

CODEX ALIMENTARIUS COMMISSION **E**



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



**World Health
Organization**

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Agenda Item 12 (a)

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**JOINT FAO/WHO FOOD STANDARDS PROGRAMME
CODEX ALIMENTARIUS COMMISSION**

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FAO/WHO PROJECT AND FUND FOR ENHANCED PARTICIPATION IN CODEX

**Codex Trust Fund
2013 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 assessment: Very satisfactory. 2013 assessment: Satisfactory. Countries not applying for support and Group 4 countries not eligible due to not meeting matched funding obligation contributing to decreased support levels.	
	2. Participants who are satisfied with their participation	2012 assessment: Very satisfactory. 2013 assessment: Satisfactory. Lowered percentage of respondents scoring 4 or above on satisfaction questionnaire.	
Output 2 (Capacity building performed)	1. Participants at capacity development activities funded by the CTF	2012 assessment: Satisfactory. 2013 assessment: Satisfactory.	
	2. Participants who are satisfied with the capacity development activities	2012 assessment: Satisfactory. 2013 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	Not assessed. Mycotoxins in sorghum project continues to be on track.	
Outcome 1 (Widened participation)	1. Graduate countries continuing to participate in Codex meetings after graduation	2012 assessment: Satisfactory. 2013 assessment: Satisfactory. Low percentage of countries in South West Pacific region sustains participation.	
	2. Participations in Codex meetings from all developing countries	2012 assessment: Not satisfactory. 2013 assessment: Satisfactory. Declining trend reversed in 2013.	
	3. Countries supporting participation using national or other sources of funding	2012 assessment: Not satisfactory. 2013 assessment: Not satisfactory. Continuing decline in number of countries fully meeting matched funding.	
Outcome 2 (Strengthened participation)	1. CTF eligible countries submitting written comments to Codex	2012 assessment: Not satisfactory. 2013 assessment: Not satisfactory. No significant evolution in number of countries using this method of participation.	
	2. CTF eligible countries submitting complete applications on time	2012 assessment: Very unsatisfactory. 2013 assessment: Unsatisfactory. Continuing low rate of compliance with October deadline for fully completed applications and report submission.	

	3. Institutional capacities of countries	2012 assessment: Not satisfactory. 2013 assessment: Not satisfactory. Institutional capacity of countries to support effective participation in Codex meetings not evolving favourably.	
	4. Participants in capacity development activities applying knowledge	Unsatisfactory. Assessed for the first time in 2013. Low response rates for 3 out of 4 workshops.	
Outcome 3 (Scientific advice contributes to Codex decision-making process)	1. Scientific evidence from CTF eligible countries contributes to discussions in Codex.	Not assessed.	
Administration	1. Participants granted CTF support that fail to attend meetings.	2012 assessment: Moderately satisfactory 2013 assessment: Satisfactory. Major problem continues to be timely receipt of visas which is outside control of CTF Secretariat.	
	2. Satisfaction of beneficiaries.	Satisfactory. Assessed for the first time in 2013.	
Management	1. Satisfaction of stakeholders	2012 assessment: Results satisfactory but very low response rate from two stakeholder groups. Will be re-assessed in 2014.	

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

2. Introduction

This document contains the second full 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. The monitoring reports 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 (increased relevance of Codex standards) as well as the development goal of 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.

The 2012 Monitoring Report (CX/CAC 13/36/14-add.1) provided information on all indicators for which information was available at the end of 2012 and included information based on data routinely gathered by the Codex Trust Fund for a number of years, as well as additional data that was gathered for the first time in 2012 as a result of the development of the M&E framework. The 2013 Monitoring Report reports for the first time on Outcome indicator 2-4 related to “*Participants in capacity development activities applying knowledge*”, and the indicator on Administration 2 related to “*Satisfaction of beneficiaries*”. With this new information, this year’s Monitoring Report takes a step further in reporting how outputs are, or are not, contributing to the relevant outcomes.

Sections giving an overview of the performance on the Codex Trust Fund and implications for the management of the Trust Fund based on performance monitoring in 2012 continue to be included in the 2013 Monitoring Report and address any overall changes that can be seen from the past year, as well as assessing whether management actions have been undertaken as planned, and how future management actions can contribute to expected results.

It is hoped that the annual Monitoring Reports provide new and useful information to Codex Member on the results of Codex Trust Fund-supported activities. As we move through the penultimate year of the Codex Trust Fund the data and information provided in the Monitoring Reports is seen as an important input to the final project evaluation of the Codex Trust Fund, as well as the ongoing discussions on a successor initiative.

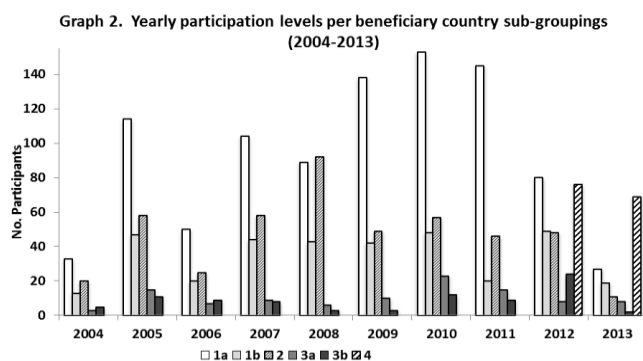
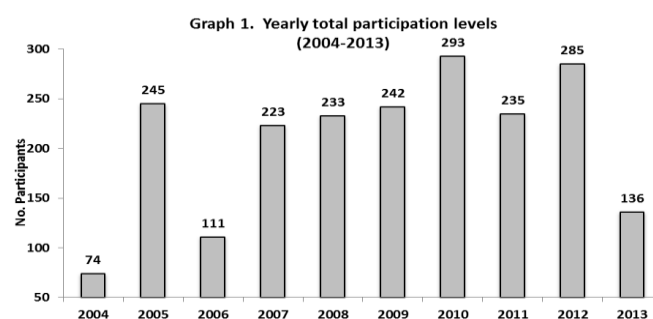
3. Monitoring data

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	Satisfactory. Assessment has moved from “very satisfactory” in 2012 to “satisfactory” for 2013. Drop in supported participation as majority of countries have now graduated. Countries not applying for support and Group 4 countries not eligible for support due to not meeting matched funding obligation are of concern. Gender imbalance in participation in Codex has increased.

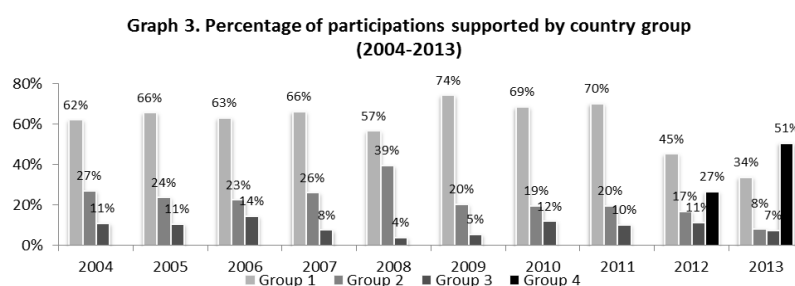
Supported participation in any calendar year will be a function of the resources available to the Codex Trust Fund and the number of applications received.

The drop in total participations supported by the Codex Trust Fund in 2013 reflects the high number of countries that have now graduated from the Trust Fund, the absence of applications from 28 eligible countries, and the Consultative Group for the Trust Fund (CGTF) decision to suspend 14 countries of Group 4 who were unable to match funding in 2013.

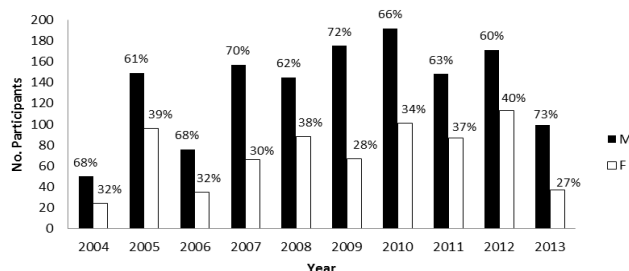


In Graph 2, supported participation rates for Groups 1 and 3 were also affected by the relatively high number of countries from these groups that did not apply for support in 2013 (47% of eligible countries from Group 1 and 44% from Group 3).

Graph 3 gives an update on the percentages allocated to the 4 country groupings (for the period 2003-2013). It will be noticed that there has been a dip from around 70% allocation to Group 1 for the period 2009-2011 to 45% in 2012 and to 34% in 2013. However the majority of countries in Group 4 who have been brought back into the Codex Trust Fund were originally in Group 1 which brought the total percentage for support levels to these countries back up to over 70% in 2012 and over 80% in 2013.

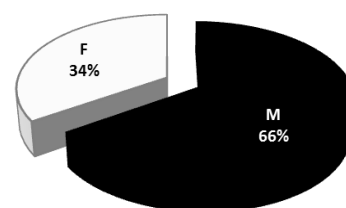


Graph 4. Percentage of supported participation in Codex - breakdown by sex (2004-2013)



The breakdown of participations supported by sex of participants for the years 2004-2013 is indicated in Graph 4. Not only do the imbalances persist but were accentuated in 2013 with levels similar to those seen in 2007 and 2009.

Graph 5. Total supported participations in Codex - breakdown by sex (2004-2013)



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

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	Satisfactory. Assessment has moved from “very satisfactory” in 2012 to “satisfactory” for 2013. Average of 82% of respondents scored 4 or above on satisfaction questionnaire for 6 Codex meetings surveyed as compared with 2012 results of over 90% scoring 4 or above for 3 Codex meetings surveyed.

The questionnaire developed and piloted in 2012¹ to collect data on participant satisfaction was administered to all Codex Trust Fund supported participants at an additional three meetings in late 2013 and early 2014 (45th CCFH, 6th CCCF and 46th CCPR). Questions were answered using a five grade scale and the target was an overall average of 4.

Overall an average of 82% of respondents scored 4 or above on all questions indicating a continued high level of satisfaction with participation in Codex meetings among respondents when the data from all six meetings is taken together. However, from the data collected from the additional three meetings (45th CCFH, 6th CCCF and 46th CCPR), an average of 63% of respondents scored 4 or above on all questions. This is substantially lower than the average of 92% of respondents scoring 4 or above on all questions reported in the 2012 Monitoring Report (based on respondents participating in 44th CCFH, 20th CCFICS and 45th CCFA).

When all meetings are taken together, the lowest satisfaction rate continues to be recorded for the section of the questionnaire that dealt with participation during the meeting (12% 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 54 respondents (22%) gave a score of 3 (none scored below 3).

¹ See CX/CAC 14/37/13-add.1 Annex 1 for copy of the Participant Satisfaction Questionnaire.

- 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. 18 out of 54 respondents (33%) gave a score of 3 or below.

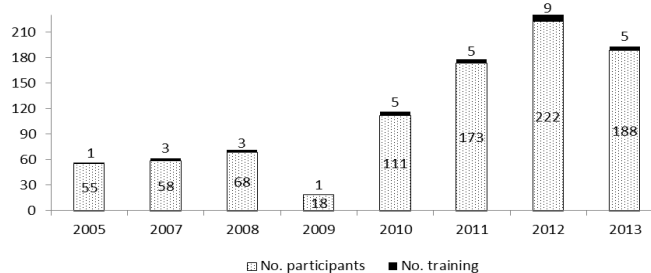
The overall satisfaction rate (average respondents scoring 4 and above) in Section 1 dealing with preparations before the meeting was 89% which is a similar level to that reported last year. Within this section Question 2 which assessed whether participants felt adequately prepared when they arrived at the meeting scored the lowest with 15% of respondents scoring this question at 3 or below which shows no change from last year.

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. Breakdown of participation by sex more satisfactory for training courses than for overall participation supported to attend Codex meetings.

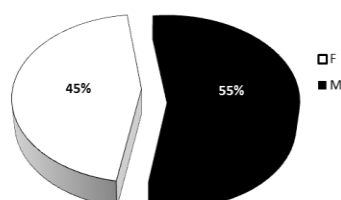
From a high of nine training courses supported in 2012, with four of these taking place immediately prior to FAO/WHO Regional Coordinating Committees², only five training courses were supported in 2013, including one immediately prior to CCAFRICA. This level of support to FAO/WHO Codex training courses reflected outcomes of a joint planning exercise undertaken by FAO/WHO in 2011 for the biennium 2012-2013.

Graph 6. Participants supported to training courses (2005-2013)



The joint planning was based on proposals received from FAO/WHO regional officers. No proposals were received from the LAC region for 2013 and the planned pre-CCNE training did not take place due to lack of time for adequate technical and administrative preparation. Eight training courses are slated for support in 2014 covering all Codex regions. This includes a FAO/WHO Codex training course scheduled to take place prior to each of the four Regional Coordinating Committees in 2014.

Graph 7. Percentage of supported participants in Codex training - breakdown by sex (2005-2013)



The participation of women in Codex training courses remains steady at 45% and continues to be slightly higher than for overall CTF-supported participation in Codex meetings. Mechanisms for how delegates are chosen to participate in Codex meetings and Codex training courses, as well as the breakdown by sex of the pool of candidates available at national level for participation in Codex activities would need to be examined to get further insight into this issue. This investigation is beyond the scope of the

Codex Trust Fund Monitoring Reports.

² 2012 Regional Coordinating Committees: CCEURO; CCASIA; CCNASWP; CCLAC.
2013 Regional Coordinating Committees: CCAFRICA; CCNE

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 2012³ was administered to all CTF-supported participants in five training courses that took place in 2013. However, problems in the form used for the evaluation of the pre-CCAFRICA workshop did not allow for exploitation of the data and results are, therefore, based on data from four training courses. Questions were answered using a five grade scale and the target was an overall average of 4.

The average satisfaction rate of all workshops in 2013 was 4.48. This is the same as in 2012 and indicates a continuing high level of satisfaction overall with the CTF-supported Codex training events. Overall satisfaction scores for the eight workshops ranged from 4.47 for the FAO/WHO Technical Workshop on “Chemical Risk Analysis in the Food Chain” held in China in March 2013, to a high of 4.65 for the FAO/WHO/SADC workshop for Codex Contact Points of the SADC Member States on the “Implementation of Codex Standards and Guidelines for Fresh Produce and Fish and Fishery Products” held in Mozambique in November 2013.

Full results of the end of course evaluations appear in the reports of trainings/workshops that are posted on the Codex Trust Fund website as they become available. Results from follow up evaluations carried out on selected 2012 training courses supported by the Codex Trust Fund to assess application of knowledge gained from the courses is 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	This indicator will be reported on in the 2014 Monitoring Report.

This indicator will be assessed for the first time six months after the end of the current project to carry out data surveys on mycotoxins in sorghum in four countries. The project continues to be on track and an interim progress report was made to the 8th session of the CCCF (see CX/CF 14/8/3). Summary information on the projects can also be found in CX/CAC 14/37/13 and CX/CAC 14/37/14.

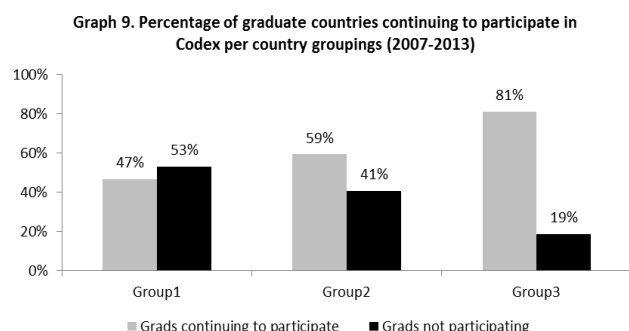
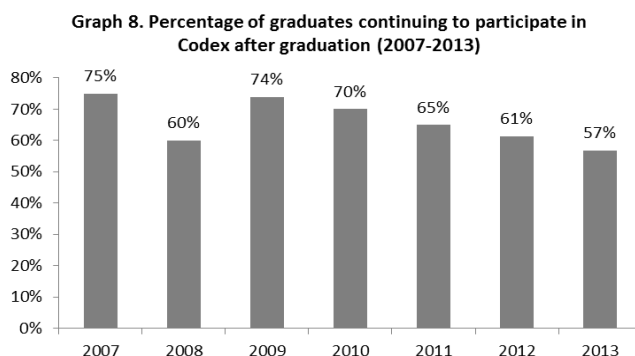
³ See CX/CAC 14/37/13-add.1 Annex 2 for template of the end of workshop evaluation questionnaire.

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	Continues to be satisfactory overall with regional disparities. Low percentage of countries in South West Pacific region continuing to participate is of particular concern.

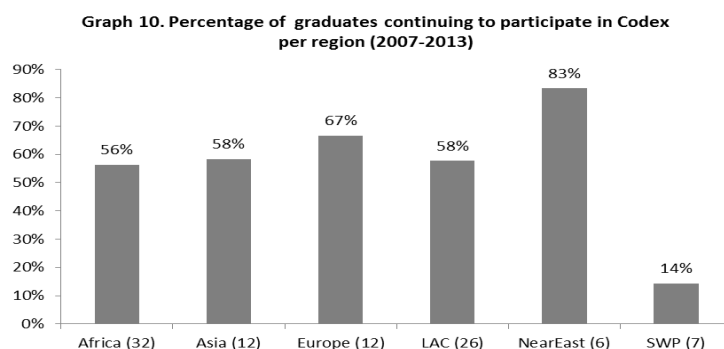
For the period 2007-2013 an average of 66% of graduate countries continued to participate in at least one Codex meeting every year in the years following graduation from the Codex Trust Fund.

Graph 9 indicates that Group 3 countries have relatively high rates of continuing participation in Codex while Groups 1 and 2 face more difficulties in sustaining their participation.



Graph 10 presents the percentages of Codex Trust Fund graduate countries which continue to participate in Codex after graduation by region. It can be noted that the countries in the Codex South West Pacific region have the lowest percentage of graduate countries continuing to participate in Codex and highlights that these small island developing states have difficulties to sustain their participation in Codex.

The differences in rates of continuing participation in other regions are small and should be seen in the light of the total number of graduate countries in each region as indicated on the graph.



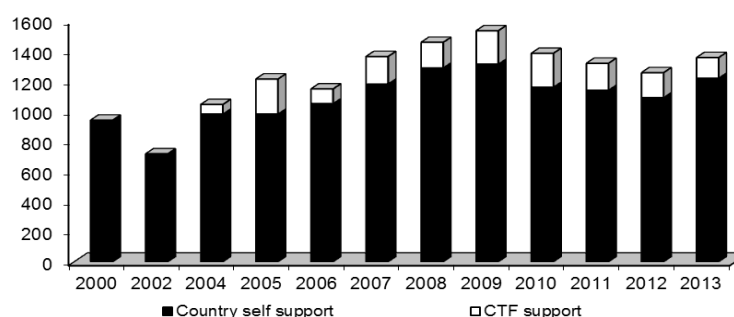
Outcome 1-2 Participations in Codex meetings from all developing countries

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	Very satisfactory. Declining trend reversed in 2013.

The “country self-support” data in Graph 11 above is collected by the Codex Trust Fund Secretariat from the lists of participation included in official Codex meetings reports⁴. The 2011 and 2012 Monitoring Reports called attention to the steady decline in the number of delegates from developing/transition economy countries participating in Codex meetings after 2009. The 2013 data shows that this decline has been reversed.

Since 2010 Codex Trust Fund support as a percentage of total participations by developing and transition economy countries in Codex meetings is declining (16% in 2010, 14% in 2011, 13% in 2012 and 11% in 2013). This is in line with the objective of the Trust Fund to gradually transfer full responsibility for support to countries during the final years of the Codex Trust Fund.

Graph 11. Total Number of delegates from developing countries participating in Codex meetings (2000-2013)

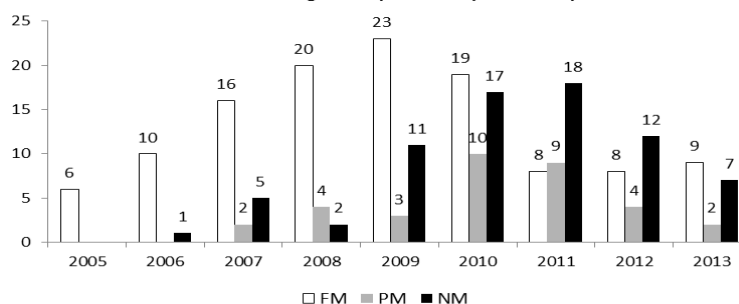


Outcome 1-3 Countries able to support participation using national or other sources of funding

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	Not satisfactory.

The 2011 and 2012 Monitoring Reports noted the trend indicating that countries on 50% matched funding status were not meeting their matched funding requirement. In 2010 37% of countries were not meeting the matched funding requirement at all.

Graph 12. Total number of countries on 50% matched funding status meeting the requirement (2005-2013)



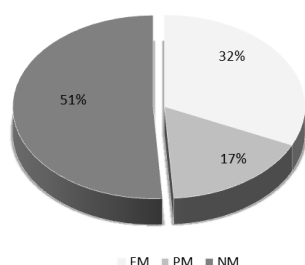
⁴ FAO/WHO Regional Coordinating Committees not included since years when regional coordinating committees take place always sees a higher participation on the part of developing and transition countries in their respective regional meeting.

In 2011 this percentage rose to 51% and in 2012 the figure was 50%. In 2013 the percentage of countries which did not meet the matched funding requirement at all dropped to 38.8%.⁵

Past reports have noted that countries in Group 1 have the most difficulty in meeting the matched funding requirement. Those fully meeting the requirement dropped from 22% in 2011 to 14% in 2012 but rose to 33% in 2013. However, both this increase and the overall drop in countries not meeting their matched funding requirement should be seen in light of the fact that 6 countries eligible for Codex Trust Fund support in 2013, and on 50% matched funding status, did not apply for support in 2013. The implication is that, through a self-selection bias, countries which are least able to meet their matched funding requirement are not included in the data as they did not apply for support.

The remark made in the 2011 monitoring report that countries not meeting their matched funding requirement will need to be watched closely as they move towards graduation to ensure that all measures are being taken at country level to put in place the political and economic support to ensure sustained participation in Codex remains valid.

Graph 13. Percentage of countries in Group 4 on 50% matched funding status meeting the requirement in 2013



Graph 13 shows that countries which have been brought back into the Codex Trust Fund under the new Group 4 continue to have difficulty 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 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 country-supported participation in two priority Codex meetings during the calendar year. The percentages of Group 4 countries not meeting their matched funding obligation has raised from 37% in 2012 to 51% in 2013. Those partially meeting the obligation have dropped from 22% in 2012 to 17% in 2013 and those fully meeting the obligation have dropped from 41% in 2012 to 32% in 2013. These trends will continue to be monitored in the 2014 Monitoring Report and implications for the successor initiative will be drawn by FAO/WHO.

⁵ 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)

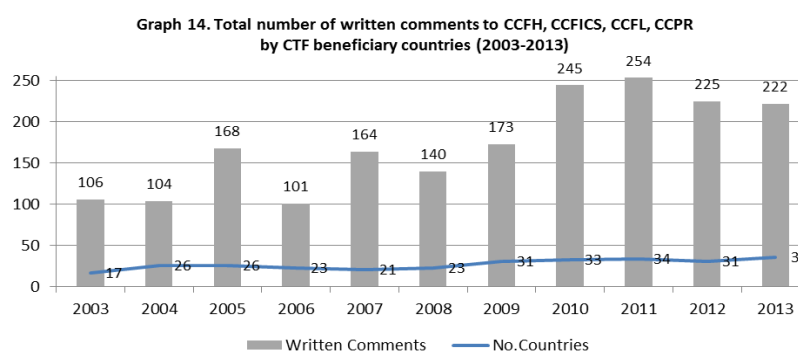
Partially met requirement (PM): Group 1a & 1b = 1-2 self-funded participations during the year; Group 2 = 1-2 self-funded participations during the year; Group 3a & 3b = 1 self-funded participation during the year.

Requirement not met (NM): 0 self-funded participations during the year (for all groups).

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. No significant evolution in number of countries using this method of participation.

Written comments submitted by developing countries and countries with economies in transition⁶ to four Codex committees (CCFH, CCFL, CCPR, CCFICS) were tabulated for the period 2003 (prior to the start of the Codex Trust Fund) to 2013.



These four committees were chosen to monitor as they represent the four committees that are most often prioritized by Codex Trust Fund countries.

The total number of written comments submitted for the Codex meetings in question by CTF eligible countries has remained at over 200 total in recent years which is visibly higher than before 2010. Two new countries submitted written comments for the first time in 2013 which means that 2013 is now the year with the highest number of countries submitting written comments.

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 <u>and</u> by mid-January
Overall assessment of progress	Remains unsatisfactory. 20% of countries had submitted a fully completed application and were up-to-date with reporting by 31 October 2013. 76% of country applications were complete by 15 January 2014.

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% between the 2013 and 2014 application rounds and by 24% for fully completed applications received by 15 January of the support year.

⁶ 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.

Table 1⁷

	2012	2013	2014
No. of countries eligible to submit an application	97	92	79
No. of countries submitting an application	71	56	54
No. of fully completed applications ⁸ submitted by 31 October	Not counted ⁹	7 (12%)	11 (20%)
No. of fully completed applications submitted by 15 January	36	29 (52%)	41 (76%)

The figures for the number of countries submitting fully completed applications by the deadline remain low, despite a considerable effort made by FAO and WHO regional and country offices during the 2014 application process to alert countries to the deadline and to provide assistance to the application process. The figures for completed applications by 15 January 2014 are more encouraging, but may also be taken as a reflection of the continuing time investment of the Codex Trust Fund Secretariat that devotes its human resources almost exclusively to ensuring follow up on applications over a two month period as has been highlighted in previous reports.

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	Not satisfactory. Institutional capacity of countries to support effective participation in Codex meetings does not appear to be evolving favourably.

New data and information for reporting on this indicator is taken from the analysis of obligatory participant reports for the calendar year 2011¹⁰ and follows on from information provided in the 2012 Monitoring Report.

The data and information confirm the statement made in the 2012 Monitoring Report that, overall, the quantity and quality of preparation before, participation in and follow-up after meetings evolves slowly, with relatively small changes and, in some areas, encouraging trends noted previously were reversed in 2011. Over 90% of participants continue to report that some form of preparatory process is taking place prior to participation in Codex meetings. Despite the fact that, for the period 2009-2011, an average of 87% of participants report that they had participated actively in Codex meetings, evidence of effective participation during Codex meetings remains very patchy with no clear trends emerging. The evidence of positive impacts at country level as a result of participation which was

⁷ Denotes year for which support is being sought

⁸ 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).

⁹ Prior to first use of M&E framework and therefore not counted.

¹⁰ 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).

noted as evolving positively in the 2012 Monitoring Report, has now been reversed based on data from obligatory participant reports from 2011¹¹.

Preparation before meetings

Levels of respondents who reported that some form of preparatory process had been undertaken prior to participation in the relevant Codex meeting remained relatively stable (93% in 2009, 94% in 2010 and 92% in 2011). The most common forms of preparation continue to be meetings of the National Codex Committee (NCC), sharing of Codex documents and/or physical meetings of stakeholders. Between the 2010 and 2011 reporting periods an increase was seen in all forms of pre-meeting preparation reported. Of note is that, in 2011, 88% of the respondents reported that Codex documents had been shared which is an increase of 23% over 2010. Of those who indicated that no preparatory process had taken place for a Codex meeting (8% of respondents in both 2010 and 2011 reporting periods), the most frequently cited reasons were: first time participation; NCC was not established or inactive; coordination issues with the NCC.

Participation during meetings

The number of participants reporting active participation during the Codex meeting remained relatively stable between 2009 and 2011 (88% in 2009, 86% in 2010 and 87% in 2011). The most commonly cited reason for not participating actively continues to be first time participation. Participants who are not participating for the first time in the specific Codex meeting report higher numbers of 1-5 interventions and participation in regional/sub-regional coordinating meetings, while first time participants report higher numbers of more than 6 interventions, and slightly higher participation in informal working sessions. This is a change from previous reporting periods where “repeat” participants to the meeting reported higher numbers of types of participations across all categories.

Post meeting processes and outcomes

Table 2
Outcomes of post-meeting processes at national level

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

In the 2012 Monitoring Report the table above was indicating that participation in Codex meetings appears to be contributing to positive changes at national level. This trend appears to be reversing with drops in percentages across all categories of post-meeting outcomes. Data from participant report for the calendar year 2012 will need to be analysed to see if this trend continues.

¹¹ This data should be approached with caution however, as responses from participants in the on-line reporting may reflect increased awareness of what constitutes active participation and/or the attention that is given to completing the report carefully and completely.

The main stakeholders involved in the post-meeting process were government bodies, which constituted 87% of all stakeholders in 2009 and 2010 and 91% in 2011. This was followed by the food industry (reported involvement was 61% in 2009, 75% in 2010 and 67% in 2011), and consumers (reported involvement was 52% in 2009, 61% in 2010 and 55% in 2011). This new data from 2011 does not, therefore, confirm the possible trend noted in the 2012 Monitoring Report which showed that all stakeholders from areas other than national authorities were increasingly being involved in post-meeting processes at national level.

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 collected, and low response rates for 3 out of 4 courses follow up questionnaires, do not allow for clear conclusions to be drawn. Over 65% of respondents from all courses indicated full or partial achievement of some follow up activities.

Follow up evaluations were carried out on four FAO/WHO Codex trainings that took place in 2012 with support from the Codex Trust Fund:

1. FAO/WHO workshop on “Facilitating increased private sector involvement in preparing national and regional positions on Codex issues with the East African Community (EAC) Partner States, Tanzania, December 2012.
2. FAO/WHO training course on “Developing Capacity on Codex Work in Selected Countries of Europe and Central Asia Region”, Kyrgyzstan, October 2012.
3. Introductory training course on the work of Codex Alimentarius for participants from Djibouti and Somalia, Djibouti, October 2012.
4. Pre-CCNASWP FAO/WHO regional technical workshop on “Developments in Codex Relevant to Pacific Island Countries”, Papua New Guinea, September 2012.

Questionnaires were administered to all participants in the training courses/workshops 15-18 months after the course to evaluate the extent to which participants had been able to apply knowledge/skills acquired during the courses to contribute to Codex work at national, regional or international levels. The questionnaires were divided into three parts:

- Part 1 sought to assess the extent to which participants had been able to undertake activities/actions that they had identified in the end of workshop evaluations.
- Part 2 went deeper into how participants had been able to apply the knowledge/skills gained during the workshop and, if not, the obstacles they faced.
- Part 3 gave an opportunity for participants 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 (some questionnaires combined Parts 2 and 3 together).

Data for indicator Outcome 2-4 was drawn from Part 1 of the questionnaire. Parts 2 and 3 are 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.

Response rates for follow up questionnaires were variable: 32% for the workshop held in Tanzania; 74% for the training course held in Kyrgyzstan; 21% for the introductory training course held in Djibouti; 15% for the pre-CCNASWP regional technical workshop held in Papua New Guinea. Data and information to explain low response rates was not routinely gathered for all follow up questionnaires. Anecdotal information indicates that, in the case of the pre-CCNASWP regional technical workshop, a number of participants were no longer working on Codex issues in their countries and/or had changed job.

It is difficult to make generalizations based on the data and information provided, particularly where response rates were low. A summary of some findings is given in the bullet points below:

- For the workshop held in Tanzania 66.6% of respondents indicated that they had fully achieved activities to engage further with the public or private sector to develop national standard activities.
- 88% of the respondents from the workshop held in Kyrgyzstan indicated that, as a result of the training, they were either fully or partially able to find necessary information and documents on the Codex website. In answer to the question on whether they were contributing to national responses to request from the Codex Secretariat, 53% of respondents stated that they had either fully or partially achieved this activity. Only 1 participant indicated that they had been involved after the training in the preparation of the application to the Codex Trust Fund for support in 2014 which would indicate that participation in the workshop did not have a strong link to subsequent participation in the national process around the preparation of the application for Codex Trust Fund support.
- 67% of respondents from the workshop held in Djibouti stated that they had partially achieved a follow up activity on effective communication and collaboration with national stakeholders having an interest in Codex work. The same number indicated that, as a result of the workshop, national Codex priorities were being identified, and that there was a process for contributing to the development of national positions for Codex meetings. It should be noted that no immediate follow up was expected from participants from the 3 zones in Somalia due to the unstable political situation.
- Eighteen months after the workshop all respondents to the follow up questionnaire on the regional technical workshop held in Papua New Guinea indicated that they had partially or fully achieved actions to: 1) brief colleagues on outputs of this workshop and some relevant Codex issues for the country; 2) provide country input to at least one area of ongoing Codex work.

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 at the session of the relevant Codex meeting taking place at least six months after the submission of the final project report on the mycotoxins in sorghum project with data and results of assessment to be reported in the Monitoring Report for the relevant year.

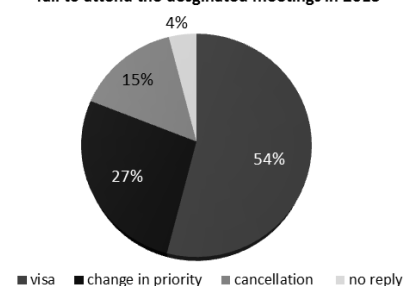
Administration 1 - Participants granted CTF support that fail to attend the designated meetings

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. Non-attendance on grounds of non-receipt of per diem reduced to 0 in 2013. Results remain unsatisfactory on visa issues.

In 2012 the Codex Trust Fund Secretariat instituted a process to monitor reasons why participants who have been granted Codex Trust Fund support fail to attend the Codex meeting for which they were granted support.

The results for the calendar year 2013 appear in Graph 15. The total number of participants who were not able to participate at a priority meeting indicated in their applications was 11 out of a total of 136 participants supported by the Codex Trust Fund to attend Codex meetings in 2013 (8% as compared with 9% in 2012). Issues around obtaining the necessary visa(s) in time continue to account for more than half of the failures to attend a Codex meeting, with a slight increase in 2013 (52% in 2012, 54% in 2013). 27% of the attritions were due to a change in the prioritized meeting on the part of the participant and 4% of the attritions were due to lack of reply from the country¹². In November 2013 parts of the South-east Asian region were affected by the passage of typhoon Haiyan and, for security reasons, the travel of a number of participants to the 45th Session of CCFH was cancelled. This accounted for 15% of attritions. No participation was lost due to issues around payment of per diems which is a notable improvement over 2012.

Graph 15. Percentage of participants granted CTF support that fail to attend the designated meetings in 2013



Administration 2 - Satisfaction of beneficiaries

Monitoring question	Is CTF administration sufficiently responsive?
Indicator	% of beneficiaries satisfied with CTF administration
Overall assessment of progress	Satisfactory. No problems with travel administration related to the work of the CTF Secretariat reported. Over 75% 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. The revised report was instituted for use in 2013 and included two new questions related to satisfaction with Codex Trust Fund administration. First partial results based on participant reports for 2013 submitted in the on-line system at the time of writing appear below.

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)

¹² Neither the designated participant nor the CCP replied to communications from the CTF Secretariat by the final deadline of two weeks prior to the start of the meeting.

97% of the respondents did not experience any problems with travel administration. Only one participant replied “yes” and problems related to travel were due to late arrival at the meeting as a result of missed or delayed flights.

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)

77% of the respondents rated the performance of the Codex Trust Fund Secretariat as “very good” while 23% 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 groups¹³. High response rate from donor stakeholder group.

This indicator is assessed on a biennial basis. There is, therefore, no reporting in 2013. The questionnaire sent out to stakeholder groups in 2012 will be re-administered in the last quarter of 2014 for reporting in the 2014 Monitoring Report.

¹³ 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 2012 Monitoring Report	Planned action during 2014/2015
Outcome 2 (Strengthened participation)		Little use of written comments as means of participating in Codex and no notable improvement in 2013	1. Modules on formulation and use of written comments included in all relevant FAO/WHO capacity-building activities supported by the CTF.	1. FAO/WHO to reinforce efforts to include and further strengthen training modules on formulation & use of written comments in FAO/WHO Codex capacity-building activities. This should be part of a broader effort to understand and identify effective engagement of countries in the standard-setting process.
		Low compliance with deadlines & criteria for acceptance of applications. Some improvement in 2013 but percentage of countries submitting fully complete applications & up to date on reporting by 31 October deadline still very low.	2. Big communications push by CTF Secretariat & FAO/WHO officers in all regions to support timely and full applications.	2. FAO/WHO to work with countries during the year to address underlying issues creating barriers to submitting full applications on time. 3. Repeat same effort as in 2013 starting earlier (e.g. 2 months in advance of October deadline).

		<p>Capacity for effective participation remains low. No substantial improvement from analysis of 2011 reports.</p>	<p>3. Efforts by FAO/WHO to identify regions/countries with continuing weak capacity & targeted capacity development activities undertaken in 2013 and/or planned for 2014.</p>	<p>4. FAO/WHO to ensure that 8 Codex training courses/workshops planned for support by CTF in 2014 addressing identified barriers contributing to weak capacity for effective participation in Codex.</p> <p>5. FAO/WHO/CTF to look at possible inclusion of questions in follow-up evaluations of training courses to track enhanced national capacity to prepare for & participate in Codex meetings.</p>
		<p>Issues around low response rates to follow up questionnaires, attrition rates of participants (e.g. through moving to another job) & application of knowledge & skills from training courses/workshops.</p>	<p>4. Follow up evaluations carried out on 4 CTF-supported FAO/WHO Codex training courses in 2012. FAO/WHO officers/trainers looking at results of these to capture “learning” and inform future implementation.</p>	<p>6. FAO/WHO to use “learning” and feedback from past training course evaluations to inform design and delivery of 2014-2015 Codex capacity development activities.</p> <p>7. FAO/WHO to carry out follow up evaluations on selected 2013 training courses; impressing on participants the importance of feedback to questionnaires.</p> <p>8. FAO/WHO to examine ways to identify & address barriers to application of knowledge/skills gained from Codex capacity building.</p>

Outcome 1 (Widened participation)		Decline in number of countries fully meeting matching funding requirement.	<p>5. CTF Secretariat suspended support to Gr.4 countries who did not match support in 2012 and/or 2013.</p> <p>6. FAO/WHO/CTF focus group discussions with Gr 4 countries at 36th CAC on reasons for non-matching & possible solutions & support needed to implement did not take place.</p>	<p>9. FAO/WHO to use different opportunities (RCCs, country visits, Codex training activities) to work with countries during the year to identify underlying issues and possible actions at country level to address barriers to sustained participation in Codex using national resources.</p> <p>10. FAO/WHO/CTF to continue to monitor trends in 2014 & use this data & data from final project evaluation to draw out implications for successor initiative.</p>
Output 1 (Sponsored participation)		Need to enhance satisfaction with participation during meetings	7. Efforts by FAO/WHO to identify regions/countries with continuing weak capacity & targeted capacity development activities undertaken in 2013 and/or planned for 2014.	11. FAO/WHO Codex trainings to emphasize building capacity at national level for effective preparation for and participation in Codex meetings.
		Persisting imbalance in gender participation.	8. CTF Sec encouraged countries to identify qualified women delegates for nomination on CTF application forms.	12. FAO/WHO regional and country officers to include this issue in dialogue around application process.
Administration		Visas not received in time for participation	9. CTF Secretariat enhanced communication with participants/CCPs on making visa arrangements/getting national authorizations early.	13. CTF Secretariat to continue sensitization of CCPs/participants on timely preparation of visas.

			10. CTF Administrator participated in meeting of host countries during 36 th CAC and feedback provided to host countries where there is high attrition.	14. CTF Secretariat to continue dialogue with host countries where most problems faced. Continue to participate in meetings of host countries during CAC. Constant dialogue necessary as situation may change from year to year.
Management		Low scores given by specific stakeholder countries	11. CTF Administrator held informal exchanges on the side-lines of Codex meetings with representatives of countries concerned.	15. Questionnaire to be re-administered last quarter 2014 with efforts made to raise response rates from stakeholder groups.
Output 3 & Outcome 3 (Scientific evidence)		Ensure results of mycotoxin in sorghum projects are input to on-going process in CCCF	12. CTF/FAO/WHO kept mycotoxin in sorghum projects on track and within budget.	16. CTF/FAO/WHO to bring mycotoxins in sorghum projects to successful conclusion in 2014.

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