



Agenda Item 11 (a)

CX/CAC 12/35/13-add.1

**JOINT FAO/WHO FOOD STANDARDS PROGRAMME
CODEX ALIMENTARIUS COMMISSION
35th Session, FAO Headquarters,
Rome, Italy, 2-7 July 2012**

**MATTERS ARISING FROM FAO AND WHO
FAO/WHO PROJECT AND TRUST FUND FOR ENHANCED PARTICIPATION IN CODEX**

**CODEX TRUST FUND
FIRST TRANSITIONAL MONITORING REPORT**

2011

Introduction

This document contains the transitional 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). This report is the first in what will now become a regular series of monitoring reports of the Codex Trust Fund. In subsequent years the monitoring report will appear as an annex to the Annual Report.

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.

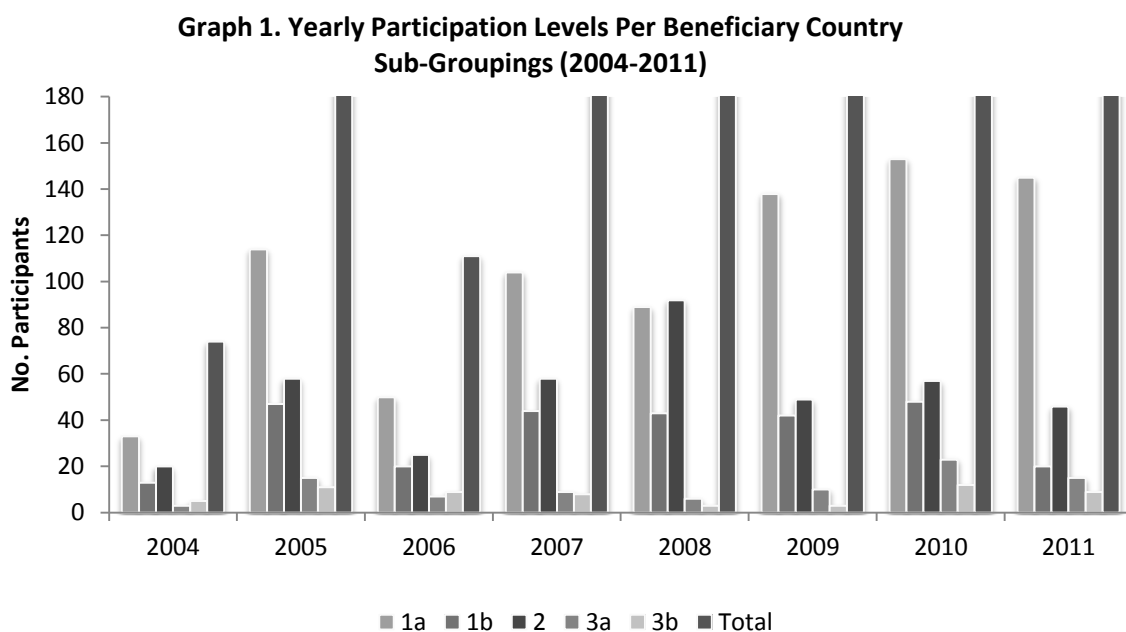
This first monitoring report is "transitional" in that it provides information based on data that is already being routinely gathered by the Codex Trust Fund Secretariat. Areas where data is not yet available and will be gathered for the first time in 2012 and 2013 have been noted. When full data is available for indicators at the end of 2012, the monitoring report will include an overview of the performance of the Codex Trust Fund, as well as a section highlighting implications for the management of the Trust Fund drawn from the annual monitoring exercise.

It is hoped that these reports will increase the transparency of CTF operations and, together with future monitoring and evaluation exercises, will contribute to the important discussion on the future focus and design of CTF-related support, as well as support to ensuring wide and effective participation of developing and transition economy countries after the end of the Codex Trust Fund lifespan.

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	Highly satisfactory. Large and steady increase in sponsored participation

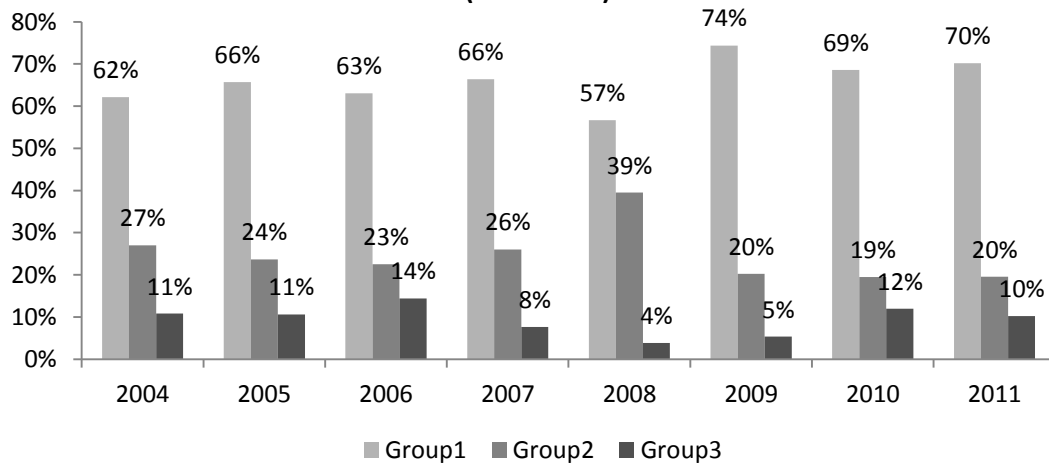


The total number of supported participations increased each year from 2004-2010 with the exception of 2006 as a result of a significant dip in financial contributions from donors. The decline in total participations in 2011 corresponds to the large number of countries that graduated in 2011 (26 countries). This trend is expected to continue until the end of the lifespan of the Codex Trust Fund as more countries graduate each year. This trend will not be totally offset by the number of countries that are brought back into the Codex Trust Fund as a result of the creation of the new Group 4 (created at the end of 2011 for the 2012 application process).

In December of each year the Consultative Group for the Trust Fund (CGTF) makes decisions on the number of participations to be supported for each country grouping based on the number of applications received from eligible countries and the resources available or expected during the coming year. These decisions take as their starting point a rough distribution of 60% to Group 1, 30% to Group 2 and 10% to Group 3. A scenario planning approach is then used to map out different options and identify a mix which optimizes use of resources to support a maximum number of participations, while remaining close to the 60/30/10 allocation. This then becomes the planning and implementation scenario used by the Codex Trust Fund Secretariat.

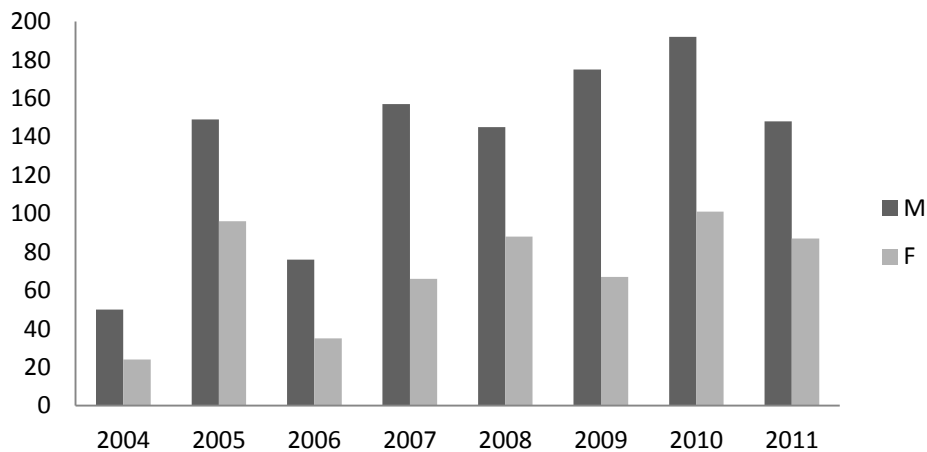
Graph 2 below shows the actual percentages allocated to the 3 country groupings for all years based on actual supported participation data. The percentages are quite close to the planned allocations for each year. For example the planned allocations for 2008 were 60/32/6; for 2009 were 73/22/5; for 2010 were 75/16/9 and for 2011 were 64/24/9. The low figure for the percentage of participations for Group 3 in 2008 may be explained by difficulties in travel administration for this grouping which resulted in lower overall supported participation rates. It will be possible to verify this assumption starting in 2012 by cross-checking the information from this indicator against information obtained in the indicator for Administration 1 (see below).

Graph 2. Percentage of participation per country groups breakdown (2004-2011)

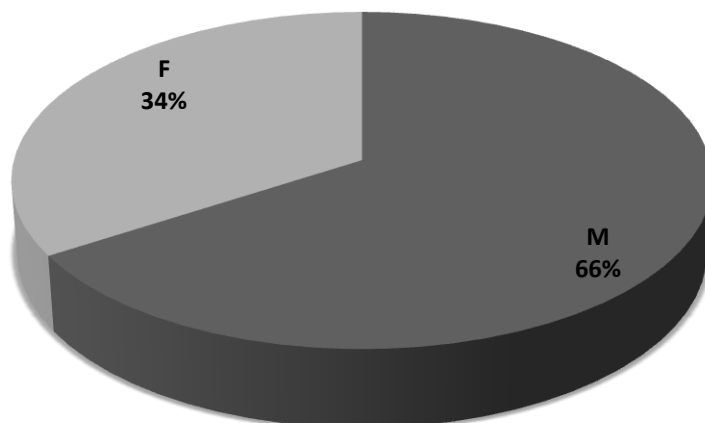


The breakdown of participations supported by sex of participants for the years 2004-2011 is indicated below. There is a persisting imbalance between the number of men and women supported by the Codex Trust Fund to participate in the work of Codex. As countries are responsible for nominating the delegates to Codex meeting that will be supported by the Trust Fund, redressing the gender balance is not within the control of the Codex Trust Fund. The possible impact of gender imbalance in participation in the work of Codex has not been studied. Codex Member States might like to consider whether this would be an important factor to consider, along with other criteria currently being used in the decision-making process, when decisions on delegates to Codex meetings are being taken at national level.

Graph 3. The breakdown of participations supported by sex (2004-2011)



Graph 4. Total participations supported by sex (2004-2011)



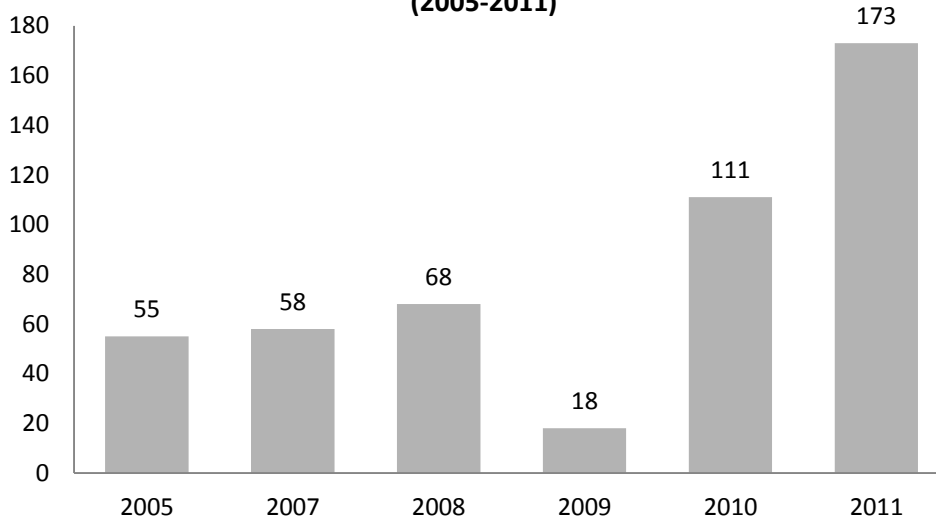
Output 1-2 Participants who are satisfied with their participation

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	This indicator to be assessed in 2012 and reported in Annual Report 2012

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	Satisfactory. Increase in number of sponsored events and participant.

Graph 5. Participants supported to training courses (2005-2011)



	2005	2007	2008	2009	2010	2011
Total participants	55	58	68	18	111	173
Total no. trainings	1	3	3	1	5	5

Graph 6. Percentage of participants supported by sex in Codex training (2005-2011)

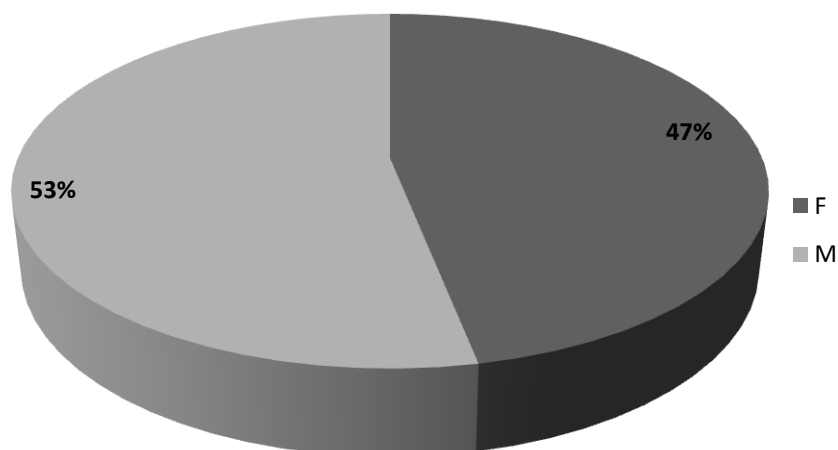


Table 1 and Graph 5 show a significant increase in the number of events and participants sponsored in 2010 and 2011. Prior to 2010 the Codex Trust Fund was supporting basic Codex trainings for all CTF-eligible countries in one region in line with the policy adopted by the Consultative Group of the Trust Fund. A change in direction was adopted in 2010, both to respond to the needs of countries in Codex regions for more tailored Codex training, as well as to the strategic shift to allocate more Codex Trust Fund resources to building the capacity of countries and regions to participate more effectively in Codex. Years where FAO/WHO regional coordinating committees have taken place are indicated in a footnote below* as the Codex Trust Fund is very often used to support FAO/WHO Codex training courses or workshops that take place in connection with the regional coordinating committees.

Overall percentages are provided in Graph 6 showing the breakdown by sex of participation in capacity development activities. This indicates an uneven representation of gender, but to a lesser extent than that of overall participations shown in Graph 4 under Output 1-1.

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	This indicator to be assessed in 2012 and reported in Annual Report 2012

* 2007 (CCAFRICA, CCNE), 2008 (CCAFRICA, CCASIA, CCEURO, CCLAC, CCNASWP, CCNE), 2010 (CCEURO, CCLAC, CCNASWP), 2011 (CCAFRICA, CCNE)

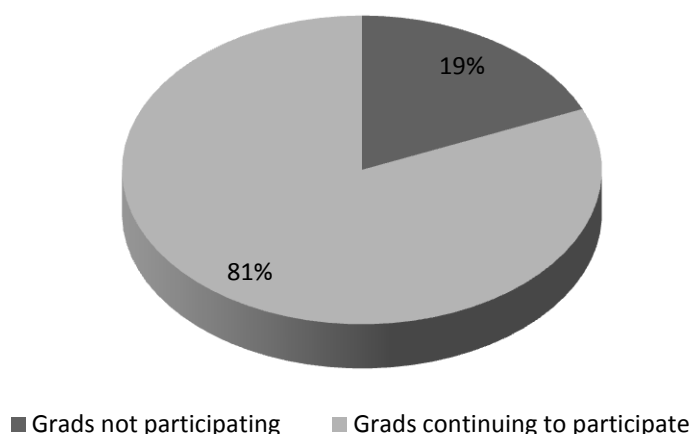
Output 3-1 Scientific evidence generated in CTF eligible countries

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 assessed for the first time six months after the end of current project to carry out data surveys on mycotoxins in sorghum in 4 countries.

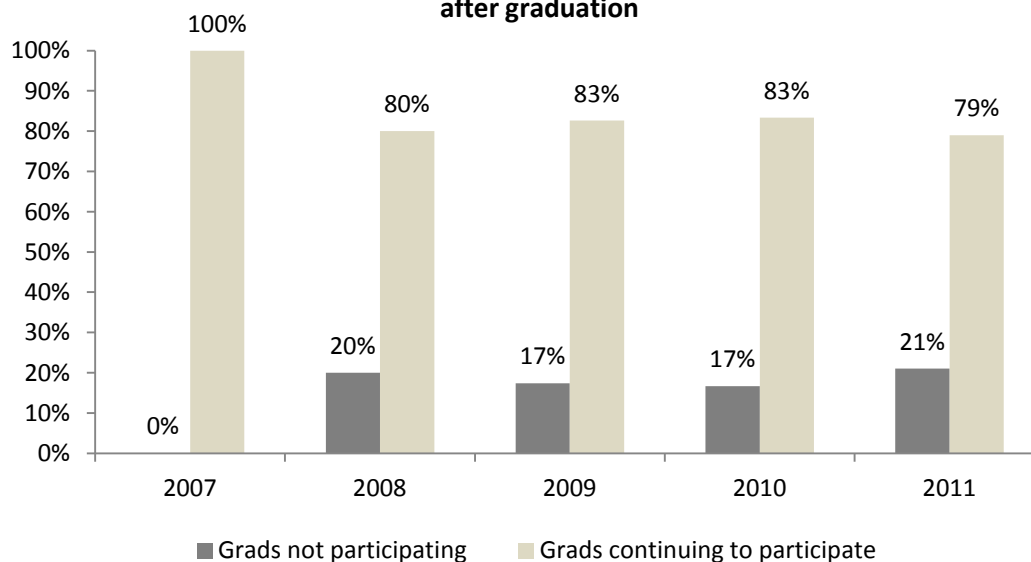
Outcome 1-1 Graduate countries continuing to participate in Codex meetings after graduation

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	Satisfactory. Over 80% of countries continue to participate.

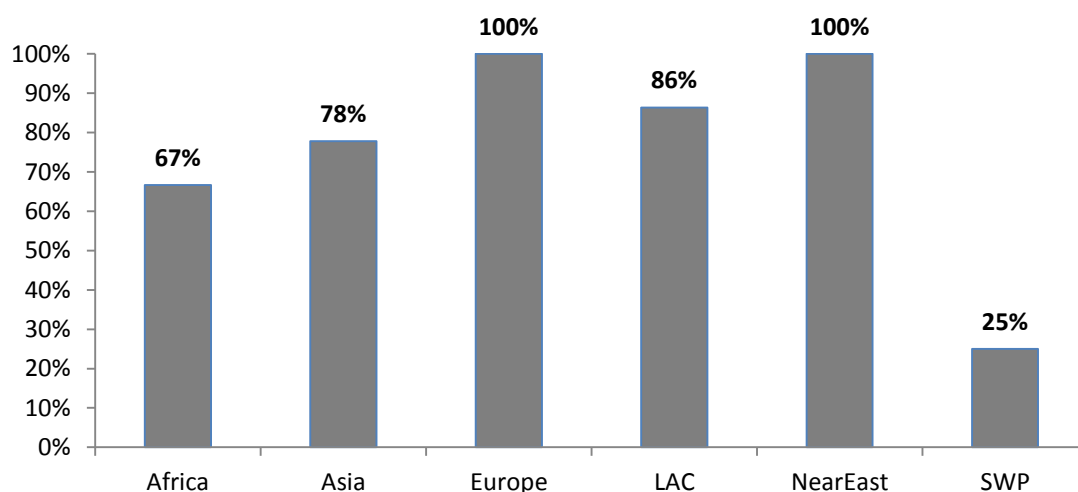
Graph 7. Percentage of all graduates countries continuing to participate in Codex after graduation (2007-2011)



Graph 8. Percentage of graduates continuing to participate in Codex after graduation



Graph 9. Percentage of grads continue to participate per region (2007-2011)



Region	Total no. of graduate countries
Africa	12
Asia	9
Europe	4
LAC	22
Near East	6
SWP	4

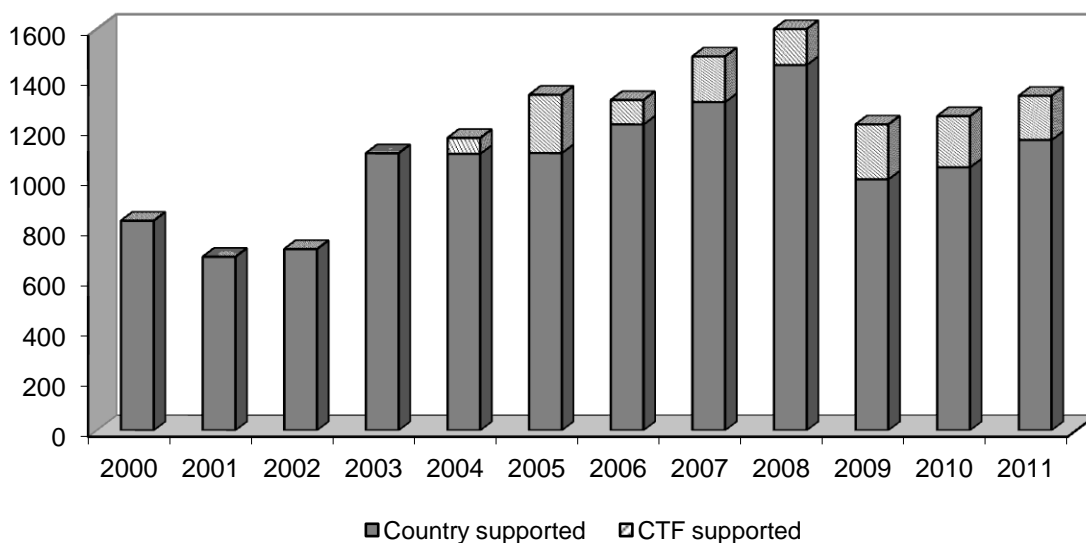
The data presented in the graphs above shows that, overall, 81% of graduate countries continue to participate in at least one Codex meeting in the years following graduation from the Codex Trust Fund. 2011 was a landmark year as 27 additional countries graduated from the Trust Fund; 51.8% of them from among the least developed and low income/low human development group. Despite this it is encouraging to note that 79% of all graduate countries still managed to sustain some participation in Codex. The vast majority of those countries who were not able to sustain participation have been brought back into the Trust Fund under the new Group 4.

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	Not satisfactory. Overall developing country participation has declined and proportion of participation supported by the Codex Trust Fund has increased

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Graph 10. Total Number of delegates from developing countries participating in Codex meetings



The graph above illustrates the important increases in developing country participation in Codex from 2003/2004 to 2008. A total of 1626 participations from developing countries were recorded in 2008 with 90% of these being self-funded participations (supported by countries using national resources or sources of funding other than the Codex Trust Fund), and 10% supported by the Codex Trust Fund. A significant decline is noted in 2009 where overall participations fell to 1220 and this tendency was confirmed in 2010(1253 total participations), with a slight increase in 2011 (1334 participations). Codex Trust Fund support as a percentage of total support for these years was 18% (2009), 16% (2010) and 13% (2011).

The reasons for the lower levels of participation have not been analysed. It could be due to the recession starting in 2009, it could be related to patterns of trade and investment, and there could be significant differences between countries. Other questions relate to which developing and transition economy countries account for the majority of the decline in participation. While analyses of these questions might be of interest to Codex Member States, they would have to be investigated further outside of the Codex Trust Fund.

The goal of the Codex Trust Fund is to act as a catalyst to participation in Codex and to work with the parent bodies and Codex Member States to try and ensure sustained participation of developing and transition economy countries after the end of the lifespan of the Trust Fund. The target, therefore, should be to try and steadily increase the proportion of self-funded participations in the remaining years to reach 90% and above.

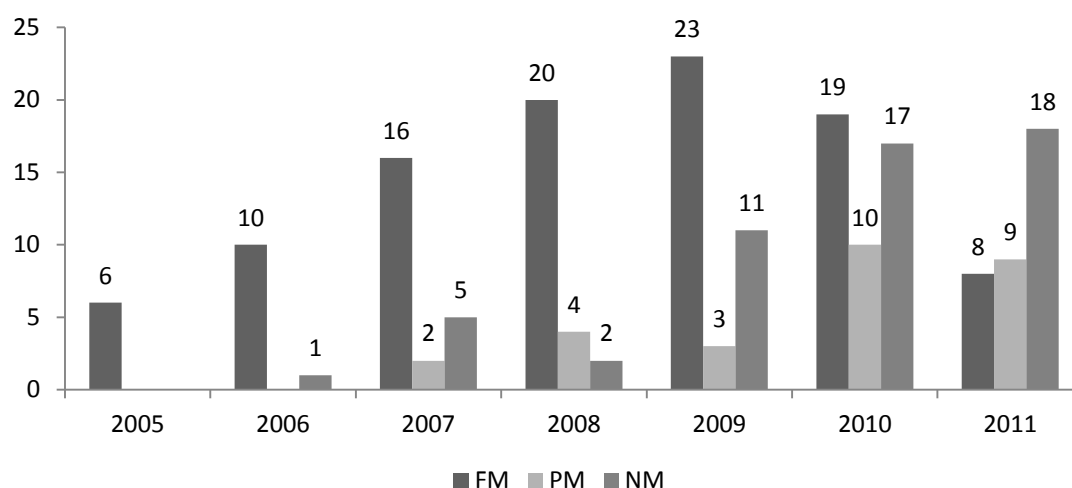
Outcome 1-3 Countries able to support participation using national or other sources of funding

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. Significant decline in number of countries fully meeting the matched funding requirement.

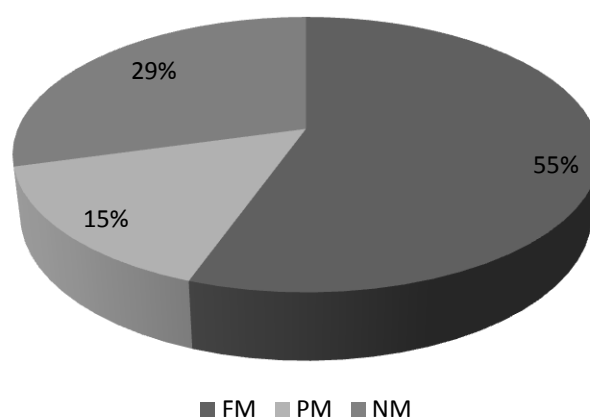
† FAO/WHO Regional Coordinating Committees not included since years when regional coordinating committees take place always sees a higher participation on the part of developing and transition countries in their respective regional meeting.

The number of countries on 50% matched funding status who fully met the matched funding requirement fell dramatically in 2010 and 2011. Out of 46 countries on 50% matched funding status in 2010, only 19 fully met the matched funding requirement[‡], 10 countries partially met the requirement, and 17 did not meet it at all (0 participations were self-funded during the year). In 2011 out of 35 countries on 50% matched funding status, only 8 met fully, 9 met partially, and 18 did not meet at all. The breakdown by country groupings indicates that Groups 1 and 2 are those that have the most difficulty in meeting the matched funding requirement. These countries 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.

Graph 11. Total no. of countries on 50% matched funding status meeting the requirement (2005-2011)



Graph 12. Percentage of countries on 50% matched funding status meeting the requirement (2005-2011)

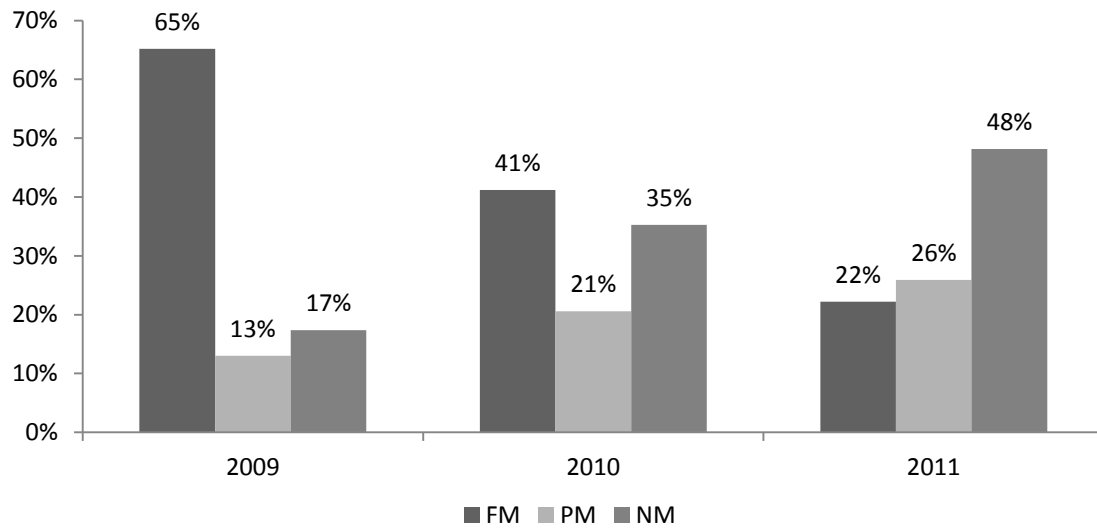


[‡] Fully met requirement (FM): Group 1a & 1b = 3 self-funded participations during the year; Group 2 = 3 self-funded participations during the year; Group 3a & 3b = 1-2 self-funded participations during the year (depending on level of support from the CTF)

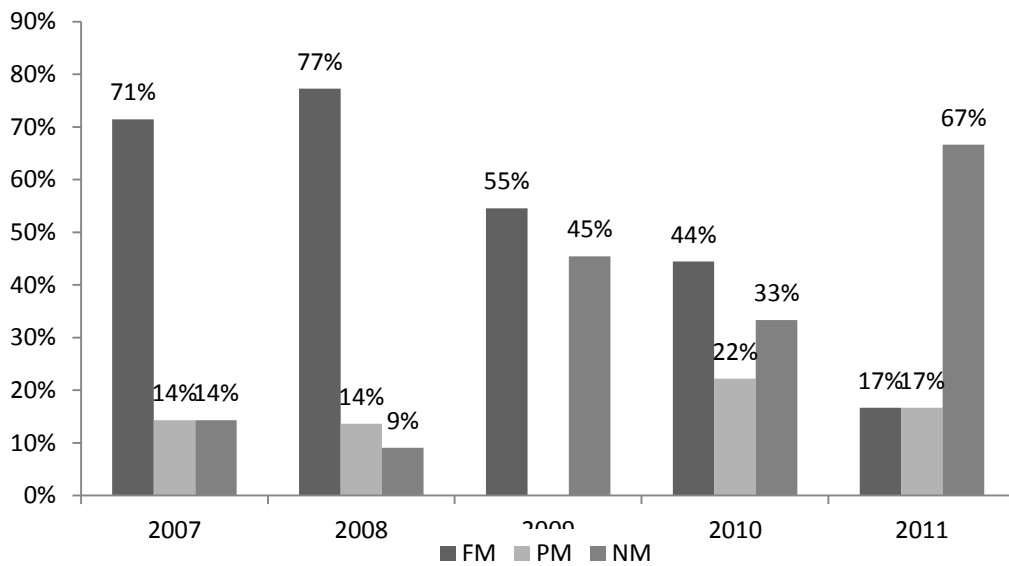
Partially met requirement (PM): Group 1a & 1b = 1-2 self-funded participations during the year; Group 2 = 1-2 self-funded participations during the year; Group 3a & 3b = 1 self-funded participation during the year.

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

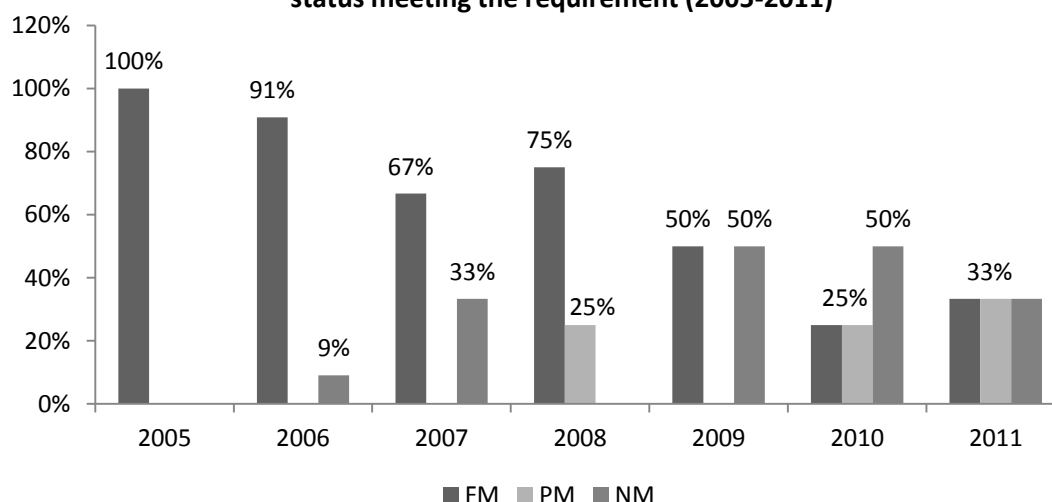
Graph 13. Percentage of countries in Group 1 on 50% matched funding status meeting the requirement (2009-2011)



Graph 14. Percentage of countries in Group 2 on 50% matched funding status meeting the requirement (2007-2011)



Graph 15. Percentage of countries in Group 3 on 50% matched funding status meeting the requirement (2005-2011)



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	To be assessed in 2012 and reported in Annual Report 2012

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	Baselines being established with 2011 & 2012 application processes. To be reported on in Annual Report 2012.

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
Overall assessment of progress	To be analysed by CTF Secretariat/FAO/WHO in 2012 for reporting in Annual Report 2012.

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	To be assessed in 2013 (i.e. follow up to capacity development activities implemented in 2012) and reported in Annual Report 2013

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 with data and results of assessment to be reported in Annual 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	Baselines to be established in 2012 and reported in Annual Report 2012.

Administration 2 - Satisfaction of beneficiaries

Monitoring question	Is CTF administration sufficiently responsive?
Indicator	% of beneficiaries satisfied with CTF administration
Overall assessment of progress	To be assessed in 2012 and reported in Annual Report 2012

Management 1 Satisfaction of stakeholders

Monitoring question	Is the CTF sufficiently responding to needs of Codex Member States for wide and effective participation in Codex?
Indicator	% of CTF stakeholders who are satisfied with the management of the CTF.
Overall assessment of progress	To be assessed in 2012 and reported in Annual Report 2012