



CAC/36 INF/9

**JOINT FAO/WHO FOOD STANDARDS PROGRAMME**  
**CODEX ALIMENTARIUS COMMISSION**  
**36<sup>th</sup> Session, FAO Headquarters**  
**Rome, Italy, 1-5 July**

**FAO/WHO PROJECT AND FUND FOR  
ENHANCED PARTICIPATION IN CODEX  
(CODEX TRUST FUND)**

**FINAL PROJECT EVALUATION  
TERMS OF REFERENCE**

### **I. Purpose and Objectives**

The **purpose** of the final project evaluation is to evaluate the functioning and results of the Codex Trust Fund after ten and a half years of its 12 year lifespan. The results of the final project evaluation will be used, along with other sources of information, to inform discussions in FAO/WHO and among Codex Member States on possible future measures that may be necessary to enhance further effective participation in Codex by developing and transition economy countries.

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

1. Evaluate the results of the Codex Trust Fund against the stated objectives and expected outputs in the founding project document<sup>1</sup>.
2. Identify and analyze the strengths and weaknesses of the Codex Trust Fund from both strategic and operational perspectives.
3. Identify lessons that could be learned from the operations and results of the Codex Trust Fund for similar projects in the future.

### **II. Background**

The *Codex Alimentarius Commission (CAC)* is a joint intergovernmental body of the Food and Agriculture Organization (FAO) and the World Health Organization (WHO), which

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<sup>1</sup> The full Project Document in English, French and Spanish can be found at <http://www.who.int/foodsafety/codex/trustfundbackground/en/index.html>.

encompasses 186 Member States, one member organization and over 200 observer organizations for civil society participation. The vast majority of food products traded internationally are covered by Codex standards, thus contributing to ensuring the safety of the global food supply and helping facilitate international food trade, which, in 2011, was worth about US\$ 1400 billion.

The FAO/WHO Project and Fund for Enhanced Participation in Codex (Codex Trust Fund, CTF) was launched in 2003 by the Directors-General of FAO and WHO to help developing countries and countries with economies in transition to enhance their level of effective participation in the Codex Alimentarius Commission. The Codex Trust Fund aims to achieve this goal primarily by providing resources for eligible countries to participate in Codex meetings and training courses, and also enabling them to prepare scientific and technical data related to the Codex standard setting process.

The Fund has been operational since March 2004 when the minimum threshold of US\$500,000 in contributions was reached. For the period March 2004-December 2012 inclusive, the Codex Trust Fund supported 1942 participants from 134 countries to attend Codex meetings and working groups, with the majority of support going to the least developed countries. As at December 2012, the Fund had received over US \$16.5 million from 15 Codex Member States and the European Union as a Codex Member Organization.

The Codex Trust Fund is guided by an FAO/WHO Consultative Group for the Trust Fund (CGTF) consisting of senior FAO and WHO staff, including regional office representation, and officers to provide advice on legal matters and resource mobilization. Daily management of the Fund is undertaken by the Fund's Secretariat, staffed by one full-time general service staff, and one full-time professional staff. The Codex Trust Fund Secretariat is located in the Department of Food Safety and Zoonoses at the Headquarters of the World Health Organization in Geneva.

An independent Mid-term Review was carried out between November 2009 and April 2010 to evaluate the progress of the Codex Trust Fund after 6 years of operation and provide actionable recommendations that could be applied looking forward to the second half of the Codex Trust Fund lifespan and beyond:

- Andante - tools for thinking AB (30 April 2010) *Codex Trust Fund Mid-Term Review*. Funded by donor contributions to the Codex Trust Fund. Evaluation team: Kim Forss (team leader), Jens Andersson, Eve Kasirye-Alemu. ([http://www.who.int/entity/foodsafety/codex/cac33\\_14\\_Add1e.pdf](http://www.who.int/entity/foodsafety/codex/cac33_14_Add1e.pdf)).

In addition, two independent assessments on the impact and performance of the Trust Fund were carried out in 2007:

- Connor, R.J. (2007) *Initiatives to explore linkages between increased participation in Codex and enhanced international food trade opportunities*. Funded by the UK Department for International Development (DFID). ([http://www.who.int/entity/foodsafety/codex/Connor\\_report.pdf](http://www.who.int/entity/foodsafety/codex/Connor_report.pdf))

- Slorach, S. (2007) *Enquiry Concerning the FAO/WHO Project and Trust Fund for Enhanced Participation in Codex*. Funded by Swedish International Development Agency (SIDA). ([http://www.who.int/entity/foodsafety/codex/Slorach\\_report.pdf](http://www.who.int/entity/foodsafety/codex/Slorach_report.pdf)).

In line with established good practices in evaluations, the final project evaluation will be carried out by an independent external evaluator/evaluation team.

It is envisaged that the results and recommendations of the final project evaluation will be presented to Codex Member States at the 38<sup>th</sup> Session of the Codex Alimentarius Commission (July 2015). The report of the final project evaluation will be published on the Codex Trust Fund website and circulated widely to relevant networks using electronic means.

The mid-term review should address the following questions.

### III. Evaluation criteria

The Trust Fund as established in the Codex Trust Fund Project Document. The key objective of the Trust Fund is to help developing countries and countries with economies in transition to enhance their level of effective participation in the development of global food safety and quality standards by the Codex Alimentarius Commission.

The expected outputs of the Codex Trust Fund are:

1. *Widening participation in Codex*. The number of countries routinely providing delegations to CAC sessions and to its committees/task forces, that address issues of priority health and economic concern for their specific countries, will have increased.
2. *Strengthening overall participation in Codex*. The number of countries routinely developing and putting forth national considerations in the Codex standard setting process will have increased along with their participation in Codex committees/task forces.
3. *Enhancing scientific/technical participation in Codex*. The number of countries that are actively providing scientific/technical advice in support of the Codex standard setting process will have increased.

In accordance with the OECD DAC Principles for Evaluation of Development Assistance<sup>2</sup>, the final project evaluation should address the following key evaluation questions:

#### a) Relevance and Strategic Fit

- Taking into account changes in the external environment in which the project operates, to what extent have the objectives of the project remained valid?
- Have the activities of the project been consistent with the overall goal of the project and the attainment of its objectives?

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<sup>2</sup> *The Development Assistance Committee Criteria for Evaluating Development Assistance*, OECD (1991) available at [http://www.oecd.org/document/22/0,2340,en\\_2649\\_34435\\_2086550\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/22/0,2340,en_2649_34435_2086550_1_1_1_1,00.html)

- Have the activities and resulting outputs and outcomes of the project been consistent with the intended impacts and effects?
- What has been the added value of the Codex Trust Fund in enhancing effective participation in Codex?
- How well has the Codex Trust Fund complemented other FAO and WHO projects and programmes and/or other initiatives aimed at enhancing effective participation in Codex?

#### **b) Progress and Effectiveness**

- To what extent have the objectives of the project been achieved?
- What are the major factors that have influenced the achievement or non-achievement of the objectives?
- What barriers to effective participation in Codex can be identified?
- Has the Codex Trust Fund addressed the barriers within its mandate?
- To what extent did the Codex Trust Fund address the recommendations of the Mid-term Review?

#### **c) Efficiency**

- Have the Codex Trust Fund activities been cost-efficient?
- Has the project achieved its objectives?
- Has the project been implemented in the most efficient way compared to alternatives?

#### **d) Impact**

- What has happened as a result of the project, including impacts at regional and country levels?
- Have there been changes in beneficiary countries' Codex infrastructures or food safety systems that can be linked to the project's activities?

#### **e) Sustainability**

- To what extent are the benefits of the project likely to continue after the end of the project (end of 2015)?
- What are the major factors influencing the achievement or non-achievement of sustainability of the project?

#### **f) Project management**

In order to capture elements specific to the operations of the Trust Fund, allocation and mobilization of resources, and to highlight learning, the evaluator(s) should give attention to the management arrangements of the Trust Fund:

- Has the structure and staff arrangements of the Trust Fund Secretariat been the most optimal for achieving the intended results?
- Has the Trust Fund Secretariat been able to respond flexibly and in a timely manner to the needs of eligible countries?
- Has there been adequate exchange between the Trust Fund Secretariat, FAO, WHO and the Codex Alimentarius Commission Secretariat to ensure technical, administrative and political information-sharing and support?

- Were the criteria used for country groupings valid for the purposes of participating in Codex, and did they ensure neutrality and fairness in resource allocation?
- Were financial resource allocations decided upon and administered to beneficiaries in a neutral, transparent and efficient manner?
- How successful has the Trust Fund been in securing resources from donors?
- Were the indicators used by the project to measure outputs and outcomes relevant and suitable?

#### **g) Lessons learned and recommendations for future projects**

- What is the “learning” that should be highlighted after 11 years of operation of the Codex Trust fund (both positive in terms of good practice and negative in terms of what to avoid in similar projects)?
- How could the project have achieved the objectives and delivered the outputs more effectively and efficiently?
- How could impact of the project have been enhanced?
- How might the sustainability of project benefits be ensured?
- After 10 and half years of operation of the Codex Trust Fund, what are the remaining major barriers to effective participation in Codex and how might these be addressed?

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

The final project evaluation will cover the Trust Fund's activities since it became operational in March 2004. The focus of the evaluation is on the outputs, outcomes and impact of the Fund on Codex Trust Fund eligible countries, both quantitatively and qualitatively. The Trust Fund should be evaluated within the wider context in which the Codex Trust Fund operates, and within which Codex Trust Fund-supported activities take place, particularly FAO and WHO projects and programmes, or other initiatives aimed at enhancing participation in Codex and/or strengthening Codex capacity.

The review will collect information, opinions and data from a variety of sources, including through:

1. Desk study of existing Codex Trust Fund documentation and any other relevant data sources, including:
  - Project documents.
  - Annual reports and progress reports.
  - Monitoring and Evaluation Framework.
  - Monitoring reports and data and information used for monitoring.
  - Donor reporting.
  - Financial reports.
  - Independent assessments of the Codex Trust Fund.
  - Strategic planning documents.
  - Action plans.
  - Obligatory participant reports and overall analyses of these reports.
  - Training materials for enhancing participation in Codex and reports of CTF-supported FAO/WHO training courses and workshops.
  - Other key relevant publications and research

2. Information and data gathering from relevant WHO, FAO, Codex Trust Fund Secretariat and Codex Alimentarius Commission Secretariat staff:
  - On-site interviews of the Trust Fund Secretariat and WHO staff in Geneva, and FAO and Codex Secretariat staff in Rome
  - Teleconference interviews and/or written or web-based survey questionnaires with a sample of FAO and WHO regional and country level staff involved with the Trust Fund
3. Data gathering from beneficiary countries, countries that have been eligible for Codex Trust Fund support but have not taken advantage of it, and Trust Fund "graduates." This could include one or a combination of the following:
  - Telephone interviews of a sample of country representatives
  - Survey questionnaire of a sample of Codex Contact Points
  - Focus groups and individual meetings with country delegates (to be held during Codex meetings taking place during the period of the evaluation)
  - Field visits to a representative sample of Codex Trust Fund beneficiary countries
4. Telephone and/or in-person interviews with representatives of countries which have made donor contributions to the Codex Trust Fund.
5. Telephone, electronic and/or in-person interviews with representatives of Codex Member States who are neither beneficiaries of, nor donors to the Codex Trust Fund.
6. Telephone, electronic and/or in-person interviews with: 1) representatives of Codex Member States currently serving as regional Codex coordinators; 2) representatives of Codex Member States currently hosting Codex committees.
7. Discussions with consultants involved in past evaluations of the Codex Trust Fund.

It is expected that all conclusions by the external evaluator/evaluation team would be based on solid evidence that includes a combination of quantitative and qualitative approaches. The evaluator/evaluation team will be expected to propose a program of meetings, interviews, proposed methodology and data collection instruments, timeline and milestones for progress for consideration by the Consultative Group for the Trust Fund.

## **V. Management Arrangements, Outputs and Timeline**

The evaluator/evaluation team will be selected by the Consultative Group of the Trust Fund among responses to a "Call for Expressions of Interest" that will be circulated widely using all relevant channels. The evaluator/evaluation team will report to the Consultative Group for the Trust Fund.

A stakeholder advisory panel will be formed to enable the evaluator/evaluation team to have easy access to representatives of each of the key stakeholder groups, thereby enriching the design and implementation of the end of project evaluation with the perspectives and views of different stakeholder groups. It is envisaged that the stakeholder panel will work electronically with the evaluator/evaluation team to provide comments on the methodology and different instruments proposed for use in the evaluation, and serve as a resource for information and consultation as needed by the evaluator/evaluation team.

The **deliverables** expected are:

1. Detailed work plan and timeline for the evaluation which elaborate further the methodology proposed in the Terms of Reference.
2. Draft report containing preliminary findings/conclusions.
3. Final report of no more than 50-60 pages (excluding annexes) in English, and including an executive summary of 1-2 pages.
4. Presentation of conclusions and recommendations at the 70<sup>th</sup> Session of the Executive Committee of the Codex Alimentarius Commission, and 38<sup>th</sup> Session of the Codex Alimentarius Commission which will be held July 2015 (exact dates and place to be determined).

The preliminary **timeline** for the end of project evaluation process is as follows:

- 1-5 July 2013: Presentation of the draft Terms of Reference for the final project evaluation at the 36<sup>nd</sup> Codex Alimentarius Commission.
- 1 September – 30 October 2013: Issuance of Call for Expressions of Interest and receipt of responses.
- November 2013: Consultative Group for the Trust Fund (CGTF) makes decisions on short-list of candidates, candidates contacted to request full proposal and budget to undertake evaluation.
- December 2013: Final selection of evaluator/evaluation team by Consultative Group for the Trust Fund based on full proposals received.
- January 2014: Codex Trust Fund discussions with evaluator/evaluation team on administrative arrangements and contract(s) issued:
- February-July 2014: Evaluation to be carried out during this period (exact dates to be determined with evaluator/evaluation team)
- End August 2014: First draft report of evaluator/evaluation team submitted to Codex Trust Fund Secretariat for consideration by Consultative Group for the Trust Fund.
- End September 2014: CGTF feedback provided to evaluator/evaluation team.
- End October 2014: Final report submitted to the Codex Trust Fund Secretariat for consideration by the CGTF.
- November 2014: CGTF final feedback and sign-off on evaluation. Report sent for translation.
- June 2015: Presentation and discussion of final project evaluation report at the 70<sup>th</sup> Session of the Executive Committee.
- July 2015: Presentation, discussion and adoption of the final project evaluation and relevant recommendations at the 38<sup>th</sup> Session of the Codex Alimentarius Commission.

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## Annex 1

## Summary of the Codex Trust Fund Monitoring and Evaluation Framework

*Output 1-1 Participations supported by CTF*

<b>Monitoring question</b>	<b>How has the number of sponsored participations evolved?</b>
<b>Indicator</b>	<b>Number of participations supported by the CTF per country sub-grouping per year</b>

*Output 1-2 Participants who are satisfied with their participation*

<b>Monitoring question</b>	<b>Is the experience of participating in Codex meetings meaningful for participants in relation to future Codex work in their countries?</b>
<b>Indicator</b>	<b>Participants who are satisfied with their participation and likely to promote future country participation in Codex</b>

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

<b>Monitoring question</b>	<b>How has the number of sponsored participants attending capacity development activities evolved?</b>
<b>Indicator</b>	<b>Number of participants per capacity development activity supported per year by CTF</b>

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

<b>Monitoring question</b>	<b>Is the knowledge learned in Codex capacity development activities likely to be applied in national administrations in a way that promotes participation in Codex?</b>
<b>Indicator</b>	<b>Participants who are satisfied with the capacity development activities and likely to apply the knowledge in their national administrations</b>

*Output 3-1 Scientific evidence generated in CTF eligible countries*

<b>Monitoring question</b>	<b>Has CTF contributed to improved input of scientific and technical data to Codex discussions?</b>
<b>Indicator</b>	<b>Data generated from CTF-supported projects</b>

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

<b>Monitoring question</b>	<b>Do CTF graduate countries continue to participate in Codex meetings when their participation is no longer sponsored by CTF?</b>
<b>Indicator</b>	<b>% of total graduate countries continuing to participate in Codex committees after graduation</b>

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

<b>Monitoring question</b>	<b>Are there any overall changes in the extent of developing countries' participation in Codex?</b>
<b>Indicator</b>	<b>Total number of delegates from developing and transition economy countries participating in Codex meetings</b>

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

<b>Monitoring question</b>	<b>Are CTF eligible countries meeting their 50% matched funding requirement?</b>
<b>Indicator</b>	<b>Total number of CTF eligible countries on 50% matched funding status using 1 or more options to match the CTF support</b>

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

<b>Monitoring question</b>	<b>How does engagement in Codex work of CTF eligible countries evolve?</b>
<b>Indicator</b>	<b>Submission of written comments to Codex committees by CTF eligible countries</b>

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

<b>Monitoring question</b>	<b>Are the CTF eligible countries increasing their capabilities to plan for and solicit support for participation in Codex committees?</b>
<b>Indicator</b>	<b>% of CTF eligible countries that are sending in a fully completed application and are up to date with their reports by 31 October and by mid-January</b>

***Outcome 2-3 Institutional capacities of countries***

<b>Monitoring question</b>	<b>Are the institutional capacities of countries in place to participate effectively in Codex meetings?</b>
<b>Indicator</b>	<b>Quality of preparation before, participation in and follow-up after meetings</b>

***Outcome 2-4 Participants in capacity development activities applying knowledge***

<b>Monitoring question</b>	<b>Are participants in capacity development activities applying knowledge to strengthen their contribution to Codex standard-setting?</b>
<b>Indicator</b>	<b>% of participants in capacity development activities who state that they apply knowledge gained from activities</b>

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

<b>Monitoring question</b>	<b>Does the scientific evidence contribute to the Codex decision-making process?</b>
<b>Indicator</b>	<b>Codex decisions in relevant committee(s) is/are based on larger pool of scientific data from CTF eligible countries.</b>

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

<b>Monitoring question</b>	<b>Are the administrative procedures of CTF adapted to the needs and realities of its beneficiaries?</b>
<b>Indicator</b>	<b>% of participants granted CTF support that fail to attend the designated meeting for any reason</b>

***Administration 2- Satisfaction of beneficiaries***

<b>Monitoring question</b>	<b>Is CTF administration sufficiently responsive?</b>
<b>Indicator</b>	<b>% of beneficiaries satisfied with CTF administration</b>

***Management 1 Satisfaction of stakeholders***

<b>Monitoring question</b>	<b>Is the CTF sufficiently responding to needs of Codex Member States for wide and effective participation in Codex?</b>
<b>Indicator</b>	<b>% of CTF stakeholders who are satisfied with the management of the CTF</b>