Discussions with consultants involved in past evaluations of the Codex Trust Fund.

It is expected that all conclusions by the external evaluator would be based on solid evidence that includes a combination of quantitative and qualitative approaches. The evaluator 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 Expression 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 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 review 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 which elaborate further the methodology proposed in the TOR.
2. Draft report containing preliminary findings/conclusions.
3. Final report of 50-60 pages in English, including an executive summary of 1-2 pages.
4. Presentation of conclusions and recommendations at the 64<sup>th</sup> Session of the Executive Committee of the Codex Alimentarius Commission, and 33<sup>rd</sup> Session of the Codex Alimentarius Commission which will be held in Geneva between 29 June and 9 July 2010.

The preliminary **timeline** for the review is:

- June 29<sup>th</sup>-July 4<sup>th</sup> 2009: Presentation of the proposal for the mid-term review at the 32<sup>nd</sup> Codex Alimentarius Commission for discussion.
- July 30<sup>th</sup> - October 19<sup>th</sup> 2009: Issuance of Call for Expressions of Interest, Finalization of Terms of reference
- October 30<sup>th</sup> 2009: Selection of evaluator/evaluation team.
- November 2<sup>nd</sup> 2009: Start of the assignment.
- November 2009 - March 2010: Visits to Rome, Geneva. Focus group discussions at Codex Committee meetings. Country visits. Administration of data-gathering instruments.

- March 15<sup>th</sup> 2010: Submission of first draft report to the Consultative Group for the Trust Fund for comments.
- April 30<sup>th</sup> 2010: Submission of final report.
- June 29<sup>th</sup> - July 2<sup>nd</sup> 2010: Presentation and discussion of final report at the 64<sup>th</sup> Executive Committee of the Codex Alimentarius Committee
- July 5<sup>th</sup> - 9<sup>th</sup> 2010 : Presentation, discussion and adoption of the review and its recommendations at the 33<sup>rd</sup> Session of the Codex Alimentarius Commission.

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**Annex: Summary of Codex Trust Fund Objectives and Expected Outputs (extracted from the Project Document)****Key****objective:**

To help developing countries and those with economies in transition (target countries of the CTF) to enhance their level of effective participation in the development of global food safety and quality standards by the Codex Alimentarius Commission (CAC).

**Immediate objective 1**

Countries that are members of the CAC, but which are unable to effectively participate in the CAC and its committee/task force process because of the limited availability of government funds to support an ongoing presence in the continuing work of the Commission and its committees, will be assisted to initiate a programme of participation in Commission meetings and in the work of those committees/task forces addressing issues of priority health and economic concern to them.

**Immediate objective 2**

Countries that are members of the CAC, that have as yet to routinely develop and put forth national considerations in the Codex standard setting process, will be empowered to effectively prepare for and participate in the work of those committees addressing issues of priority health and economic concern to them.

**Immediate objective 3**

Countries that are members of the CAC, that have as yet to participate actively in the provision of scientific/technical data in support of the standard setting process, will be assisted to initiate a programme of scientific/technical participation in committees addressing issues of priority health and economic concern to them.

**Output I – 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.

**Output II – 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.

**Output III – 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.

## Annex 2. List of Persons Interviewed

Name	Position/Organisation	Country
<b>Committee chairs and regional coordinators</b>		
Prof.Dr. Xiongwu QIAO	Chair CCPR	China (e-mail communication)
Mr Sanjay Dave	Vice-Chair CCEXEC	India
Michel Thibier	Chair CCGP	France
Dr Karen L. Hulebak	Chair CCEXEC and CAC	USA
M.en C. Ingrid Maciel Pedrote	Chair CCFFV and Coordinator for Latin America	Mexico
Dr Viliami Toalei Manu	Coordinator for North America and South West Pacific	Tonga
Prof. Krzysztof Kwiatek	Coordinator for Europe	Poland
<b>Donor representatives</b>		
Mr. Allan McCarville	Health Canada	Canada
Mr. Bertrand Gagnon	Canadian Food Inspection Agency	Canada
Sofie H. Flensburg	Permanent Mission of Denmark Geneva	Denmark
Jérôme Lepeintre	European Commission DG Health and Consumers	
Sebastian Hielm	Ministry of Agriculture and Forestry	Finland
Ms. Saskia de Smidt	Ministry of Foreign Affairs	The Netherlands
Kerstin Jansson	Ministry of Agriculture	Sweden
Carmina Ionescu	National Food Administration	Sweden
Erik Ringborg	Swedish International Development Cooperation Agency (Sida)	Sweden
Louise Horner	DFID	UK
Ms Karen Stuck	U.S. Department of Agriculture	USA
Dr. H. Michael Wehr	U.S. Food and Drug Administration	USA
Ms. Camille Brewer	U.S. Food and Drug Administration	USA
Mr. Richard Capwell	U.S. Department of Agriculture	USA
Ms. Renee Hancher	U.S. Department of Commerce	USA
NN	Ministry of Agriculture, Forestry and Fisheries	Japan (e-mail communication)
NN	Ministry of Health, Labour and Welfare	Japan (e-mail communication)
Raj Rajasekar	New Zealand Food Safety Authority	New Zealand (e-mail communication)
<b>CTF Secretariat and stakeholders</b>		
Catherine Mulholland	FAO/WHO Codex Trust Fund	Switzerland
Noha Yunis	FAO/WHO Codex Trust Fund	Switzerland
Jørgen Schlundt	WHO	Switzerland
James Pfizer	WHO	Switzerland
Ezzeddine Boutrif	Director, Nutrition and Consumer Protection Division (NCPD, FAO)	Italy
Maria de Lourdes Costarrica	Food Quality and Standards Service, FAO	Italy
Hilde Kruse	WHO Office for Europe	Italy
Selma Doyran	Secretary of the Codex Alimentarius Commission	Italy

Name	Position/Organisation	Country
Mary Kenny	Nutrition Officer, Technical Assistance Group, NCPD, FAO	Italy
Renata Clarke	Nutrition Officer, Technical Assistance Group, NCPD, FAO	Italy
Catherine Bessy	Nutrition Officer, Technical Assistance Group, NCPD, FAO	Italy
Stuart Slorach	Consultant	Sweden
Melvin Spreij	Standards and Trade Development Facility (STDF)	Switzerland
Marlynne Hopper	Standards and Trade Development Facility (STDF)	Switzerland
<b>Country visits</b>		
Gabriela Catalani	Codex Contact Point	Argentina
Maria Luz Martinez	Committee on Nutrition and Foods	Argentina
Celso Rodriguez	PAHO/WHO	Argentina
Lucia Jorge	Under-Secretariat for Consumer Protection	Argentina
Nicolas Winter	Committee on Residues of Veterinary Drugs in Foods	Argentina
Martin Minassian	Taskforce on Antimicrobial Resistance	Argentina
Eduardo Echaniz	National Agrifood Control Bureau, SENASA	Argentina
Ricardo Maggi	National Agrifood Control Bureau, SENASA	Argentina
Martin Pablo Arroba	SENASA	Argentina
Mariana Pichel	ANLIS, Administracion Nacional de Laboratorios e Institutos de Salud	Argentina
Susana Fattori	Committee on Milk and Milk Products	Argentina
Lorenzo Basso	President of the Codex National Commission	Argentina
Roxana Blasetti	International Agrifood Relations Director	Argentina
Pablo Moron	Food Standards Coordinator, Ministry of Agriculture	Argentina
Mariana Pichel	Instituto Malbran	Argentina
Juan Stupka	Instituto Malbran	Argentina
Marcelo Galas	Instituto Malbran	Argentina
Marcello di Pare	DIREM	Argentina
Gustavo Infante	Ministro Economicas Multilaterales	Argentina
Pablo Renzulli	Centro de Investigacion e Desarrollo	Argentina
Roberto Urrere	SanCor Cooperativa	Argentina
Oscar Solis	Sub-Secretary, Ministry of Agriculture	Argentina
Gerardo Petri	Sub-Secretary, Ministry of Agriculture	Argentina
Ms. Iren Melkonyan	Ministry of Agriculture	Armenia
Mr. Arthur Varjapetyan	Ministry of Agriculture	Armenia
Mr. Samvel Avetisyan	First Deputy Minister of Agriculture	Armenia
Mr. Abgar Yeghoyan	Consumers' Rights Protection	Armenia
Ms. A. Baghdasaryan and colleagues	National Institute of Standards	Armenia
Ms. Margarita Babayan	Ministry of Health	Armenia
Beatriz Gutierrez	Codex Contact point	Bolivia
Carolla Zeballos	Director, Subcomite de Etiquetado	Bolivia
José Endaisa	Subcomite Inspeccion	Bolivia
Renato Pucci	Subcomite Inspeccion	Bolivia
Carmen Maria del Adela	Director, Subcomite de Regimen Especiales	Bolivia
Catalina Fuentes	Subcomite de Regimen Especiales	Bolivia
Katherine Rodrigues	Director, Subcomite di Higiene	Bolivia
Reynaldo Flores	Subcomite di Higiene	Bolivia

Name	Position/Organisation	Country
Elisa Panades	Director, FAO Office	Bolivia
Christian Darras	Director WHO Office	Bolivia
Fidel Villegas	WHO	Bolivia
Esperanza Guillen	Ministry of Health	Bolivia
Luis Chavez	Subcomite Lacteos	Bolivia
Sheila Coca	Director, subcomite Lacteos	Bolivia
Jose Endara	Chambers of Commerce	Bolivia
Silvia Coca	Ministry of Rural development	Bolivia
Marco Iriarte	Ministry of Rural development	Bolivia
Fidel Villeags	PAHO/WHO	Bolivia
Augusto Estivariz	Chamber of Commerce	Bolivia
Jose Endara Mollinedo	Department of External Commerce	Bolivia
Genevieve Baah	Ghana Standards Board	Ghana
John Oppong – Otoo		
Paul Osei –Fosu		
Kojo Eshun		
Genevieve Baah		
Lyshech Adelota		
Prudence Asamoah Bonti		
Prof. Dr. George S. Ayernor	University of Ghana	Ghana
Prof. S. Sefa- Dedeh	Coordinator, CCAFRICA	Ghana
Sharon Affrifah	Nestle Central & West Africa Ltd.	Ghana
John Odame Darkwali	Food and Drugs B	Ghana
J.G.A Amah	GHS – Retired	Ghana
Dr. F. Kunadu – Ampratwam	USD/MOFA	Ghana
Rosetta Annan	Rtd. Chair C/o MOFA	Ghana
Danie; Degbotse	M.O.H	Ghana
Robert A.K. Nketia	Association of Ghana Industries	Ghana
Dr. PNT Johnson	Food Research Ent. (CSIR)	Ghana
Fr. F.D Tay	Consumers Association of Ghana	Ghana
Dr.Daniel Kertesz	WHO Representative Ghana	Ghana
Mrs Akosua Kwakye	WHO Ghana	Ghana
Erniningsin Haryadi	National Standardization Agency of Indonesia	Indonesia
Kukuh S. Achamad (Mr)		
Amir Partowiyatmo		
Singgih Harjanto		
Ennirinirysil		
Sri Sulashi	Ministry of Agriculture	Indonesia
Tetty H. Sihombing	National Agency of Drug and Food Control	Indonesia
Andreas Anligerah (Mr.)	MoT	Indonesia
Bfdrik Munr	Ministry of Industry	Indonesia
Aslam Hasan	Tobacco Industry	Indonesia
Triosco Purnawarman	Faculty of Veterinary Medicine, Boger Agriculture Univ.	Indonesia
Noviana KOS Yuniati	The Ministry of Trade.	Indonesia
Ati Widya Perana	National Agency of Drug and Food Control	Indonesia
Dr. Sunarya	The Spring Institute	Indonesia
Rachmi Untors MD, MPH	Ministry of Health	Indonesia
Th. Istihastuti Pr.	Ministry of Marine Affairs and Fisheries	Indonesia
Mr. Yasee M. Khayyat	Jordan Institute for Standards and Metrology	Jordan
Mr. Mahmoud Al-Zu'bi		
Ms. Shifa Halah		
Ms. Nessma Shannak		
Mr. Mohammad Al-Khraisha	Jordan Food and Drug Administration	Jordan

Name	Position/Organisation	Country
Mr. Ghazi Klaibi	Jordan Food and Drug Administration	Jordan
Mr. Abdel Fattah Kilani	National Society for Consumer Protection	Jordan
Fred E. Sikwese	Malawi Bureau of Standards	Malawi
Limbikani Matumba	Depart of Agricultural Research Services	Malawi
Derby Makweleru	Ministry of Industry and Trade	Malawi
Magret Sauzande	Ministry of Industry and Trade	Malawi
Dr. Bernard Chimera	Min. of Agriculture and Food Security	Malawi
Humphrey Masuku	Ministry of Health	Malawi
Dr. Konate Youssouf	National Food Safety Agency	Mali
Camara A. Mahamoud A Sako Mahamadou Adama Sangale		
Pr. Boubacdr Cisse		Mali
Maiga Abdoulaye Farka	Division Normalization Director Nationale des Industries	Mali
Siaka Diallo	Division Promotion deta quality	Mali
Fraore Malimatou Koni	Chief Service Controle qualite Laboraties Central.	Mali
Fana Cantibaly	Secretarial permanent de la CNAMM.	Mali
Ms Dorit Nitzan Kaluski	WHO Country Office Serbia	Serbia
Ms Svetlana Mijatovic	Assistant Minister, Ministry of Health	Serbia
Mr Branislav Raketic	Ministry of Agriculture, Forestry and Water Management	Serbia
Ms Snezana Savcic-Petric	Ministry of Agriculture Forestry and Water Management	Serbia
Professor Sava Buncic	Faculty of Agriculture, University of Novi Sad	Serbia
Professor Ivan Stankovic	Faculty of Pharmacy, University of Belgrade	Serbia
Mr. Srdjan Stefanovic	Institute of Meat Hygiene and Technology	Serbia
Dr Somthavy my DG Dr Sivong Sengaloundeth Mrs Vienghxay Vansilalom Dr Mrs Sivilay Naphayvong Dr Thattheva Saphangthong Mr Chansay Mr Nengsong	Ministry of Health	Laos
Ms Khamphui Louanglath	Ministry of Agriculture	Laos
Mrs Francette Dusan	WHO	Laos
Dr Bounlonh Ketsouvannasane	WHO	Laos
Dr DONG IL ANN	WHO	Laos
Mr Jaakko Korpella	FAO	Laos
Ms Rada Tankosic Ms Nada Bursac Ms. Nada Andrić Ms. Slobodanka Tolic Ms. Ljubica Petrovic Mr. Ivan Krstic	Institute for Standardization of Serbia	Serbia
Mr Nadhif Mabrouk	Ministry of Health	Tunisia
Mr. H'mad Zakaria	Ministry of Industries	Tunisia
Mr. Mohamed Aouin	Director of Quality, Ministry of Commerce	Tunisia
Mr. Said Abdelfattah	Under-director agriculture and water resources	Tunisia

Name	Position/Organisation	Country
Dr. Ibrahim M. Abdelrahim	WHO	Tunisia
Mr. Mohamed Chokri Rejeb	Director General CTAA	Tunisia
Mr. Mohamed Ajroud	FAO	Tunisia
Mrs. Melika Hermassi	Codex Contact Point	Tunisia
Dr. Claude John Shara Mosh	Tanzania Bureau of Standards	Tanzania
Mwanaidi R. Mlolwa (Mrs)	Ministry of Livestock Development and Fisheries	Tanzania
Dr. Martin E. Kimanya	Tanzania Food and Drugs Authority	Tanzania
Raymond Wigenge	Tanzania Food and Drugs Authority	Tanzania
Mary H. Lutkamu	Ministry of Agriculture	Tanzania
Dr. Kaoneka	Tropical Pesticides Research Institute (TPRI)	Tanzania
Linus C. Gedi	Small Industries Development Organization	Tanzania
Dr. Rufaro Chatora	WHO Representative	Tanzania
Louise L. Setshwaelo	FAO Representative	Tanzania

## Annex 3. Documents Used in the Evaluation

### References

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### Documents from the CTF Secretariat

Brief on how the recommendations in the Connor and Slorach reports are being followed up by the Codex Trust Fund

DRAFT ACTION PLAN 2010

Draft Liquidity Forecast for 2010/2011

FIRST BIENNIAL REVIEW - 2006

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Enquiry concerning the WHO/FAO Project and Trust Fund for enhancing participation in Codex, Stuart A. Slorach, funded by Sida, 12 October 2007

Survey of national policy and activities related to food safety in countries eligible for the Codex Trust Fund. Survey undertaken by Dr Karola Krell under the guidance of Dr Jörgen Schlundt, Director, Department of Food Safety, Zoonoses and Foodborne Diseases, WHO, Geneva, Switzerland, 27 June 2006.

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Country reports Assessment 2005-2007, Dr Celine Gossner, 2008

Note for the record (draft) Meeting of Codex Trust Fund donor countries, FAO, Rome, 30 June 2009

Note for the record (draft), Meeting of Codex Trust Fund Beneficiary countries, FAO, Rome, 2 July 2009

Note for the record (draft) Codex Trust Fund side event, reviewing and monitoring matters, FAO, Rome, 3 July 2009.

Report of the 32<sup>nd</sup> Session, Codex Alimentarius Commission 29 June-4 July 2009, and Report of the 62<sup>nd</sup> session of the Executive Committee of the Codex Alimentarius Commission, 23 June-26 June 2009.

Annual report 2008 and 11<sup>th</sup> Progress report Codex Alimentarius Commission, 32<sup>nd</sup> Session, 29 June-4 July 2009 ALINORM

Annual report for 2007 and 10<sup>th</sup> Progress report, Codex Alimentarius Commission, 31<sup>th</sup> Session, 30 June- 4 July 2008, ALINORM

Annual report for 2006. Codex Alimentarius Commission, 30<sup>th</sup> Session, 2-7 July 2007, ALINORM

Planning for Success: Codex Trust Fund strategic planning meeting, FAO, Rome 2007

Proposed Key Indicators for Project Monitoring

Summary table of requests for activities other than participation at meetings 2010 applications

## Annex 4. Data Collection Instruments

### Interview guidelines - Beneficiary participants

1. Personal information: Please tell me about your function, position, institution and educational background.
2. How have you been working with Codex in the past? How has that work evolved over the years? What have been the major changes?
3. What Codex committees have you been attending? How many times have you attended each committee?
4. What are your experiences from participating in the committee meeting(s)?
5. Do you think you contribute or contributed effectively to the work of the committee?
6. How did you as an individual benefit from participation in the committee?
7. How did you prepare for the Codex meetings?
8. What specific actions did you take/were you not able to take when you got back from the meeting?
9. What actual changes have happened at the national level as a result of your participation in Codex meetings?
10. Have you identified obstacles to change in your work with Codex?
11. Have you identified facilitating factors to change in your work with Codex?
12. Have you had training on Codex or related topics? If yes, how have you benefitted from this? What action, if any, have you taken as a result? What additional training is necessary for effective participation in Codex?
13. How could your participation in the Codex meetings be made more effective?
14. What are your impressions of the administrative aspects of the Codex Trust Fund? In terms of:
  - Application to the Codex Trust Fund?
  - Selection process for funding?
  - Provision of tickets and per diems by the Codex Trust Fund?
  - Reporting to the Codex Trust Fund?
15. Have you encountered any other administrative difficulties when participating at a Codex meeting?
16. Any other comments or recommendations you would like to share?

### Interview guidelines – Codex contact points

1. What is the composition of your national Codex structure?
2. What are the criteria you use for deciding in which Codex meetings you will participate?
3. What are your selection criteria for choosing participants to send to Codex meetings?
4. How does your country prepare for Codex meetings?
5. Does your country routinely prepare national positions before meetings?
6. What are the different ways in which your country participates in Codex meetings in addition or to replace physical presence (e.g. written comments)?
7. What happens after Codex meetings in your country in terms of briefing activities etc?
8. What national Codex activities are taking place as a consequence of participation in Codex meetings? What are the major changes in your Codex work?
9. Do you think your country participates effectively in the Codex process/Codex meetings?

10. If not, what are the obstacles to effective participation in Codex meetings?
11. Has your country received Codex related technical assistance or training? If yes, please specify.
12. Is your country participating in the regional Codex coordination committee? If yes, what benefits does the regional committee bring to your country? If no, why not?
13. How can regional coordination/regional coordinating committees be used to enhance participation of all countries in the Codex process??
14. What are your plans in relation to your country's future participation in Codex meetings?
15. What is your view on: Codex Trust Fund country groupings, selection criteria and country graduation?
16. Are the three objectives of CTF still valid?
17. Is the current focus of activities and funding appropriate?
18. What is the potential role of the CTF in capacity building?
19. Should there be any change in the future focus of the CTF? In terms of strategy? In terms of activities?
20. Any other comments or recommendations you would like to share?

### **Interview guidelines – Codex regional coordinators**

1. Have you seen an increase in the number of developing countries participating in regional coordinating committees? Do you think the CTF has contributed to this? What can you say about developing country participation in regional coordinating committees?
2. Which countries are active/not active in the regional meetings? Why do you think this is?
3. Which are the constraints to effective participation in Codex meetings at regional level?
4. By what means do you try to engage countries in participating in Codex?
5. What Codex training/technical assistance has been available at regional level?
6. How can regional coordination/regional coordinating committees be used to enhance participation of all countries in the Codex process?
7. What is your view on: Codex Trust Fund country groupings, selection criteria and country graduation?
8. Are the three objectives of CTF still valid?
9. Is the current focus of activities and funding appropriate?
10. What is the potential role of the CTF in capacity building?
11. Should there be any change in the future focus of the CTF? In terms of strategy? In terms of activities?
12. Other comments and recommendations?

### **Interview guidelines – Codex committee chairs**

1. For how long have you been committee chair? What is your previous experience of Codex committee work?
2. Which countries are active/inactive in your committee? Why?

3. How have committee meeting dynamics (substantial focus, type of discussion etc) evolved over time? Why?
4. How would you assess the participation of developing countries in your committee? Which developing countries are active/not active? Do they participate effectively? How has their participation evolved over time? Why?
5. In your view, has the Codex Trust Fund had any indirect or direct impact on the work of your committee? If yes, in what way?
6. How can the impact of the Codex Trust Fund be enhanced?
7. What is your view on: Codex Trust Fund country groupings, selection criteria and country graduation?
8. Are the three objectives of CTF still valid?
9. Is the current focus of activities and funding appropriate?
10. What is the potential role of the CTF in capacity building?
11. Should there be any change in the future focus of the CTF? In terms of strategy? In terms of activities?
12. Other comments and recommendations?

## Interview guidelines – Donors

### For donors that currently support CTF

1. For how long have you been supporting with the Codex Trust Fund?
2. How has the support of your country evolved over time? Why?
3. What are the strengths of the Codex Trust Fund Secretariat? Weaknesses?
4. What is your view on:
  - CTF country groupings, selection criteria and country graduation?
  - Cost-effectiveness of the Secretariat?
  - Capacity and structure of the Secretariat?
  - Reporting from the Secretariat?
  - Results-orientation of the Secretariat?
  - Coordination activities for donors within the CTF?
  - Cooperation between CTF, FAO, WHO and Codex Alimentarius Secretariat?
  - Cooperation between CTF and with other relevant capacity building programmes, such as the Standard Trade and Development Facility?
5. Are the three objectives of CTF still valid?
6. Is the current focus of activities and funding appropriate?
7. What is the potential role of the CTF in capacity building?
8. Should there be any change in the future focus of the CTF? In terms of strategy? In terms of activities?
9. Do you support participation in Codex meetings, directly or indirectly, through any other mechanisms?
10. Do you support other related capacity building programmes?
11. Other comments and recommendations?

### For donors that does not currently support CTF

1. Why does your country not support CTF?

2. What are the reasons for not supporting CTF?
3. If you have provided support to CTF in the past, why did you stop doing so? Was it related to the strategy or performance of CTF?
4. Do you support participation in Codex meetings, directly or indirectly, through any other mechanisms?
5. Do you support other related capacity building programmes?
6. Other comments and recommendations?

### Survey – Beneficiaries

<b>1</b>	<b>Which country do you represent?</b> Country: <input style="width: 150px; height: 15px;" type="text"/>								
<b>2</b>	<b>How many Codex committee meetings have you taken part in? (Tick one)</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30px; text-align: center;"><input type="checkbox"/></td> <td>Only one</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>Between two and four</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>More than four</td> </tr> </table>	<input type="checkbox"/>	Only one	<input type="checkbox"/>	Between two and four	<input type="checkbox"/>	More than four		
<input type="checkbox"/>	Only one								
<input type="checkbox"/>	Between two and four								
<input type="checkbox"/>	More than four								
<b>3</b>	<b>Did you take part in any meeting(s) during 2009? (Tick one)</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30px; text-align: center;"><input type="checkbox"/></td> <td>Yes</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>No</td> </tr> </table>	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No				
<input type="checkbox"/>	Yes								
<input type="checkbox"/>	No								
<b>4</b>	<b>What is your overall assessment of the participation in the Codex meetings in terms of your future work? (Tick one)</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30px; text-align: center;"><input type="checkbox"/></td> <td>Very useful</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>Useful</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>Less useful</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>Not useful at all</td> </tr> </table>	<input type="checkbox"/>	Very useful	<input type="checkbox"/>	Useful	<input type="checkbox"/>	Less useful	<input type="checkbox"/>	Not useful at all
<input type="checkbox"/>	Very useful								
<input type="checkbox"/>	Useful								
<input type="checkbox"/>	Less useful								
<input type="checkbox"/>	Not useful at all								
<b>5</b>	<b>Did you have the time to prepare properly for the Codex meetings? (Tick one)</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30px; text-align: center;"><input type="checkbox"/></td> <td>Plenty of time</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>Adequate time</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>Limited time</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>No time at all</td> </tr> </table>	<input type="checkbox"/>	Plenty of time	<input type="checkbox"/>	Adequate time	<input type="checkbox"/>	Limited time	<input type="checkbox"/>	No time at all
<input type="checkbox"/>	Plenty of time								
<input type="checkbox"/>	Adequate time								
<input type="checkbox"/>	Limited time								
<input type="checkbox"/>	No time at all								
<b>6</b>	<b>Did you receive support from your national institutions in your preparation? (Tick one)</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30px; text-align: center;"><input type="checkbox"/></td> <td>Much support</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>Some support</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>Limited support</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td>No support at all</td> </tr> </table>	<input type="checkbox"/>	Much support	<input type="checkbox"/>	Some support	<input type="checkbox"/>	Limited support	<input type="checkbox"/>	No support at all
<input type="checkbox"/>	Much support								
<input type="checkbox"/>	Some support								
<input type="checkbox"/>	Limited support								
<input type="checkbox"/>	No support at all								

7	<p><b>How did you find the working processes of the Codex committee? (Tick one)</b></p> <table border="1"> <tr> <td data-bbox="300 241 349 273"><input type="checkbox"/></td> <td data-bbox="357 241 1364 273">Clear and structured, easy to take part</td> </tr> <tr> <td data-bbox="300 283 349 315"><input type="checkbox"/></td> <td data-bbox="357 283 1364 315">Clear and structured, but it takes time to learn to participate effectively</td> </tr> <tr> <td data-bbox="300 325 349 357"><input type="checkbox"/></td> <td data-bbox="357 325 1364 357">Difficult to understand, but open and easy to take part</td> </tr> <tr> <td data-bbox="300 367 349 399"><input type="checkbox"/></td> <td data-bbox="357 367 1364 399">Difficult to understand and difficult to participate</td> </tr> </table>	<input type="checkbox"/>	Clear and structured, easy to take part	<input type="checkbox"/>	Clear and structured, but it takes time to learn to participate effectively	<input type="checkbox"/>	Difficult to understand, but open and easy to take part	<input type="checkbox"/>	Difficult to understand and difficult to participate								
<input type="checkbox"/>	Clear and structured, easy to take part																
<input type="checkbox"/>	Clear and structured, but it takes time to learn to participate effectively																
<input type="checkbox"/>	Difficult to understand, but open and easy to take part																
<input type="checkbox"/>	Difficult to understand and difficult to participate																
8	<p><b>Which issues did you find most important to work with immediately when you returned home from the Codex meetings?</b></p> <div data-bbox="300 514 1364 577" style="border: 1px solid black; height: 30px;"></div>																
9	<p><b>Have you had any opportunity to provide formal feedback on your participation to the National Codex Committee? (Tick one)</b></p> <table border="1"> <tr> <td data-bbox="300 714 349 745"><input type="checkbox"/></td> <td data-bbox="357 714 1364 745">Yes</td> </tr> <tr> <td data-bbox="300 756 349 787"><input type="checkbox"/></td> <td data-bbox="357 756 1364 787">Not yet</td> </tr> <tr> <td data-bbox="300 798 349 829"><input type="checkbox"/></td> <td data-bbox="357 798 1364 829">No, it is not planned</td> </tr> </table>	<input type="checkbox"/>	Yes	<input type="checkbox"/>	Not yet	<input type="checkbox"/>	No, it is not planned										
<input type="checkbox"/>	Yes																
<input type="checkbox"/>	Not yet																
<input type="checkbox"/>	No, it is not planned																
10	<p><b>Is there any joint follow-up to the Codex meetings with other partners in the National Codex Committee? (Tick one)</b></p> <table border="1"> <tr> <td data-bbox="300 955 349 987"><input type="checkbox"/></td> <td data-bbox="357 955 1364 987">Yes</td> </tr> <tr> <td data-bbox="300 997 349 1029"><input type="checkbox"/></td> <td data-bbox="357 997 1364 1029">No</td> </tr> </table> <p>If yes, please describe.</p> <div data-bbox="300 1081 1364 1144" style="border: 1px solid black; height: 30px;"></div>	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No												
<input type="checkbox"/>	Yes																
<input type="checkbox"/>	No																
11	<p><b>What are, in your opinion, the greatest obstacles to more effective Codex work in your country? (Rank or tick one/several)</b></p> <table border="1"> <tr> <td data-bbox="300 1291 349 1323"><input type="checkbox"/></td> <td data-bbox="357 1291 1364 1323">Political will and leadership</td> </tr> <tr> <td data-bbox="300 1333 349 1365"><input type="checkbox"/></td> <td data-bbox="357 1333 1364 1365">Policy development</td> </tr> <tr> <td data-bbox="300 1375 349 1407"><input type="checkbox"/></td> <td data-bbox="357 1375 1364 1407">Institutions</td> </tr> <tr> <td data-bbox="300 1417 349 1449"><input type="checkbox"/></td> <td data-bbox="357 1417 1364 1449">Building networks between national institutions</td> </tr> <tr> <td data-bbox="300 1459 349 1491"><input type="checkbox"/></td> <td data-bbox="357 1459 1364 1491">Providing financial resources for national institutions</td> </tr> <tr> <td data-bbox="300 1501 349 1533"><input type="checkbox"/></td> <td data-bbox="357 1501 1364 1533">Technical/scientific capacity</td> </tr> <tr> <td data-bbox="300 1543 349 1575"><input type="checkbox"/></td> <td data-bbox="357 1543 1364 1575">Reaching out to companies</td> </tr> <tr> <td data-bbox="300 1585 349 1617"><input type="checkbox"/></td> <td data-bbox="357 1585 1364 1617">Support of the public at large</td> </tr> </table> <p>Other (please specify)</p> <div data-bbox="300 1627 1364 1690" style="border: 1px solid black; height: 30px;"></div>	<input type="checkbox"/>	Political will and leadership	<input type="checkbox"/>	Policy development	<input type="checkbox"/>	Institutions	<input type="checkbox"/>	Building networks between national institutions	<input type="checkbox"/>	Providing financial resources for national institutions	<input type="checkbox"/>	Technical/scientific capacity	<input type="checkbox"/>	Reaching out to companies	<input type="checkbox"/>	Support of the public at large
<input type="checkbox"/>	Political will and leadership																
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<input type="checkbox"/>	Providing financial resources for national institutions																
<input type="checkbox"/>	Technical/scientific capacity																
<input type="checkbox"/>	Reaching out to companies																
<input type="checkbox"/>	Support of the public at large																

12	<p><b>Do you expect to take part in future meetings of the Codex committees that you have attended?</b> (Tick one)</p> <table border="1" data-bbox="300 275 1367 380"><tr><td data-bbox="300 275 349 310"><input type="checkbox"/></td><td data-bbox="349 275 1367 310">Yes</td></tr><tr><td data-bbox="300 310 349 346"><input type="checkbox"/></td><td data-bbox="349 310 1367 346">Maybe</td></tr><tr><td data-bbox="300 346 349 380"><input type="checkbox"/></td><td data-bbox="349 346 1367 380">No</td></tr></table> <p>If no, why not?</p> <div data-bbox="300 443 1367 516" style="border: 1px solid black; height: 35px;"></div>	<input type="checkbox"/>	Yes	<input type="checkbox"/>	Maybe	<input type="checkbox"/>	No
<input type="checkbox"/>	Yes						
<input type="checkbox"/>	Maybe						
<input type="checkbox"/>	No						
13	<p><b>What could be done to make your participation in Codex committee meetings more effective?</b></p> <div data-bbox="300 646 1367 720" style="border: 1px solid black; height: 35px;"></div>						
14	<p><b>Do you have other comments or suggestions?</b></p> <div data-bbox="300 814 1367 919" style="border: 1px solid black; height: 50px;"></div>						

### Survey - Codex contact points

1	<p><b>Which country do you represent?</b></p> <p>Country:</p> <div data-bbox="300 1167 787 1203" style="border: 1px solid black; height: 17px;"></div>
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2	<b>Which are the most important Codex committees for your country?</b> (Rank or tick one/several)
	1. Ad hoc Codex Intergovernmental Task Force on Antimicrobial Resistance
	2. Codex Alimentarius Commission
	3. Codex Committee on Contaminants in Foods
	4. Codex Committee on Fats and Oils
	5. Codex Committee on Fish and Fishery Products
	6. Codex Committee on Food Additives
	7. Codex Committee on Food Hygiene
	8. Codex Committee on Food Import and Export Inspection and Certification Systems
	9. Codex Committee on Food Labelling
	10. Codex Committee on Fresh Fruits and Vegetables
	11. Codex Committee on General Principles
	12. Codex Committee on Methods of Analysis and Sampling
	13. Codex Committee on Milk and Milk Products
	14. Codex Committee on Nutrition and Foods for Special Dietary Uses
	15. Codex Committee on Pesticide Residues
	16. Codex Committee on Processed Fruits and Vegetables
	17. Codex Committee on Residues of Veterinary Drugs in Foods
	18. Executive Committee of the Codex Alimentarius Commission
	19. FAO/WHO Coordinating Committee for Africa
	20. FAO/WHO Coordinating Committee for Asia
	21. FAO/WHO Coordinating Committee for Europe
	22. FAO/WHO Coordinating Committee for Latin America and the Caribbean
	23. FAO/WHO Coordinating Committee for Near East
	24. FAO/WHO Coordinating Committee for North America and South West Pacific
3	<b>Do you regularly send participants to those meetings?</b> (Tick one)
	Yes
	No
	If No, why not?
4	<b>Has the Codex Trust Fund increased the participation of your country in Codex meetings?</b> (Tick one)
	Yes, very much
	Yes
	Not that much
	No, not at all

5	<p><b>Do you finance participants in Codex meetings from other resources than the Codex Trust Fund?</b> (If yes, tick one/several)</p> <table border="1" data-bbox="300 273 1364 378"> <tr> <td><input type="checkbox"/></td> <td>National resources</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Other donor programmes</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Other external sources</td> </tr> </table> <p>Which other donor programmes or external sources?</p> <div data-bbox="300 441 1364 514" style="border: 1px solid black; height: 35px;"></div>	<input type="checkbox"/>	National resources	<input type="checkbox"/>	Other donor programmes	<input type="checkbox"/>	Other external sources		
<input type="checkbox"/>	National resources								
<input type="checkbox"/>	Other donor programmes								
<input type="checkbox"/>	Other external sources								
6	<p><b>Has Codex work in your country benefitted from the existence of Codex the Trust Fund?</b> (Tick one)</p> <table border="1" data-bbox="300 640 1364 787"> <tr> <td><input type="checkbox"/></td> <td>Yes, very much</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Yes</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Not that much</td> </tr> <tr> <td><input type="checkbox"/></td> <td>No, not at all</td> </tr> </table>	<input type="checkbox"/>	Yes, very much	<input type="checkbox"/>	Yes	<input type="checkbox"/>	Not that much	<input type="checkbox"/>	No, not at all
<input type="checkbox"/>	Yes, very much								
<input type="checkbox"/>	Yes								
<input type="checkbox"/>	Not that much								
<input type="checkbox"/>	No, not at all								
7	<p><b>How has Codex work in your country benefitted/why has it not benefitted from the Codex Trust Fund?</b></p> <div data-bbox="300 913 1364 976" style="border: 1px solid black; height: 30px;"></div>								
8	<p><b>How do you select the persons who will attend Codex meetings from your country?</b></p> <div data-bbox="300 1081 1364 1144" style="border: 1px solid black; height: 30px;"></div>								
9	<p><b>How do you prepare participation (either physical or not) in Codex meetings?</b></p> <div data-bbox="300 1249 1364 1312" style="border: 1px solid black; height: 30px;"></div>								
10	<p><b>How do you follow-up participation in Codex meetings in your country?</b></p> <div data-bbox="300 1417 1364 1480" style="border: 1px solid black; height: 30px;"></div>								

11	<p><b>What are, in your opinion, the greatest obstacles to more effective Codex work in your country?</b> (Rank or tick one/several)</p> <table border="1" data-bbox="300 273 1364 556"> <tr><td><input type="checkbox"/></td><td>Political will and leadership</td></tr> <tr><td><input type="checkbox"/></td><td>Policy development</td></tr> <tr><td><input type="checkbox"/></td><td>Institutions</td></tr> <tr><td><input type="checkbox"/></td><td>Building networks between national institutions</td></tr> <tr><td><input type="checkbox"/></td><td>Providing financial resources for national institutions</td></tr> <tr><td><input type="checkbox"/></td><td>Technical/scientific capacity</td></tr> <tr><td><input type="checkbox"/></td><td>Reaching out to companies</td></tr> <tr><td><input type="checkbox"/></td><td>Support of the public at large</td></tr> </table> <p>Other (please specify)</p> <div data-bbox="300 619 1364 693" style="border: 1px solid black; height: 35px;"></div>	<input type="checkbox"/>	Political will and leadership	<input type="checkbox"/>	Policy development	<input type="checkbox"/>	Institutions	<input type="checkbox"/>	Building networks between national institutions	<input type="checkbox"/>	Providing financial resources for national institutions	<input type="checkbox"/>	Technical/scientific capacity	<input type="checkbox"/>	Reaching out to companies	<input type="checkbox"/>	Support of the public at large
<input type="checkbox"/>	Political will and leadership																
<input type="checkbox"/>	Policy development																
<input type="checkbox"/>	Institutions																
<input type="checkbox"/>	Building networks between national institutions																
<input type="checkbox"/>	Providing financial resources for national institutions																
<input type="checkbox"/>	Technical/scientific capacity																
<input type="checkbox"/>	Reaching out to companies																
<input type="checkbox"/>	Support of the public at large																
12	<p><b>Which are your country's plans for Codex meeting participation in coming years? How do you intend to finance those plans?</b></p> <div data-bbox="300 819 1364 892" style="border: 1px solid black; height: 35px;"></div>																
13	<p><b>How do you view your country's capacity to continue to participate both quantitatively and qualitatively in the Codex process after graduation from the Trust Fund?</b></p> <div data-bbox="300 1018 1364 1092" style="border: 1px solid black; height: 35px;"></div>																
14	<p><b>Are the three objectives of the Codex Trust Fund still valid?</b> (Tick one)</p> <table border="1" data-bbox="300 1186 1364 1333"> <tr><td><input type="checkbox"/></td><td>Yes, very valid</td></tr> <tr><td><input type="checkbox"/></td><td>Yes</td></tr> <tr><td><input type="checkbox"/></td><td>Not so valid</td></tr> <tr><td><input type="checkbox"/></td><td>Not valid at all</td></tr> </table> <p>Please comment.</p> <div data-bbox="300 1396 1364 1470" style="border: 1px solid black; height: 35px;"></div>	<input type="checkbox"/>	Yes, very valid	<input type="checkbox"/>	Yes	<input type="checkbox"/>	Not so valid	<input type="checkbox"/>	Not valid at all								
<input type="checkbox"/>	Yes, very valid																
<input type="checkbox"/>	Yes																
<input type="checkbox"/>	Not so valid																
<input type="checkbox"/>	Not valid at all																
15	<p><b>In your view, are the Codex Trust Fund rules on country groupings, selection criteria, matched funding arrangements and country graduation transparent and fair?</b> (Tick one)</p> <table border="1" data-bbox="300 1596 1364 1743"> <tr><td><input type="checkbox"/></td><td>Yes, very fair</td></tr> <tr><td><input type="checkbox"/></td><td>Yes</td></tr> <tr><td><input type="checkbox"/></td><td>Not so fair</td></tr> <tr><td><input type="checkbox"/></td><td>Not fair at all</td></tr> </table> <p>Please comment.</p> <div data-bbox="300 1795 1364 1869" style="border: 1px solid black; height: 35px;"></div>	<input type="checkbox"/>	Yes, very fair	<input type="checkbox"/>	Yes	<input type="checkbox"/>	Not so fair	<input type="checkbox"/>	Not fair at all								
<input type="checkbox"/>	Yes, very fair																
<input type="checkbox"/>	Yes																
<input type="checkbox"/>	Not so fair																
<input type="checkbox"/>	Not fair at all																

16	<p><b>Is the current focus of activities and funding of the Codex Trust Fund appropriate? (Tick one)</b></p> <table border="1" data-bbox="300 273 1364 409"> <tr> <td><input type="checkbox"/></td> <td>Yes, very appropriate</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Yes</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Not so appropriate</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Not appropriate at all</td> </tr> </table> <p>Please comment.</p> <div data-bbox="300 472 1364 546" style="border: 1px solid black; height: 35px;"></div>	<input type="checkbox"/>	Yes, very appropriate	<input type="checkbox"/>	Yes	<input type="checkbox"/>	Not so appropriate	<input type="checkbox"/>	Not appropriate at all		
<input type="checkbox"/>	Yes, very appropriate										
<input type="checkbox"/>	Yes										
<input type="checkbox"/>	Not so appropriate										
<input type="checkbox"/>	Not appropriate at all										
17	<p><b>Should there be any change in the future focus of the Codex Trust Fund? In terms of strategy? In terms of activities?</b></p> <div data-bbox="300 682 1364 745" style="border: 1px solid black; height: 30px;"></div>										
18	<p><b>What role do you see the Codex Trust Fund playing in Codex training and/or capacity-building?</b></p> <div data-bbox="300 882 1364 945" style="border: 1px solid black; height: 30px;"></div>										
19	<p><b>Has your country benefitted from Codex training and/or capacity-building?</b></p> <table border="1" data-bbox="300 1050 1364 1123"> <tr> <td><input type="checkbox"/></td> <td>Yes</td> </tr> <tr> <td><input type="checkbox"/></td> <td>No</td> </tr> </table> <p>If yes, what?</p> <div data-bbox="300 1186 1364 1249" style="border: 1px solid black; height: 30px;"></div>	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No						
<input type="checkbox"/>	Yes										
<input type="checkbox"/>	No										
20	<p><b>How would you rate the performance of the Codex Trust Fund secretariat? (Tick one)</b></p> <table border="1" data-bbox="300 1354 1364 1533"> <tr> <td><input type="checkbox"/></td> <td>Very good</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Good</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Average</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Not so good</td> </tr> <tr> <td><input type="checkbox"/></td> <td>Bad</td> </tr> </table>	<input type="checkbox"/>	Very good	<input type="checkbox"/>	Good	<input type="checkbox"/>	Average	<input type="checkbox"/>	Not so good	<input type="checkbox"/>	Bad
<input type="checkbox"/>	Very good										
<input type="checkbox"/>	Good										
<input type="checkbox"/>	Average										
<input type="checkbox"/>	Not so good										
<input type="checkbox"/>	Bad										
21	<p><b>Do you have other comments or suggestions?</b></p> <div data-bbox="300 1627 1364 1732" style="border: 1px solid black; height: 50px;"></div>										