



## JOINT FAO/WHO FOOD STANDARDS PROGRAMME

### EXECUTIVE COMMITTEE OF THE CODEX ALIMENTARIUS COMMISSION

#### Eighty-fourth Session

#### Codex Strategic Plan 2020-2025 – Revised monitoring framework

(Prepared by the Codex Secretariat)

## 1. Background

The 42nd Session of the Codex Alimentarius Commission (CAC42) adopted the Codex Strategic Plan 2020-2025 as proposed by the 77th Session of the Executive Committee of the Codex Alimentarius Commission (CCEXEC77).

At CCEXEC81, the Codex Secretariat presented an in-depth review of the monitoring framework of the Strategic Plan, with a view to providing complete, objective, and reliable information to the Membership on its implementation. It was found that several indicators were not readily amenable to being measured for monitoring purposes since they all required a baseline and a target, and in most cases further specification of the means of verification.

Several indicators measured qualitative dimensions on progress on a specific outcome which is subjective and may not be comparable between biennia. Data collection for several other indicators relied on manual counting and/or on a survey to be submitted to Members. The Secretariat has limited capacity in this kind of data collection. Members have also pointed out their limited capacity to provide support in monitoring the implementation of the Strategic Plan and have cautioned the Secretariat against sending too many requests for data.

At CCEXEC83, the Secretariat presented a report<sup>1</sup> on the implementation of the Strategic Plan 2020-2025 according to the revised monitoring framework approved by CCEXEC81. This comprehensive implementation report focused on achievements in the 2020-21 biennium. It reported against the indicators set out in the monitoring framework agreed at CCEXEC81 to the best extent possible.

The Secretariat also acknowledged that challenges remained regarding monitoring against some of the indicators and that a further review of the monitoring framework would be required with the aim to improve monitoring and provide a more comprehensive paper. In particular, the Secretariat reported on the ongoing challenges to monitoring the implementation of the Strategic Plan including:

- data collection for some indicators that relied more on qualitative information, and the difficulties in comparing the results for this type of indicators across biennia;
- the ongoing changes and uncertainties Codex was operating in that required constant adaptation; and
- the number of indicators, some of which overlapped.

CCEXEC83 requested that the Secretariat present a proposal to CCEXEC84, with at least one indicator per outcome and that justification be provided for the deletion of the other indicators. Members further noted how the information in the monitoring report could assist in the elaboration of the Strategic Plan 2026-2031<sup>2</sup>.

## 2. Pilot survey on use and impact of Codex texts

At the same time, in 2022 the pilot survey on use and impact of Codex texts was launched, in line with Strategic Goal 3. While initial results were presented to CAC45<sup>3</sup>, a more detailed report on the survey results is now available as information document CCEXEC84/INF1. This pilot survey provided greater insight into the types of information that could be sought directly from Members that was also relevant to the Strategic Plan

<sup>1</sup> CX/CAC 22/45/14

<sup>2</sup> REP22/EXEC2

<sup>3</sup> CX/CAC 22/45/14 Add.1

monitoring framework. CCEXEC84 may wish to provide comments on the report as well as how the report could optimally be shared and used. It is noted that several indicators contained in the survey provide relevant data to inform implementation of the Strategic Plan 2020-25.

### **3. Proposed revisions to the monitoring framework**

In streamlining the Strategic Plan monitoring framework and in line with the feedback from CCEXEC and the experience of implementing the pilot survey on use and impact of Codex texts, the Secretariat is proposing to replace a few of those indicators that were difficult to measure with those being measured through the survey.

A revised monitoring framework for the Strategic Plan 2020-25 is presented in the Annex. In this review, an effort was made to focus on Specific, Measurable, Achievable, Relevant and Time-bound (SMART) indicators. Accordingly, the number of indicators requiring a narrative, instead of a concrete measure comparable over time, were reduced. Where possible, according to resources available, a replacement was proposed. The request of maintaining at least one indicator per outcome was met.

It is further proposed that the implementation report for the 2022-2023 biennium include, in addition to the indicators included in the monitoring framework contained in the Annex, a narrative report under each goal, including more qualitative information on activities implemented and achievements, as they relate to the different outcomes.

Furthermore, initial discussions have started to align the Codex Trust Fund monitoring framework to that of the Codex Strategic Plan one. Further information on this initiative will be reported to CCEXEC85.

### **Recommendations**

CCEXEC84 is invited to:

- i. review the revised monitoring framework on how to report on the implementation of the Codex Strategic Plan 2020-2025 and recommend its adoption by CAC46;
- ii. recommend that the lessons learned from the implementation of the monitoring framework for the Codex Strategic Plan 2020-25 be used to develop the monitoring framework of the Codex Strategic Plan 2026-2031;
- iii. consider the report of the pilot survey on the use and impact of Codex texts as it begins the planning and development of the Codex Strategic Plan 2026-2031; and
- iv. confirm the survey approach, piloted in 2022, as part of the mechanism to monitor the use and impact of Codex texts.

Annex

Goal 1. Address current, emerging and critical issues in a timely manner		Comments endorsed by CCEXEC81	Proposal for CCEXEC84
Outcome 1.1.1 Improved ability of Codex to develop standards relevant to the needs of its members	Indicator 1.1.1 The number of emerging issues identified by subsidiary bodies	Counting the number of emerging issues identified by subsidiary bodies provides limited information and does not necessarily reflect an improved ability to develop standards that meet member's needs. To answer to the outcome statement, the question is to understand if Codex has put in place the right mechanisms to identify and act on emerging issues. The Secretariat will provide a short narrative report on the evolution of the procedures to identify emerging issues in Codex Committees.	It is proposed to replace this indicator with the survey on use and impact of Codex texts indicator on relevance of Codex texts (extent that Members recognize Codex texts meet Members' priority food safety and quality needs).
Outcome 1.2.1 Timely Codex response to emerging issues and the needs of members	Indicator 1.2.1 Proportion of identified emerging issues that lead to proposals for new work	The intent of this indicator with regard to the outcome statement which focuses on timely response is encompassed in indicators 1.2.2 and 1.2.3 and is not considered to provide any additional value or information to the extent that it would justify the effort required to collect such data.	In line with the comments provided at CCEXEC81, it is proposed to delete this indicator.
	Indicator 1.2.2 Time taken from the identification of new issues to the submission of proposals for new work to the Executive Committee	The Secretariat will measure this indicator by looking at emerging issues of General Subject Committees raised in the 2018-19 biennium and assess the time taken to lead to new work proposals. This will serve as the baseline for which subsequent biennium can be compared.	The indicator will be kept.
	Indicator 1.2.3 Time taken for prioritized emerging issues to result in revised or new Codex texts	The indicator will be measured as is.	The indicator will be kept.
	Indicator 1.2.4 Committees documenting their approach to work prioritization based on criteria for establishment of work priorities in the Procedural Manual.	The Secretariat will provide a short narrative report to reflect progress against this indicator.	As this indicator is not SMART and can only be reported on through a narrative, it is proposed to delete it. The two previous indicators are found to provide sufficient measurement for the outcome.

Goal 2. Develop standards based on science and Codex risk-analysis principles		Comments endorsed by CCEXEC81	Proposal for CCEXEC84
Outcome 2.1.1 Scientific advice is taken into account consistently and in line with Codex risk analysis principles by all relevant committees during the standard setting process	Indicator 2.1.1 Proportion of texts considered by CCEXEC, as part of its work to monitor the progress of standards development, for which reports by subsidiary body Chairs indicate how scientific advice was used and any other legitimate factors were considered in developing Codex texts	The Secretariat will provide a short narrative report to reflect any progress against this indicator.	The indicator will be kept.
Outcome 2.2.1 Codex standards are developed with reference to globally representative data	Indicator 2.2.1 Proportion and regional distribution of Codex members who contribute to calls for data from working groups and Joint FAO/WHO Expert Committees/Meetings	The intent of this indicator is to encourage Member countries to increase their willingness to generate and/or share data. FAO and WHO can only facilitate data transfer and strengthen capacities. Therefore, ownership of this indicator is with the data owners, i.e. Member countries. A short narrative report on contributions to calls of data will be provided, based on eWG chairs and Regional Coordinators reports, where data issues were prioritized.	The indicator will be kept.
Outcome 2.3.1 FAO and WHO expert bodies are providing scientific advice within time frames agreed between committees and FAO/WHO, and these time frames allow standard development to progress in a timely manner	Indicator 2.3.1 Extent of and any changes in core funding for scientific advice within FAO and WHO	FAO and WHO report regularly on core funding for scientific advice to CAC. Information about this indicator is therefore found in the related CAC document from FAO/WHO on scientific advice. Request from CCEXEC81: A short narrative report (qualitative description of progress) to be included in the monitoring and evaluation framework to report on FAO/WHO core funding for scientific advice to CAC, based on the related CAC document from FAO/WHO on scientific advice.	Information about FAO/WHO core funding is found in the related CAC document from FAO/WHO on scientific advice. It is therefore proposed to delete this indicator. However, the relevant information will be reported or cross-referenced in the narrative report on Goal 2 in the overall strategic plan implementation report.

	Indicator 2.3.2 Proportion of scientific advice provided within established timeframes	Codex Committees have the mandate to request scientific advice. Currently no agreed timelines for delivery of scientific advice are in place in several committees. Therefore, the Secretariat will provide a short narrative report to reflect progress against this indicator based on information available from the Committees' reports and the Critical Review process.	The indicator will be kept.
<b>Goal 3. Increase impact through the recognition and use of Codex standards</b>		<b>Comments endorsed by CCEXEC81</b>	<b>Proposal for CCEXEC84</b>
Outcome 3.1 Codex Members are proactively promoting the use of Codex standards	Indicator 3.1.1 Number of country contributions to the Codex regional and observer webpages reflecting events/activities that raise awareness on Codex standards	This dimension is included in the regional work plans. Regional Coordinators report regularly on progress of their work plans. Information about this indicator is therefore found in the related progress report on regional work plans.	In line with the comments provided at CCEXEC81, it is proposed to delete this indicator. However, the relevant information from the Coordinating Committees report on implementation of regional workplans will be reported or cross-referenced in the narrative report on Goal 2 in the overall strategic plan implementation report.
	Indicator 3.1.2 Number of activities in the Codex communications work plan that explicitly address the visibility of Codex standards and extent of implementation	The Secretariat will provide a short narrative report to reflect progress against this indicator.	It is proposed to replace this indicator with the survey on use and impact of Codex texts indicator on dissemination of Codex texts (Extent that Codex texts are disseminated to stakeholders by Members); and new knowledge (degree that new knowledge from Codex texts has been gained by Members).
Outcome 3.2.1 Increased use of Codex standards in the development of national food standards and regulations.	Indicator 3.2.1 Proportion of Member countries participating in national or regional capacity development initiatives to encourage and facilitate practical use of Codex standards have been undertaken	This dimension is included in the regional work plans. Regional Coordinators report regularly on progress of their work plans. Information about this indicator is therefore found in the related progress report on regional work plans.	It is proposed to replace this indicator with the survey on use and impact of Codex texts indicator on use of Codex texts to inform legislation, policies, etc. (Extent that Codex texts have been used as a baseline to inform your country's newly developed food legislation, policies, regulations, programs and/or practices).
Outcome 3.2.2 Increased use of Codex standards by the food trade	Indicator 3.2.2 Proportion of specified Codex standards adopted or used by Codex Members	The Secretariat and FAO/WHO periodically conducts a survey on adoption and use of a subset of Codex texts. Based on the results of these surveys, the Secretariat will also provide a short narrative report to reflect progress against this indicator.	It is proposed to replace this indicator with the survey on use and impact of Codex texts indicator on use of Codex texts in NFCS, trade, etc. (Degree that Codex texts are used by Members: i) to support the harmonization national food control systems; ii) help increase stakeholder awareness of food safety and quality issues and evidence-based interventions and recommendations; iii) to inform and to update food safety and quality training

			and educational programs and related tools; and iv) help improve member state commodity trade).
	Indicator 3.2.3 Proportion of specified Codex standards adopted or used by relevant Codex Observers	The Secretariat will provide a short narrative report to reflect progress against this indicator.	As this indicator is not SMART and can only be reported on through a narrative, it is proposed to delete it from the monitoring framework but nevertheless any updates on the use of Codex standards by relevant Observers will be captured in the narrative report related to Goal 3.
Outcome 3.3.1 Having a mechanism/tool to measure the impact of Codex standards developed and piloted	Indicator 3.3.1 Progress on the development of a mechanism to measure impact of Codex standards	The Secretariat will provide a short narrative report to reflect progress against this indicator.	The indicator will be kept.
<b>Goal 4. All Codex members have the capacity to participate at all stages of the Standard setting process</b>		<b>Comments endorsed by CCEXEC81</b>	<b>Proposal for CCEXEC84</b>
Outcome 4.1.1 Participation by all Codex Member countries in the work of Codex Committees and working groups	Indicator 4.1.1 Number of countries participating in Codex Meetings (as amended by CCEXEC 81)	This indicator relies on the application of the Codex diagnostic tool, which is done on a voluntary basis by countries and is used more as a self-help tool than a reporting one often in the context of submitting an application to CTF. Therefore, measuring this indicator would prove challenging and provide subjective/not comparable data.	In line with the comments provided at CCEXEC81, it is proposed to delete this indicator.
		Initial evidence suggests that the shift of Codex committees and working groups to virtual platforms has significantly increased registration and feedback indicates a greater sense of engagement among some who are participating directly in Codex meetings for the first time. The Secretariat proposes that, in order to track progress towards this outcome, it monitors trends in Member Countries' registration in Codex meetings, comparing 2018-19 data with 2020-21 in the first instance. Registration to Codex meetings must be done by the Codex Contact Point, hence such registration reflects the presence of an active contact point that and a degree of management of Codex work at the national level. Measurement required no further	In line with the comments provided at CCEXEC81, it is proposed to reformulate this indicator to: Number of Members registering to CAC and the active general subjects committees.

		input from Members. Application of the Codex Diagnostic Tool remains a valuable activity, also promoted by several of the regional implementation plans, rather than an indicator.	
	Indicator 4.1.2 Sustainable resource allocation for the above, which may be reflected in national legislation and/or organization structures	This indicator would prove quite difficult to measure as Member Countries have different ways to fund Codex structures. It would also require reporting by Members which would be an additional burden. The Secretariat suggests that monitoring trends in registration, proposed above, sufficiently reflects Member's investment in Codex.	In line with the comments provided at CCEXEC81, it is proposed to delete this indicator.
	Indicator 4.1.3 Additional indicator for CTF recipient countries: Proportion of CTF2 recipient countries sustaining national Codex systems and related activities once the funding ends	CTF2 recipient countries still have to complete their projects, therefore information on countries sustaining progress made with CTF2 support is limited. The CTF2 monitoring and evaluation framework outlines impact measurement of CTF support and will inform this indicator. The mid-term evaluation of the CTF2 (likely to start in late 2021/early 2022) will further look into the sustainability issue. A short narrative report based on preliminary information available will be provided by the CTF manager Administrator.	The indicator will be kept. Additional information stemming from the ongoing collaboration between the Secretariat and the CTF on aligning monitoring frameworks will be provided if available.
Outcome 4.2.1 Sustained, active participation in the work of Codex Committees and working groups	As amended by CCEXEC81: 4.2.1a - Number of Member countries who participated in eWGs during the biennium (2020-21 biennium will be the first to be reported on, participation is defined as registration to at least in one	Indicator amended by CCEXEC81	The indicator will be kept.

	eWG during the biennium). 4.2.1b - Number of Member countries that replied to CLs in the biennium (2020-21 biennium will be the first to be reported on, a member will be counted if they replied to at least two CLs during the biennium)		
Outcome 4.3.1 capacity building, partnering, and knowledge sharing activities are effective in building active participation by developing countries	Indicator 4.3.1 Documented discussions from the regional coordinating committees (RCC) or related meetings on barriers and potential solutions to participation by developing countries	This dimension is included in the regional work plans. Regional Coordinators report regularly on progress of their work plans. Information about this indicator is therefore found in the related progress report on regional work plans.	It is proposed to replace this indicator with the survey on use and impact of Codex texts indicator on barriers to the use of Codex texts (Extent that the following barriers are impeding the use of Codex texts: Lack of resources; Lack of local implementation capacity; Irrelevance of Codex texts for the national context/reality; Lack of basic national food safety laws; Duration of Codex text development; Lack of local implementation capacity; Duration of national implementation process; Language issues; Challenges to catch up with changes in Codex texts; Lack of awareness of Codex provisions by national stakeholders).
	Indicator 4.3.2 Increase in reports of mentorship and experience sharing on Codex issues between countries	This dimension is included in the regional work plans. Regional Coordinators report regularly on progress of their work plans. Information about this indicator is therefore found in the related progress report on regional work plans.	In line with the comments provided at CCEXEC81, it is proposed to delete this indicator.
<b>Goal 5. Enhance work management systems and practices that support the efficient and effective achievement of all strategic plan goals</b>		<b>Comments endorsed by CCEXEC81</b>	<b>Proposal for CCEXEC84</b>
Outcome 5.1.1 Codex work processes and procedures support the effective and efficient operation of Codex standard setting bodies	Indicator 5.1.1 Of the recommendations of regular review of Codex work management that are adopted by CAC, the proportion that are implemented	The Secretariat will provide a short narrative report to reflect progress against this indicator based on the review of the Codex work processes and procedures and the critical review exercise.	In line with comments made at CCEXEC81, as this indicator is not SMART and can only be reported on through a narrative, it is proposed to replace this indicator with delivery of the Codex budget during the biennium.



		The Secretariat further proposes to report in parallel on delivery of the Codex budget during the biennium. This would be based on the paper on the Budgetary matters prepared annually for the Commission.	The indicator will be kept.
Outcome 5.1.2 The efficient design of agendas and use of time in meetings of the Codex Alimentarius Commission, its Executive Committee and Subsidiary bodies maximises the time allocated to the development of Codex texts	Indicator 5.1.2 Proportion of meeting documents distributed in a timely manner consistent with the Codex Procedural Manual or timeframes established by committees	The indicator will be measured as is.	The indicator will be kept.
	Indicator 5.1.3 Proportion of sessions where all agenda items were covered within the allotted Committee meeting time and work was completed by the project deadline	The Secretariat will provide a short narrative report to reflect the intended outcome, based on input from chairpersons and host secretariats and information provided through the critical review. It will not provide quantitative data on proportion of sessions where all agenda items were covered within allotted meeting times but rather identify challenges and how they were overcome.	As this indicator is not SMART and can only be reported on through a narrative, it is proposed to delete it.
Outcome 5.2.1 Subsidiary body meetings and working groups are effectively and efficiently chaired and conducted	Indicator 5.2.1 Proportion of chairs and host countries of subsidiary bodies and working groups taking part in training and/or in the development of tools and guidance.	The Secretariat regularly reports on activities carried-out during the biennium through the implementation of the Codex work plan for Goal 5. Information on initiatives reflected in this indicator is therefore found in the related progress report of the Codex work plan and the monitoring report will more generally reflect progress towards the outcome statement. The pandemic has illustrated how planned activities need to be adapted to ensure Codex continues to work effectively and can go beyond chairs and hosts. In this past year, efforts also focused on Members' participation to virtual meetings.	In line with the comments provided at CCEXEC81, it is proposed to delete this indicator.
	Indicator 5.2.2 Satisfaction ratings on meeting efficiency, role of chairs and host and Codex secretariats	The indicator will be measured as is.	The indicator will be kept.