

CODEX ALIMENTARIUS COMMISSION



**Food and Agriculture
Organization of
the United Nations**



**World Health
Organization**

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Agenda Item 9 (c)

CX/CAC 15/38/18-Add.1

JOINT FAO/WHO FOOD STANDARDS PROGRAMME

**CODEX ALIMENTARIUS COMMISSION
38th Session, CIG**

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FAO/WHO PROJECT AND FUND FOR ENHANCED PARTICIPATION IN CODEX

Codex Trust Fund 2014 Monitoring Report

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Overview of the performance of the Codex Trust Fund

Results level	Indicator	Assessment	Action
Output 1 (Sponsored participation)	1. Participations supported by CTF	2012 MR assessment: Very satisfactory. 2013 MR assessment: Satisfactory 2014 MR assessment: Very satisfactory	
	2. Participants who are satisfied with their participation	2012 MR assessment: Very satisfactory. 2013 MR assessment: Satisfactory. 2014 MR assessment: Very satisfactory	
Output 2 (Capacity building performed)	1. Participants at capacity development activities funded by the CTF	2012 MR assessment: Satisfactory. 2013 MR assessment: Satisfactory. 2014 MR assessment: Satisfactory	
	2. Participants who are satisfied with the capacity development activities	2012 MR assessment: Satisfactory. 2013 MR assessment: Satisfactory. 2014 MR assessment: Satisfactory. Average satisfaction rate of all workshops in 2013 exceeds target score of 4.	
Output 3 (Scientific evidence generated)	1. Data generated from CTF-supported projects	2014 MR assessment: Very satisfactory. Survey data generated from mycotoxins in sorghum projects being sent to FAO and WHO for analysis.	
Outcome 1 (Widened participation)	1. Graduate countries continuing to participate in Codex meetings after graduation	2012 MR assessment: Satisfactory. 2013 MR assessment: Satisfactory. Low percentage of countries in South West Pacific region sustains participation. 2014 MR assessment: Very satisfactory	
	2. Participations in Codex meetings from all developing countries	2012 MR assessment: Not satisfactory. 2013 MR assessment: Satisfactory. 2014 MR assessment: Satisfactory. Numbers of graduated developing/transition economy countries supporting their own participants to Codex meetings continues to increase.	
	3. Countries supporting participation using national or other sources of funding	2012 MR assessment: Not satisfactory. 2013 MR assessment: Not satisfactory. Continuing decline in number of countries fully meeting matched funding. 2014 MR assessment: Not satisfactory but some improvement.	
Outcome 2 (Strengthened participation)	1. CTF eligible countries submitting written comments to Codex	2012 MR assessment: Not satisfactory. 2013 MR assessment: Not satisfactory. 2014 MR assessment: Not satisfactory. Decline in both numbers of written comments submitted and numbers of countries using this method of participation.	
	2. CTF eligible countries submitting complete applications on time	2012 MR assessment: Not satisfactory. 2013 MR assessment: Not satisfactory. Continuing low rate of compliance with October deadline for fully completed applications and report submission. 2014 MR assessment: Not satisfactory but with some progress.	

	3. Institutional capacities of countries	2012 MR assessment: Not satisfactory. 2013 MR assessment: Not satisfactory. 2014 MR assessment: Satisfactory. Institutional capacity of countries to support effective participation in Codex meetings continues to evolve slowly but decline reported in 2013 Monitoring Report reversed and over 90% of participants reporting some form of preparatory process and active participation in Codex meetings attended.	
	4. Participants in capacity development activities applying knowledge	2013 MR assessment: Not satisfactory. 2014 MR assessment: Satisfactory (based on follow up evaluation on one Codex training).	
Outcome 3 (Scientific advice contributes to Codex decision-making process)	1. Scientific evidence from CTF eligible countries contributes to discussions in Codex.	To be assessed subsequent to decisions of the relevant Codex meeting where recommendations and conclusions of FAO and WHO on the data generated are considered.	
Administration	1. Participants granted CTF support that fail to attend meetings.	2012 MR assessment: Satisfactory 2013 MR assessment: Satisfactory. Major problem continues to be timely receipt of visas which is outside control of CTF Secretariat. 2014 MR assessment: Satisfactory.	
	2. Satisfaction of beneficiaries.	2013 assessment: Satisfactory. 2014 assessment: Satisfactory	
Management	1. Satisfaction of stakeholders	2012 assessment: Results satisfactory but very low response rate from two stakeholder groups. Not assessed in 2014 due to final project evaluation.	

Legend: Black=requires urgent attention. Dark Grey=monitor closely. Light Grey: not assessed. No Colour = maintain good progress.

 = no action possible in last year of CTF.

2. Introduction

This document contains the fourth monitoring report of the FAO/WHO Project and Fund for Enhanced Participation in Codex (Codex Trust Fund or CTF). It follows the draft monitoring and evaluation (M&E) framework developed for the Codex Trust Fund as presented in CX/CAC 12/35/13 Part 2 (16th Progress Report of the Codex Trust Fund).

The monitoring reports aim to provide a results-oriented and easily accessible overview of CTF activities. They supplement information presented in the Annual Reports, but go beyond these by providing vital results-related information and more analytical narrative within a consistent programme theory of the Codex Trust Fund.

The results chain is based on the programme theory of the Codex Trust Fund as set out in the 16th Progress Report (see CX/CAC 12/35/13).

Figure 1. Results Chain



In this results chain, outputs contribute to the achievement of outcomes which in turn contribute to impacts and, ultimately, to achieving the overall objective of the Codex Trust Fund 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 (CAC).

The 2014 Monitoring Report reports for the first time on Output indicator 3-1 related to “*Scientific evidence generated in CTF eligible countries*”. Sections giving an overview of the performance on the Codex Trust Fund and implications for the management of the Trust Fund in this final year of operation continue to be included in the 2014 Monitoring Report. Any significant changes that can be seen from past reporting, and areas that are no longer amenable to action (e.g. Outcome 2-2) are highlighted in the overview section at the beginning of the report. Management actions that can continue to support the expected results, whilst also preparing for the successor initiative, are outlined in the implications for management section at the end of the report.

The 2014 Monitoring Report should be read in conjunction with the report on the final evaluation of the Codex Trust Fund (CX/CAC15/38/18-Add.2) which shows how the outputs and outcomes that are routinely monitored have contributed (or not) to the impacts that are discussed in the final evaluation.

3. Monitoring data

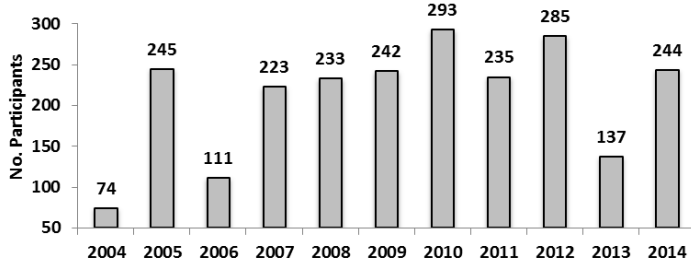
Output 1-1 Participations supported by CTF

Monitoring question	How has the number of sponsored participations evolved?
Indicator	Number of participations supported by the CTF per country sub-grouping per year.
Overall assessment of progress	Very satisfactory. Gender imbalance in participation in Codex decreased in 2014.

Supported participation in any calendar year will be a function of the resources available to the Codex Trust Fund and the number of applications received.

Total participations increased in 2014 due primarily to the support provided to participations in four FAO/WHO Regional Coordinating Committees compared to 2013 where only two meetings of Regional Coordinating Committees took place. The Codex Trust Fund provided support to FAO/WHO Codex workshops which were organized immediately preceding CCASIA, CCEURO, CCNASWP and CCLAC. At the discretion of their originating country, participants in these workshops were supported to stay on for the relevant regional coordinating committee. Total participations supported in 2014 were 244. The number of participations not including participation in regional coordinating committees was 83.

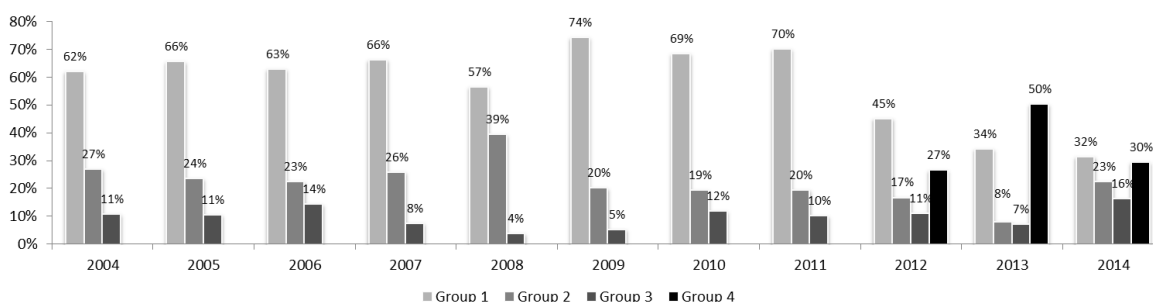
Graph 1. Yearly total participation levels (2004-2014)



workshops which were organized immediately preceding CCASIA, CCEURO, CCNASWP and CCLAC. At the discretion of their originating country, participants in these workshops were supported to stay on for the relevant regional coordinating committee. Total participations supported in 2014 were 244. The number of participations not including participation in regional coordinating committees was 83.

Graph 2 gives an update on the percentages allocated to the 4 country groupings (for the period 2004-2014). Changes in percentage of participations supported by country group between the different years for the period 2012-2014 are also directly related to the different numbers of regional coordinating committee meetings taking place in the calendar year.

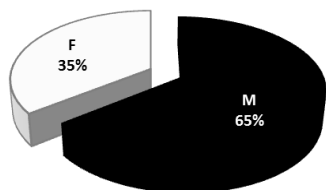
Graph 2. Percentage of participations supported by country group (2004-2014)



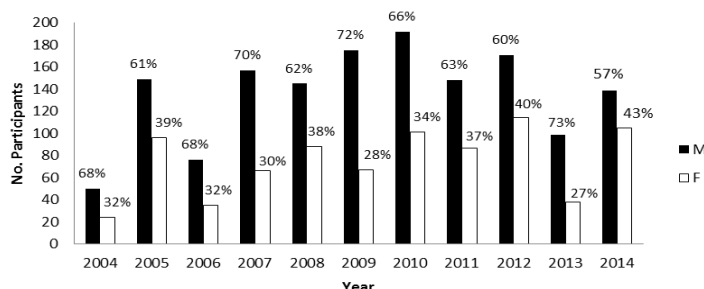
The breakdown of participations supported by sex of participants for the years 2004-2014 are indicated in

Graphs 3 and 4. The increased gender imbalance in yearly support that was noted in the 2013 Monitoring Report did not persist in 2014, and 2014 was the year with the smallest gap in supported participations between men and women.

Graph 4. Total supported participations in Codex - breakdown by sex (2004-2014)



Graph 3. Percentage of supported participation in Codex - breakdown by sex (2004-2014)



Output 1-2 Participants who are satisfied with their participation

Monitoring question	Is the experience of participating in Codex meetings meaningful for participants in relation to future Codex work in their countries?
Indicator	Participants who are satisfied with their participation and likely to promote future participation in Codex
Overall assessment of progress	Very satisfactory. Average of 92% of respondents scored 4 or above on all questions.

Due to the small numbers of participants who are still being supported by the Codex Trust Fund to attend Codex meetings, the satisfaction questionnaire used to gather data for this indicator was only administered to one Codex meeting (29th CCGP).

Overall an average of 92% of respondents scored 4 or above (agree or strongly agree) on all questions indicating a continued high level of satisfaction with participation in Codex meetings among respondents when the entire data set from 2012-2015 (seven meetings) is taken together.

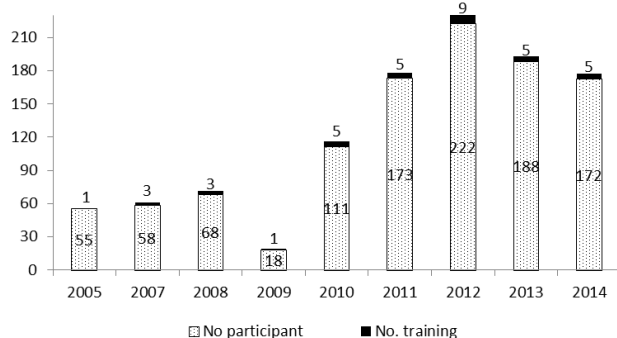
The lowest satisfaction rate continues to be recorded for the section of the questionnaire that dealt with participation during the meeting (an average of 13% of all participants gave scores of 3 or less on this section). Within this section respondents gave the lowest scores to the following questions:

- Question 8 on whether they felt that they could adequately defend their country’s national positions at the meeting. 12 out of 58 respondents (21%) gave a score of 3 (neutral) and no participants gave a score below 3.
- Question 9 on whether they felt able to modify national positions as needed during the meeting, or had clearly defined mechanisms to consult with national authorities to modify national positions. 19 out of 58 respondents (33%) gave a score of 3 or below, with one participant giving a score of 1 (strongly disagree) and one participant giving a score of 2 (disagree).

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

Monitoring question	How has the number of sponsored participants attending capacity development activities evolved?
Indicator	Number of participants per capacity development activity supported per year by CTF
Overall assessment of progress	Continues to be satisfactory.

Graph 5. Participants supported to training courses (2005-2014)

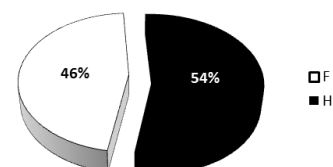


Five training courses were supported in 2014, with four of these taking place immediately prior to a meeting of FAO/WHO Regional Coordinating Committees¹. FAO/WHO Codex training courses supported by the Codex Trust Fund reflected the outcomes of a joint planning exercise undertaken by FAO/WHO in 2013 for the biennium 2014-2015. One workshop originally planned for 2014 were shifted to 2015 to ensure wider participation from the region (FAO/WHO regional workshop on “Strengthening Capacities for Effective Participation in Codex with Emphasis on Microbiological Food

Safety for CIS and Neighbouring Countries of Codex European Region” now scheduled for September 2015). Another two workshops originally planned for 2014 have been cancelled due to difficulties in implementing activities in the Codex Near East region (FAO/WHO Regional Training Workshop on Chemical Risk Assessment and FAO/WHO Workshop on Evaluation and Improvement of Official Controls for the Importation and Exportation of Food in Accordance with the Principles and Guidelines of Codex Alimentarius).

The participation of women in Codex training courses continues to be around 10 percentage points higher than for overall CTF-supported participation in Codex meetings.

Graph 6. Percentage of supported participants in Codex training - Breakdown by sex (2005-2014)



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

Monitoring question	Is the knowledge learned in Codex capacity development activities likely to be applied in national administrations in a way that promotes participation in Codex?
Indicator	Participants who are satisfied with the capacity development activities and likely to apply the knowledge in their national administrations
Overall assessment of progress	Continues to be satisfactory overall. All workshops scored above 4.

The end of workshop evaluation questionnaire developed and piloted in 2012 was revised in 2014 to take into consideration lessons learned from undertaking follow up evaluations on Codex capacity development activities in 2013. One key lesson learned was that the end of workshop evaluation used for workshops/training courses in 2012 and 2013 did not provide sufficiently for following up with individual participants on how they were able to apply knowledge and information gained from the workshops/training courses once they returned to their workplace. A revised questionnaire was developed by FAO/WHO and the

¹: CCEURO; CCASIA; CCNASWP; CCLAC.

Codex Trust Fund Secretariat and used for four out of the five CTF-supported Codex capacity development activities in 2014 (the pre-CCLAC workshop used a different format for end of workshop evaluation and the results have not been included in the tabulation).

The average satisfaction rate of all workshops in 2014 was 4.50. This is similar to 2012 (4.48) and slightly less than 2013 (4.59) and indicates a continuing high level of satisfaction overall with the CTF-supported Codex training events. Overall satisfaction scores for the four workshops supported in 2014 ranged from 4.25 for the FAO/WHO one day regional workshop on “Strengthening Codex Work among Members of the Region and Promoting more Effective Participation in Codex” held in Kokopo, Papua New Guinea, 22 September, 2014 (pre-CCNASWP), to a high of 4.68 for the FAO/WHO one day regional workshop on “Strengthening Capacities for Effective Participation in Codex with Emphasis on Chemical Food Safety”, The Hague, the Netherlands, 29 September 2014 (pre-CCEURO).

Reports of trainings/workshops are posted on FAO or WHO websites as they become available. These reports contain full results of end of course evaluations. Results from follow up evaluations carried out on training courses are reported in indicator “Outcome 2-4”.

Output 3-1 Scientific evidence generated in CTF eligible countries

Monitoring question	Has CTF contributed to improved input of scientific and technical data to Codex discussions?
Indicator	Data generated from CTF-supported projects
Overall assessment of progress	Very satisfactory. Survey data generated from the mycotoxins in sorghum projects in 4 African countries is being sent to FAO and WHO for analysis at the request of the 9th Session of CCCF.

Main results from the survey on mycotoxins in sorghum in four African countries (Burkina Faso, Ethiopia, Mali, Sudan), results from sorghum value chain studies in the same countries, and conclusions and recommendations based on these studies were presented to the 9th Session of CCCF. The Committee agreed to ask FAO and WHO to analyse the data and provide recommendations to the Committee at its next session as regards the mycotoxins of importance and the feasibility to establish MLs for these mycotoxins and propose changes to the Code of Practice (COP) on mycotoxins in cereal.

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

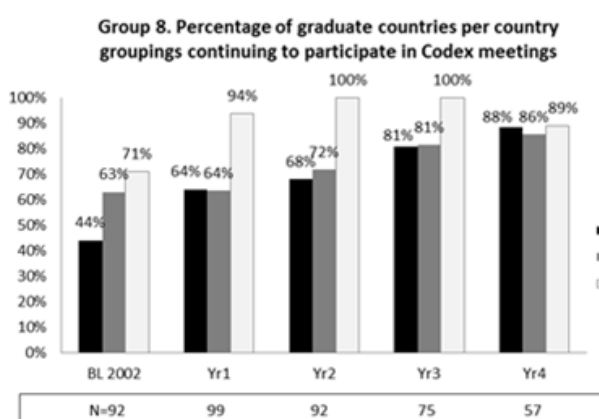
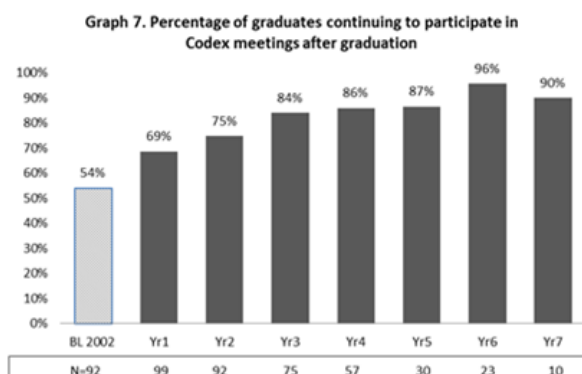
Monitoring question	Do CTF graduate countries continue to participate in Codex meetings when their participation is no longer sponsored by CTF?
Indicator	% of total graduate countries continuing to participate in Codex committees after graduation.
Overall assessment of progress	Very satisfactory.

In this Monitoring Report, and in the last operational year of the present Codex Trust Fund, it was decided to look at how countries have been able to sustain their participation in Codex meetings after graduation year by year. As the baseline, we used the level of participation in Codex meetings in 2002 (the year before the Trust Fund came into existence). The countries which were used to establish this baseline are all countries for which 2014 was the first year post-graduation.

Graph 7 below shows how graduate countries were able to sustain their participation in Codex meetings in the first year after graduation (Year 1), the second year after graduation (Year 2) and so on. For this reason, the total number of countries (N) for each year decreases towards Year 7. The percentages indicated for the first year after graduation (Year 1) is based on a total of 99 countries which, in 2014, could be assessed for their first year after graduation. As can be seen from the graph, only 10 countries have reached their 7th year after graduation. A baseline for 2002 (prior to the start of the Codex Trust Fund) has been included for comparison

purposes for 92 countries (99 graduate countries that have been tracked for Year 1 after graduation minus 7 countries that were not yet Codex members in 2002) .

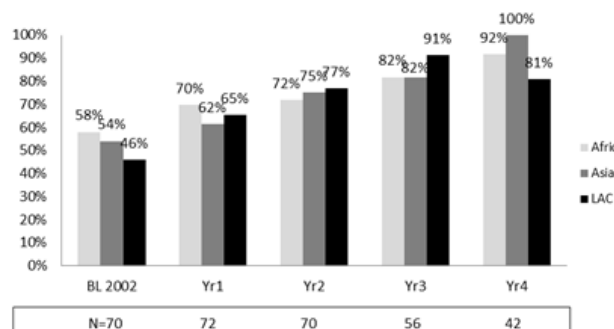
From this data we can conclude that the Codex Trust Fund has contributed substantially to sustained participation in Codex for eligible countries. An average of 80% of graduate countries continued to participate in at least one Codex meeting in the first five years following graduation from the Codex Trust Fund. 31% of graduate countries appeared to have difficulties ensuring participation in Codex meetings in the first year of graduation but these percentages rose in years 2 and 3 and remained steady right through the fifth year after graduation. This suggests latent but sustainable effects of the Trust Fund support on country participation. We reserve our conclusion for Years 6 and 7 due to the small N numbers.



2002 to 88% in their 4th year after graduation. Graph 9 presents the data for years 1-4 broken down by Codex regions for the 3 regions that have the largest number of CTF-eligible countries (Africa, Asia and Latin America and the Caribbean). The other regions were not analysed because the numbers of countries were small. This graph indicates that countries in the Codex African region rose in their participation each year from the baseline of 58% in 2002, countries in the Codex Asian region recorded quite spectacular progression from only 54% in 2002 to 100% in the 4th year after graduation.

When this information for years 1-4 is broken down by country groupings (Graph 8), it can be seen that countries in Group 3 (upper middle income with medium or high human development) have the highest percentages of continuing participation and have moved from 71% prior to the start of the Codex Trust Fund to 100% in years 2 and 3 after graduation. Group 1 (least developed countries and low income countries with low or medium human development) have also made great strides in sustaining participation in Codex after graduation moving from 44% in

Group 9. Percentage of graduate countries per region continuing to participate in Codex meetings (Africa, Asia, LAC)



The picture is a little more mixed for countries in the LAC region which moved from a low of only 46% participation in at least one Codex meeting prior to the Codex Trust Fund, to a high of 91% in the 3rd year after graduation and then saw a drop to 81% in the 4th year after graduation.

Outcome 1-2 Participations in Codex meetings from all developing countries

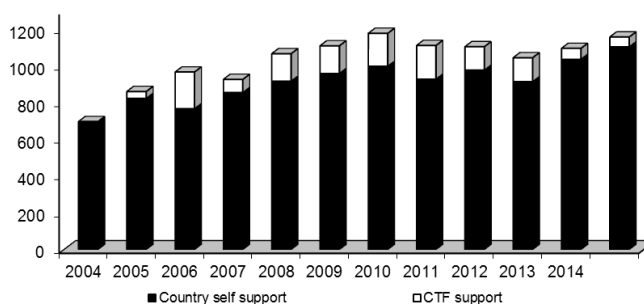
Monitoring question	Are there any overall changes in the extent of developing countries' participation in Codex?
Indicator	Total number of delegates from developing and transition economy countries participating in Codex meetings
Overall assessment of progress	Satisfactory. Numbers of graduated developing/transition economy countries supporting their own participants to Codex meetings continues to increase.

The “Country self-support” data in Graph 10.1. indicates the total number of self-funded delegates participating in Codex meetings excluding the FAO/WHO Regional Coordinating Committees and the Codex Alimentarius Commission². This data is collected by the Codex Trust Fund Secretariat from the lists of participation included in official Codex meeting reports. The 2013 Monitoring Report called attention to the fact that the decline in the number of delegates from developing/transition economy countries that had

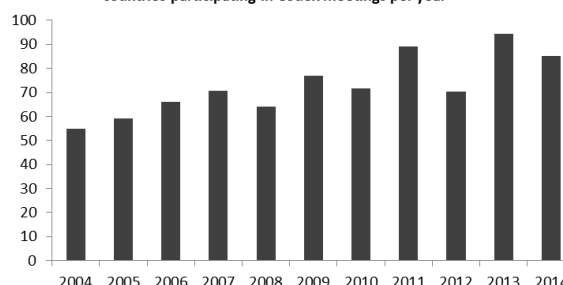
been recorded between 2009 and 2012 had been reversed in 2013. This reversal was confirmed in 2014 with a 7% increase in the number of participants from developing/transition economy countries supporting themselves to attend Codex meetings in 2014. Codex Trust Fund support as a percentage of total participations by developing and transition economy countries remained relatively stable in 2014 (10%) when compared with 2013 (11%).

As some calendar years see more Codex committees taking place than others, Graph 10.2. highlights the average number of delegates from developing and transition economy countries participating in Codex meetings per year. This illustrates that, while there have been peaks and troughs in average numbers of delegates participating, the average numbers of delegates per meeting is clearly showing an increasing trend.

Graph 10.1. Total Number of delegates from developing countries participating in Codex meetings



Graph 10.2. Average number of delegates from developing countries participating in Codex meetings per year



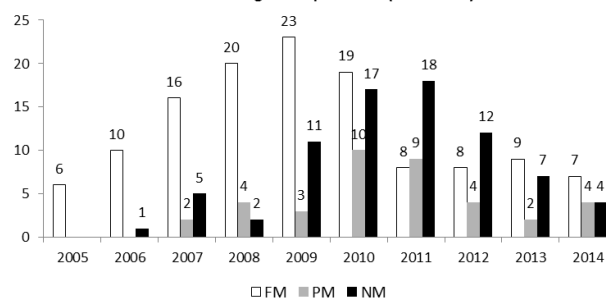
Outcome 1-3 Countries able to support participation using national or other sources of funding

Monitoring question	Are CTF eligible countries meeting their 50% matched funding requirement?
Indicator	Total number of CTF eligible countries on 50% matched funding status using 1 or more options to match the CTF support
Overall assessment of progress	Continues not satisfactory but some improvement

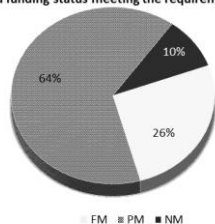
² Regional Coordinating Committees have been excluded due to high numbers of participants from the relevant Codex regions that participate in calendar years when these are taking place. Meetings of the CAC have been excluded as calendar years when elections take place also see higher number of participants.

The 2011 and 2012 Monitoring Reports noted the trend indicating that countries on 50% matched funding status were not meeting their matched funding requirement³. Countries not meeting the matched requirement at all rose from low of 7% in 2008 to highs of 51% in 2011 and 50% in 2012. This figures dropped steadily to 38.8% in 2013 and 27% in 2014. One explanation for this trend might be the high numbers of Group 1 countries that went on to 50% matched funding status in 2010 and 2011. Many of these countries were unprepared to match Codex Trust Fund support and had difficulties in the first years. The drops in numbers of countries not meeting the matched funding requirement in 2013 and 2014 need to be interpreted with caution as: a) many countries which were not meeting the matched funding requirement in 2010 and 2011 graduated and were brought back into the Codex Trust Fund under Group 4; b) a number of countries eligible for CTF support but on 50% matched funding status did not apply in 2013 and/or 2014. Both of these factors will act to reduce the numbers of countries in the data set which most likely to be unable to meet the matched funding requirement.

Graph 11. Total number of countries on 50% matched funding status meeting the requirement (2005-2014)



Graph 12. Percentage of countries in Group 4 on 50% matched funding status meeting the requirement in 2014



Graph 12 shows that Group 4 countries continue to have difficulty in fully meeting the matched funding requirement. While the matched funding requirement is monitored for Groups 1, 2 and 3, it is an obligation for all countries in Group 4. Countries in Group 4 which are not able to meet fully their matched funding obligation are suspended from Codex Trust Fund support until such time as they are able to ensure the political and economic support at country level for sustained participation in Codex as measured by self-funded participation in two priority Codex meetings during the calendar year.

Those countries fully meeting the obligation dropped from 41% in 2012 to 32% in 2013 and to 26% in 2014. Many of the Group 4 countries are partially meeting their obligation and this increased in 2014 (22% in 2012, 17% in 2013, 64% in 2014). While the Codex Trust Fund carries out intensive dialogue with Group 4 countries during the application process on how they will meet their matched funding obligation, many countries are not able to honour this obligation during the course of the calendar year and this may be fuelling the increasing numbers of countries only partially meeting the matched funding obligation. Those Group 4 countries who only partially met their matched funding obligations in 2014 will not be supported by the Codex Trust Fund in 2015.

In addition, this information on how countries are meeting the matched funding requirement should be seen in the light of the following:

1) 12 countries, out of a total of 39 Group 4 countries which were eligible for Codex Trust Fund support in 2014, did not apply for support in 2014. From follow up by FAO/WHO regional officers and by the CTF Secretariat it is known that the majority of these 12 countries did not apply as they knew they would not be

³ Fully met requirement (FM): Group 1a & 1b = 3 self-funded participations during the year; Group 2 = 3 self-funded participations during the year; Group 3a & 3b = 1-2 self-funded participations during the year (depending on level of support from the CTF) Partially met requirement (PM): Group 1a & 1b = 1-2 self-funded participations during the year; Group 2 = 1-2 self-funded participations during the year; Group 3a & 3b = 1 self-funded participation during the year. Requirement not met (NM): 0 self-funded participations during the year (for all groups).

able to meet their matched funding requirement. Therefore, those countries which are least able to meet their matched funding requirement are not included in the data as they did not apply for support.

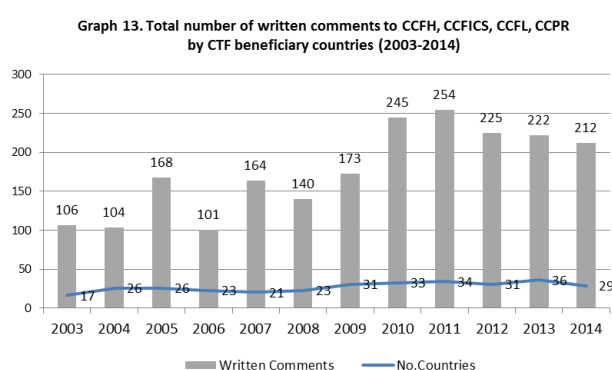
2) not meeting the matched funding requirement does not appear to deter countries from participating in at least one Codex meeting a year after graduation as can be seen from Outcome 1-1.

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

Monitoring question	How does engagement in Codex work of CTF eligible countries evolve?
Indicator	Submission of written comments to Codex committees by CTF eligible countries
Overall assessment of progress	Remains unsatisfactory. Decline in both numbers of written comments submitted and numbers of countries using this method of participation.

Written comments submitted by developing countries and countries with economies in transition⁴ to four Codex committees (CCFH, CCFL, CCPR, CCFICS) were tabulated for the period 2003 (prior to the start of the Codex Trust Fund) to 2014. These four committees were chosen as they usually meet annually and are most often prioritized by Codex Trust Fund beneficiary countries.

The total number of written comments submitted for the Codex meetings in question by CTF eligible countries continues at over 200 total since 2010. However, there was a small decline in the total number of written comments submitted by developing and transition economy countries for these four committees⁵ in 2014. Of particular note, is the decline in the number of countries using this method of participation (from a high of 36 in 2013 to 29 in 2014). This means, out of 151 countries that have ever been eligible for the Codex Trust Fund, only 19% of them sent written comments to at least one of the four committees in 2014.



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

Monitoring question	Are the CTF eligible countries increasing their capabilities to plan for and solicit support for participation in Codex committees?
Indicator	% of CTF eligible countries that are sending in a fully completed application and are up to date with their reports by 31 October and by mid-January
Overall assessment of progress	Remains unsatisfactory but with some progress. 35% of countries had submitted a fully completed application and were up-to-date with reporting by 31 October 2014. 87% of country applications were complete by 15 January 2015.

A first baseline for this indicator was established with the 2012 application process. The deadline for submissions of applications is always 31 October of the year preceding support. Table 1 below shows the evolution in this indicator for the past three rounds of applications. The number of fully completed applications by the deadline of 31 October increased by 8 percentage points between the 2013 application

⁴ All countries which have ever been eligible for CTF support were included with the exception of countries of the Codex European Region who are, or became members of the EU any time after 2002, as for a large number of agenda items at Codex committees the EU submits common written comments for all member countries. Each time a country was noted in a footnote of a Codex meeting report as having submitted written comments for a specific agenda item this was entered into an Excel table which includes information on: country; region; year; committee name and session; number of agenda item; document references.

⁵ This may be linked to the agenda items on these committees which did not lend themselves to the submission of written comments.

round (for support in 2014) and the 2014 application round (for support in 2015), and by 24 percentage points for fully completed applications received by 15 January of the support year.

Table 1⁶

	2012	2013	2014	2015
No. of countries eligible to submit an application	97	92	79	59
No. of countries submitting an application	71 (73%)	56 (61%)	54 (68%)	31 (53%)
No. of fully completed applications⁷ submitted by 31 October	Not counted ⁸	7 (12%)	11 (20%)	11 (35%)
No. of fully completed applications submitted by 15 January	36	29 (52%)	41 (76%)	27 (87%)

As reported in the 2013 Monitoring Report the figures for the number of countries submitting fully completed applications by the 31 October deadline continues to remain low. The figures for completed applications by 15 January 2015 were once again encouraging for the 2015 application cycle as 87% of countries submitting applications had fulfilled all criteria for the receipt of the application. However, it should be noted that this is a full six weeks after the 31 October deadline and continues to mobilize inordinate resources of the CTF Secretariat and FAO/WHO regional offices for follow up.

Outcome 2-3 Institutional capacities of countries

Monitoring question	Do the institutional capacities of countries support effective participation in Codex meetings?
Indicator	Quality of preparation before, participation in and follow-up after meetings as reported/described in obligatory participant reports.
Overall assessment of progress	Satisfactory. Institutional capacity of countries to support effective participation in Codex meetings continues to evolve slowly. Decline reported in 2013 Monitoring Report reversed and over 90% of participants reporting some form of preparatory process and active participation in Codex meetings attended.

New data and information for reporting on this indicator is taken from the analysis of obligatory participant reports for the calendar year 2012⁹ and follows on from information provided in the 2013 Monitoring Report.

The data and information from the 2012 participant reports continues to confirm that, overall, the quantity and quality of preparation before, participation in, and follow-up after meetings evolves slowly with relatively small changes. While some trends appeared to reverse in 2011, the 2012 participant reports show that 2011 might not have signalled an actual reversal. For 2012, over 95% of participants reported that some form of preparatory process took place prior to participation in Codex meetings, which is consistent with the trend of above 90% reporting preparatory processes. As in past years, over 90% of participants report active participation in meetings; however, it is not possible to judge the effectiveness of that participation from the participant reports. While 2011 saw a dip in evidence of positive impacts at country level, that trend was reversed in 2012 with participants reporting more positive impacts.

⁶ Denotes year for which support is being sought

⁷ All criteria assessed on the application form are fully completed; the country is up-to-date with submission of obligatory participant reports and has met their matched funding obligations (for Group 4 countries).

⁸ Prior to first use of M&E framework and therefore not counted.

⁹ The time lag is due to the fact that a full set of obligatory reports for a calendar year only become available one year later i.e. for the 2014 application process, participant reports needed to be up-to-date in the on-line system for the period August 2012-July 2013 (up to an including participation in the CAC).

Preparation before the meetings

Levels of respondents who reported that some form of preparatory process had been undertaken prior to participation in the relevant Codex meeting increased from 2011 (93% in 2009, 94% in 2010, 92% in 2011 and 98% in 2012). As in past years, the most common forms of preparation continue to be sharing of relevant Codex documents, meetings of the National Codex Committee (NCC), physical meetings of relevant stakeholders, and consultations to identify scientific/technical data. While the type of preparatory processes remained consistent in popularity, overall fewer participants reported holding NCC meetings. Additionally, participants reporting consultations to identify scientific/technical data fell by 16%.

Participation during meetings

The number of participants reporting active participation during the Codex meeting increased slightly from the 2009-2011 levels (88% in 2009, 86% in 2010, 87% in 2011 and 93% in 2012). Commonly cited reasons for not participating included first time participation, having same opinions being voiced by other delegates, at times struggling to be heard, and being unable to fully participate in the preparatory process. Repeat participants reported greater participation in each category except for contributions of scientific/technical data. The largest difference between first time and repeat participants was in 1-5 interventions on agenda items (48% first time and 61% repeat participants).

Post meeting process and outcomes

Table 2
Outcomes of post-meeting processes at national level

	2008	2009	2010	2011	2012
Recommendations for follow up	46%	90%	76%	69%	79%
Development of national standards	31%	57%	58%	42%	57%
Development in food legislation/regulation	19%	30%	39%	25%	29%
Changes in food safety systems	4%	25%	32%	25%	22%
Changes in Codex infrastructure	17%	17%	20%	17%	14%

The data from 2012 show that the decreases in 2011 were not a sign of a permanent decline. All outcomes reported increased except for changes in food safety systems and Codex infrastructure.

The main stakeholders involved in the post-meeting process were government bodies, which constituted 87% of all stakeholders in 2009 and 2010, 91% in 2011 and 97% in 2012. This was followed by the food industry (reported involvement was 61% in 2009, 75% in 2010, 67% in 2011 and 63% in 2012), and consumers (reported involvement was 52% in 2009, 61% in 2010, 55% in 2011 and 55% in 2012). The data from 2012 show that national authorities continue to remain a major player in post meeting processes.

Outcome 2-4 Participants in capacity development activities applying knowledge

Monitoring question	Are participants in capacity development activities applying knowledge to strengthen their contribution to Codex standard-setting?
Indicator	% of participants in capacity development activities who state that they apply knowledge gained from activities
Overall assessment of progress	Data and information from only one follow up evaluation. Satisfactory for response rate and for percentage of participants partially or fully applying skills acquired from the workshop and partially or fully carrying out key activities indicated on the end of workshop evaluation form.

From data gathering and manipulation related to this indicator for the 2013 Monitoring Report it was realized that follow up evaluations on FAO/WHO Codex training courses and workshops were difficult to carry out due primarily to the design of the end of course evaluation that did not allow for individual follow up on application of knowledge and information once the participant in the workshop or training course had returned to their work situation. For this reason, and as described in Output 2-2, it was decided to revise the end of training course evaluation form to allow for better follow up. A follow up evaluation was, therefore, carried out on only one CTF-supported FAO/WHO Codex training that took place in 2013; the FAO/WHO Technical Workshop on “Chemical Risk Analysis in the Food Chain” which was held in Beijing, China from 13-16 March 2013.

Questionnaires were administered to all participants in the training course 12 months after the course to evaluate the extent to which participants had been able to apply knowledge/skills acquired during the course to contribute to Codex work at national and international levels. A questionnaire was administered to all participants in the workshop. Part One of the questionnaire elicited information on skills applied and activities being engaged in as a result of the workshop, while Part Two related to the extent to which participants had been able to implement actions detailed in the country actions plans that were drawn up during the workshop. Participants were also given an opportunity to provide additional qualitative information to support their answers by explaining follow up actions at country level as a result of participating in the training course/workshop.

Data for indicator Outcome 2-4 is drawn from Part 1 of the questionnaire. Other information provided is used by FAO/WHO headquarters and regional offices as essential feedback on the quality and usability of FAO/WHO Codex training courses, and to inform the design and delivery of future courses.

14 out of the 24 participants who had participated in the workshop responded (response rate of 58%).

50% of respondents indicated that they were partially or fully applying skills acquired from the workshop (e.g.: accessing international data to support national positions in Codex; participating in FAO/WHO networks; contributing to FAO/WHO databases). 11 out of 14 respondents (79%) reported that they were accessing international data to support national positions in Codex. 57% reported that they had been able to partially or fully carry out the key activities that they had indicated on the end of workshop evaluation form.

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

Monitoring question	Does the scientific evidence contribute to the Codex decision-making process?
Indicator	Codex decisions in relevant committee(s) is/are based on a larger pool of scientific data generated from CTF-funded projects.
Overall assessment of progress	To be assessed subsequent to decisions of the relevant Codex meeting where recommendations and conclusions of FAO and WHO on the data generated are considered.

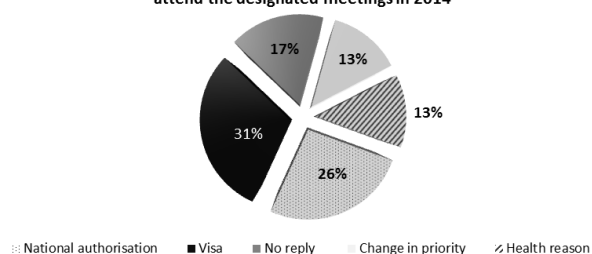
As agreed at the 9th Session of the CCCF, survey data from the mycotoxins in sorghum project in four countries (Burkina Faso, Ethiopia, Mali, Sudan) will be sent to FAO and WHO for analysis. Once this work has been carried out by FAO and WHO, their recommendations will be made to CCCF as regards the mycotoxins of importance and the feasibility to establish MLs for these mycotoxins and proposed changes to the COP on mycotoxins in cereals. Reporting on Outcome 3-1 will, therefore, be dependent on the decisions of the CCCF once they have received the results of the analysis and recommendations of FAO and WHO.

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

Monitoring question	Are the administrative procedures of CTF adapted to the needs and realities of its beneficiaries?
Indicator	% of participants granted CTF support that fail to attend the designated meeting for any reason
Overall assessment of progress	Continues to be satisfactory on issues within the control of the Codex Trust Fund.

The results for the calendar year 2014 appear in Graph 14. The total number of participants who were not able to participate at a priority Codex meeting indicated in their applications was 23 out of a total of 104 participants for whom travel was expected to be administered by Codex Trust Fund to attend Codex meetings in 2014 (22%). This rate of failure to attend a Codex meeting in 2014 was significantly higher than in 2013 and 2012 (8% and 9% respectively), and is increasingly as a result of no response from CCPs and/or participants to messages from the Codex Trust Fund; accounting for 17% in 2014. This is much higher than 2013 (4%) and higher than 2012 (12%). Issues around obtaining the necessary visa(s) in time was

Graph 14. Percentage of participants granted support that fail to attend the designated meetings in 2014



substantially reduced in 2014 compared with previous years (31% in 2014, 54% in 2013, 52% in 2012). Difficulties for participants to obtain national authorizations represented 26% in 2014 compared to 20% in 2012 (no loss of participants was recorded for this cause in 2013). Failure to attend due to a late change in priority of Codex meeting and cancellation due to health reason both accounted for 13% of non-travel.

Administration 2 - Satisfaction of beneficiaries

Monitoring question	Is CTF administration sufficiently responsive?
Indicator	% of beneficiaries satisfied with CTF administration
Overall assessment of progress	Remains satisfactory. Over 80% of respondents very satisfied with the performance of the CTF Secretariat.

Collection of data for this indicator necessitated a change in the on-line report used by participants to submit the obligatory reports to the Codex Trust Fund Secretariat; with two additional questions being added to the report.

Question 1: "Did you experience any problems with travel administration in relation to participating in the meeting?" (Possible answers: "yes" or "no" with a space to provide additional information if "yes" was chosen)

92% of the respondents did not experience any problems with travel administration as compared with 97% in 2013. Three participants replied “yes” and problems related to travel were due to delay in delivery of tickets and per diem.

Question 2: How would you rate the performance of the Codex Trust Fund secretariat? (Possible answers: “very good”, “good”, “average”, “not so good”, “poor” with a space to provide comments)

82% of the respondents rated the performance of the Codex Trust Fund Secretariat as “very good” (77% in 2013) while 18% rated the performance as “good”.

Management 1 - Satisfaction of stakeholders

Monitoring question	Is the CTF sufficiently responding to needs of Codex Members for wide and effective participation in Codex?
Indicator	% of CTF stakeholders who are satisfied with the management of the CTF.
Overall assessment of progress	2012 reporting: Results satisfactory from those groups responding as target average of 4 reached but response rate low from two stakeholder groups¹⁰. High response rate from donor stakeholder group.

Satisfaction of different stakeholders groups was assessed during the final project evaluation for which data collection was carried out between September and December 2014. A number of questions that appeared on the questionnaires used by the evaluation team were similar to those which appear on the questionnaire used for this indicator. It was, therefore, decided not to administer an additional questionnaire to Codex Trust Fund stakeholders in the same time period as originally planned and announced in the 2013 Monitoring Report.

For information on the satisfaction of stakeholders with the Codex Trust Fund, Codex member states can refer to the findings of the final project evaluation which are contained in CX/CAC 15/38/18- Add.2.

¹⁰ 1) Countries which have benefitted from support from the Codex Trust; 2) countries which are Codex members but are neither beneficiary countries nor donor countries.

Implications for Management

Results level	Priority	Issue	Action taken on recommendations in 2013 Monitoring Report	Planned action during 2015 and in 2016 (first year of CTF successor initiative)
Outcome 2 (Strengthened participation)		Little use of written comments as means of participating in Codex	1. Use of written comments included in CTF-supported FAO/WHO Codex trainings/workshops in 2014 which focused on basic participation in Codex.	1. Effective and relevant use of written comments as a means of participating in Codex that does not require physical participation will be one instrument used in approaches to assist countries to engage effectively in Codex that will be rolled out in CTF2 as part of integral capacity building efforts (see below).
		Capacity for effective participation remains low.	2. CTF supported FAO/WHO Codex training courses in 2014 addressed identified barriers contributing to weak capacity for effective participation in Codex.	2. Improving national capacity for effective participation in Codex will be the primary focus of the successor initiative and will be addressed through different means. 3. In addition to monitoring and evaluation of activities carried out at national level as a result of implementation of successful applications, FAO/WHO/CTF to look also at possible inclusion of questions in follow-up evaluations of training courses to track enhanced national capacity to prepare for & participate in Codex meetings (from 2013 Monitoring Report recommendations).
		Issues around application of knowledge & skills from training courses/workshops .	3. Feedback from training course evaluations used to inform design and delivery of 2014 Codex capacity development activities. 4. Follow up evaluation carried out on one 2013 training course. 5. FAO/WHO to examine ways to identify & address barriers to application of knowledge/skills gained from Codex capacity building.	4. FAO/WHO to continue to use learning and feedback from past training course evaluations to inform design and delivery of 2015-2016 Codex capacity development activities. Revisit the usefulness of training courses look for a best mix between distant learning and other forms of training. 5. Barriers to application of knowledge/skills gained from Codex capacity building to be identified and ways to address these to be incorporated into capacity-building supported under the successor initiative.

Outcome 1 (Widened participation)		Number of countries fully meeting matching funding requirement remains unsatisfactory but number of countries continuing to participate in at least one Codex meeting after graduation shows good results.	6. FAO/WHO/CTF Secretariat used different opportunities (RCCs, country visits, Codex training activities) to identify underlying issues and possible actions at country level to address barriers to sustained participation in Codex using national resources. 7. Data from monitoring and from final project evaluation used to inform design and development of successor initiative.	6. Identification and prioritization of Codex meetings of most importance to a country, and ensuring effective participation (physical and non-physical) in these meetings, are built into the successor initiative as a country responsibility. Country accountability for achieving objectives set in application process, and monitoring of this accountability will replace “matched funding” and “graduation” of current Codex Trust Fund. 7. Continue to monitor developing and transition economy countries’ participation in Codex after the end of the current Codex Trust Fund.
Output 1 (Sponsored participation)		Need to enhance satisfaction with participation during meetings	8. FAO/WHO Codex trainings to emphasize building capacity at national level for effective preparation for and participation in Codex meetings.	8. Building capacity at national level for effective engagement in Codex + working with countries at Codex meetings to improve effective participation during meeting are key elements of the successor initiative.
		Persisting imbalance in gender participation.	9. FAO/WHO regional and country officers included this issue in dialogue around application process as relevant.	9. FAO/WHO to look at how gender and human rights considerations might be incorporated into the implementation of the successor initiative.
Administration		Visas not received in time for participation	10. CTF Secretariat continued to sensitize CCPs/participants on timely preparation of visas.	10. CTF Secretariat will continue efforts in this area in 2015. Travel to Codex meetings will no longer be administered by the CTF Secretariat as of 2016 but issues around visas have been raised and are being discussed in Codex.
Outcome 3 (Scientific evidence)		Ensure results of mycotoxins in sorghum projects are input to on-going process in CCCF	11. CTF/FAO/WHO brought mycotoxins in sorghum projects to successful conclusion in early 2015.	11. CTF/FAO/WHO to continue to monitor use of results from projects in CCCF process

Legend: Black=requires urgent attention. Dark Grey=monitor closely. Light Grey=maintain progress.
