

# CODEX ALIMENTARIUS COMMISSION **E**



Food and Agriculture  
Organization of  
the United Nations



World Health  
Organization

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**Agenda Item 13 (a)**

**CX/CAC 13/36/14-add.1**

**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 2012 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	<b>Very satisfactory. Large &amp; steady increase in sponsored participation.</b>	
	2. Participants who are satisfied with their participation	<b>Very satisfactory.</b>	
Output 2 (Capacity building performed)	1. Participants at capacity development activities funded by the CTF	<b>Satisfactory. Continuing increase in number of sponsored events and participants.</b>	
	2. Participants who are satisfied with the capacity development activities	<b>Satisfactory. Participants overall satisfied with capacity development activities.</b>	
Output 3 (Scientific evidence generated)	1. Data generated from CTF-supported projects	<b>Not assessed. It is noted that the mycotoxin in sorghum project is on track &amp; initial results will be presented at 8<sup>th</sup> CCCF.</b>	
Outcome 1 (Widened participation)	1. Graduate countries continuing to participate in Codex meetings after graduation	<b>Satisfactory. Over 80% of countries continue to participate.</b>	
	2. Participations in Codex meetings from all developing countries	<b>Not satisfactory. Overall developing country participation continues to decline.</b>	
	3. Countries supporting participation using national or other sources of funding	<b>Not satisfactory. Significant decline in number of countries fully meeting matching funding requirement.</b>	
Outcome 2 (Strengthened participation)	1. CTF eligible countries submitting written comments to Codex	<b>Not satisfactory. Several regions provide very few written comments &amp; little evolution in no. of countries providing written comments</b>	
	2. CTF eligible countries submitting complete applications on time	<b>Very unsatisfactory. Very low rate of compliance with October application deadline and continuing low rate of compliance 2.5 months later.</b>	
	3. Institutional capacities of countries	<b>Not satisfactory. Quantity &amp; quality of preparation before, active participation in, &amp; follow-up after meetings evolving slowly with relatively small changes recorded.</b>	
	4. Participants in capacity development activities applying knowledge	<b>To be assessed in 2013 as time needs to elapse in order to measure impact/change at national level.</b>	
Outcome 3 (Scientific advice contributes to Codex decision-making process)	1. Scientific evidence from CTF eligible countries contributes to discussions in Codex.	<b>Not assessed.</b>	

Administration	1. Participants granted CTF support that fail to attend meetings.	<b>Moderately satisfactory. Vast majority of people get to meetings but visa &amp; national authorizations problematic.</b>	
	2. Satisfaction of beneficiaries.	<b>To be assessed in 2013.</b>	
Management	1. Satisfaction of stakeholders	<b>Results satisfactory but very low response rate from two stakeholder groups.</b>	

**Legend: Black=requires urgent attention. Dark Grey=monitor closely. Medium Grey: not assessed. Light Grey= maintain good progress.**

## 2. Introduction

This document contains the first 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 (16<sup>th</sup> 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.

A first "transitional" monitoring report was made available to Codex Member States at the 35<sup>th</sup> Session of the Alimentarius Commission (CX/CAC 12/35/13-add.1) and provided information based on data that was already being routinely gathered by the Codex Trust Fund Secretariat at the time. Additional data was gathered for the first time in 2012 and has been included in this first full monitoring report. Many data sets cover the entire period of operation of the Codex Trust Fund. Other data sets provide baseline information against which to monitor in subsequent years.

Based on the current set of data and information, two new sections have been included. The first gives an overview of the performance of the Codex Trust Fund, and the second highlights implications for the management of the Trust Fund drawn from the annual monitoring exercise.

It is hoped that these reports will enhance the transparency of Codex Trust Fund activities and results 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.

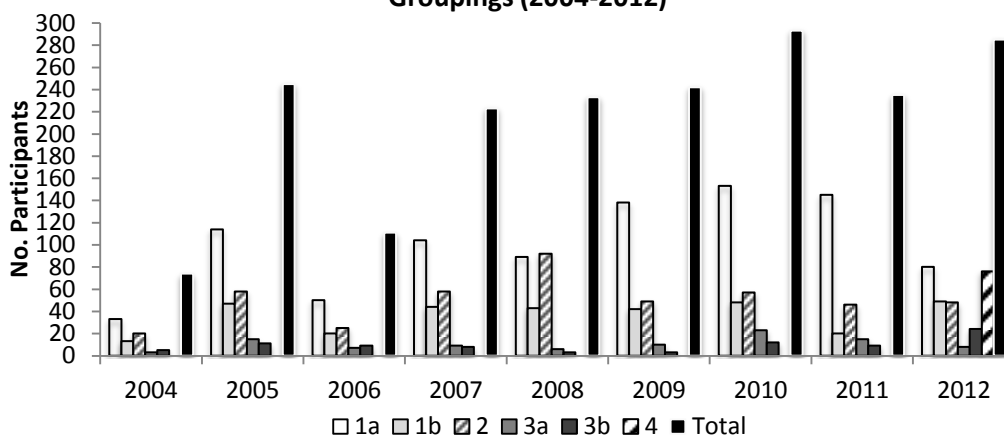
### 3. Monitoring data

#### Output 1-1 Participations supported by CTF

<b>Monitoring question</b>	How has the number of sponsored participations evolved?
<b>Indicator</b>	Number of participations supported by the CTF per country sub-grouping per year.
<b>Overall assessment of progress</b>	<b>Very satisfactory. Large and steady increase in sponsored participation. Participation of LDC &amp; SIDS maintained with introduction of Group 4. Persisting imbalance in gender participation in Codex.</b>

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.

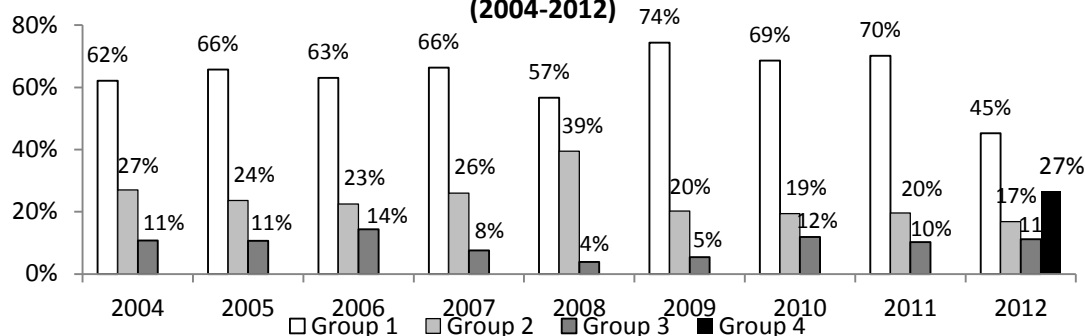
**Graph 1. Yearly Participation Levels Per Beneficiary Country Sub-Groupings (2004-2012)**



From a high of almost 300 participations supported in 2010, the total number of participations supported decreased in 2011 reflecting the high number of countries who have graduated from the Codex Trust Fund. Total participations supported increased again in 2012 to 285 reflecting the return of 34 graduated LDC and SIDS countries that were brought back into the Codex Trust Fund under the new Group 4. As the graph above includes supported participation to FAO/WHO Regional Coordinating Committees, fluctuations in total participation levels are also a function of years in which coordinating committees take place. The Codex Trust Fund routinely provides support to FAO/WHO Codex training courses organized immediately preceding regional coordinating committees and participants in these training courses are supported to stay on for the regional coordinating committee. In 2012 four regional coordinating committees took place (CCEURO, CCNASWP, CCASIA and CCLAC) and each of these was preceded by an FAO/WHO Codex training event.

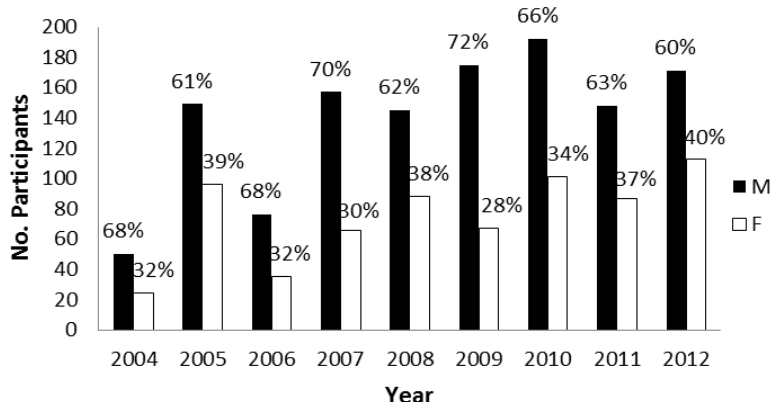
Graph 2 gives an update on the percentages allocated to the 3 country groupings (for the period 2003-2012) and the new Group 4 has been added for the year 2012. It will be noticed that there has been a dip from around 70% allocation to Group 1 for the period 2009-2011 to 45% in 2012. However the majority of countries in Group 4 who have been brought back into the Codex Trust Fund were originally in Groups 1a & 1b which brings the total percentage for support levels to these countries back up to over 70%.

**Graph 2. Percentage of participation supported by country group (2004-2012)**



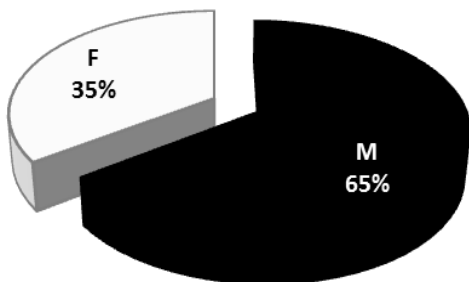
The breakdown of participations supported by sex of participants for the years 2004-2012 is indicated below. The imbalance noted in last year’s monitoring report persists and the overall percentages are similar to the last reporting period.

**Graph 3. The breakdown of participations supported by sex (2004-2012)**



From a low of 28% recorded in 2009,

**Graph 4. Total participations supported by sex (2004-2012)**



participation of women increased in 2010 and 2011 and reached a high of 40% in 2012 (1 percentage point higher than 2005 where 39% of participants supported were women). It is hoped that this upward trend toward more gender balance in participants supported will be confirmed in 2013.

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

**their participation**

<b>Monitoring question</b>	Is the experience of participating in Codex meetings meaningful for participants in relation to future Codex work in their countries?
<b>Indicator</b>	Participants who are satisfied with their participation and likely to promote future participation in Codex
<b>Overall assessment of progress</b>	<b>Very satisfactory. Over 90% of respondents scored 4 or above on satisfaction questionnaire for 3 Codex meetings surveyed.</b>

A questionnaire (See Annex I for example of questionnaire) to collect data on participant satisfaction was developed in 2012 and included 15 questions relating to attitudes, skills and knowledge gained from participation. The questionnaire was administered to all CTF-supported participants in three meetings taking place in 2012 and early 2013 (44<sup>th</sup> CCFH, 20<sup>th</sup> CCFICS, 45<sup>th</sup> CCFA). Questions were answered using a five grade scale and the target was an overall average of 4.

An average of 92% of respondents scored 4 or above on all questions indicating a high overall satisfaction with participation in Codex meetings among the respondents.

When all meetings are taken together, the lowest satisfaction rate was 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. 8 out of 39 respondents (21%) gave a score of 3 or less.
- 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. 11 out of 39 respondents (29%) gave a score of 3 or less.

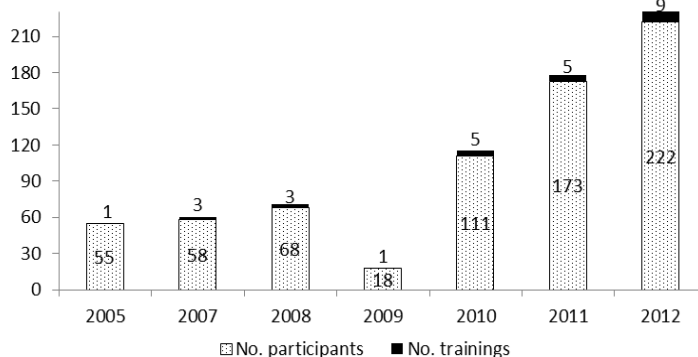
The overall satisfaction rate (average respondents scoring 4 and above) in Section 1 dealing with preparations before the meeting was 90%. Within this section Question 2 which assessed whether participants felt adequately prepared when they arrived at the meeting scored the lowest with 15% of respondents scoring this question at 3 or below.

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

<b>Monitoring question</b>	How has the number of sponsored participants attending capacity development activities evolved?
<b>Indicator</b>	Number of participants per capacity development activity supported per year by CTF
<b>Overall assessment of progress</b>	<b>Continues to be satisfactory. Continuing increase in number of sponsored events and participants.</b>

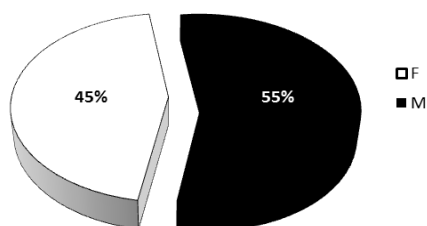
Graph 5 shows a significant increase in the number of FAO/WHO Codex training courses/workshops and participants supported by the Codex Trust Fund in 2012. This is in line with the recommendations of the Mid-term Review and strategic decisions agreed to by Codex Member States to shift resources to Objective 2 of the Codex Trust Fund.

Graph 5. Participants supported to training courses (2005-2012)



Years where FAO/WHO regional coordinating committees have taken place are indicated in a footnote below<sup>1</sup>. Four of the nine Codex training events supported in 2012 took place immediately preceding FAO/WHO Regional Coordinating Committees.

Graph 6. Percentage of participants supported by sex in Codex training (2005-2012)



The participation of women in Codex training courses is similar to that reported last year (53%), and continues to be slightly higher than for overall CTF-supported participation in Codex meetings.

<sup>1</sup> 2007 (CAFRICA, CCNE), 2008 (CAFRICA, CCASIA, CCEURO, CCLAC, CCNASWP, CCNE), 2010 (CCEURO, CCLAC, CCNASWP), 2011 (CAFRICA, CCNE), 2012 (CCEURO, CCNASWP, CCASIA, CCLAC)



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

<b>Monitoring question</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>Indicator</b>	Participants who are satisfied with the capacity development activities and likely to apply the knowledge in their national administrations
<b>Overall assessment of progress</b>	<b>Satisfactory overall. All workshops scored above 4. FAO/WHO officers &amp; trainers are using evaluation results to inform design, delivery &amp; organization of future workshops/training courses</b>

A questionnaire to collect data on the satisfaction of participants in FAO/WHO capacity development activities was developed in 2012 and included questions relating to attitudes, skills and knowledge gained from participation (See Annex II for example of questionnaire). The questionnaire was administered to all CTF-supported participants in eight training courses that took place in 2012 (one training course took place before the M&E framework was finalized and data collection instruments had been developed). Questions were answered using a five grade scale and the target was an overall average of 4.

The average satisfaction rate of all workshops was 4.48 indicating that there was a high level of satisfaction overall with the CTF-supported Codex training events. Overall satisfaction scores for the eight workshops ranged from 4.12 for the workshop on “Facilitating increased private sector involvement in preparing national & regional positions on Codex issues within EAC member states” held in Tanzania in December 2012, to a high of 4.69 for the “Regional training workshop to enhance participation of Codex Near East countries” held in Lebanon in December 2012.

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 soon as they become available. A number of these trainings/workshops are being selected for further evaluation to assess impact/changes at national level (Outcome2).

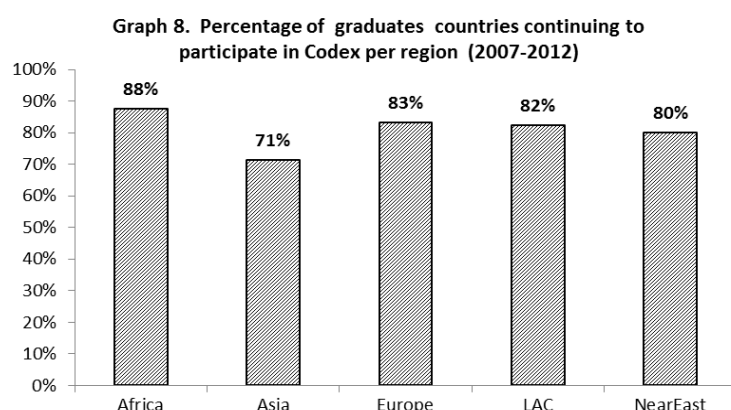
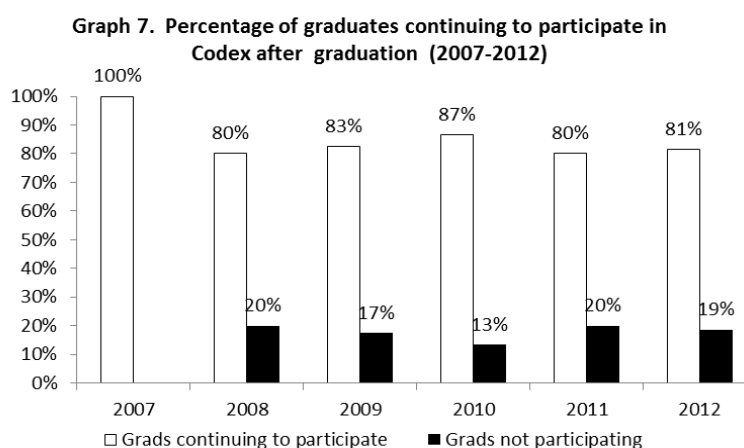
### Output 3-1 Scientific evidence generated in CTF eligible countries

<b>Monitoring question</b>	Has CTF contributed to improved input of scientific and technical data to Codex discussions?
<b>Indicator</b>	Data generated from CTF-supported projects
<b>Overall assessment of progress</b>	<b>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. At present it is noted that the mycotoxin in sorghum project is on track &amp; initial results will be presented at the 8<sup>th</sup> CCCF.</b>

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

<b>Monitoring question</b>	Do CTF graduate countries continue to participate in Codex meetings when their participation is no longer sponsored by CTF?
<b>Indicator</b>	% of total graduate countries continuing to participate in Codex committees after graduation.
<b>Overall assessment of progress</b>	<b>Satisfactory overall. Over 80% of countries continue to participate in most regions. Low participation rate in Codex Asian region may need to be examined.</b>

Overall, 85% of graduate countries continue to participate in at least one Codex meeting in the years following graduation from the Codex Trust Fund. This is an increase of 4% over the figures for the period 2007-2011 reported in 2011 monitoring report. Graph 7 gives percentage breakdowns by year.



Graph 8 presents the percentage of Codex Trust Fund graduate countries which continue to participate in Codex by region. This graph does not include countries that “graduated” from the Codex Trust Fund and were subsequently brought back in under the new Group 4, but concentrates on countries who are not considered “at risk” and for whom the expectation is that they should be able to sustain their participation in Codex.

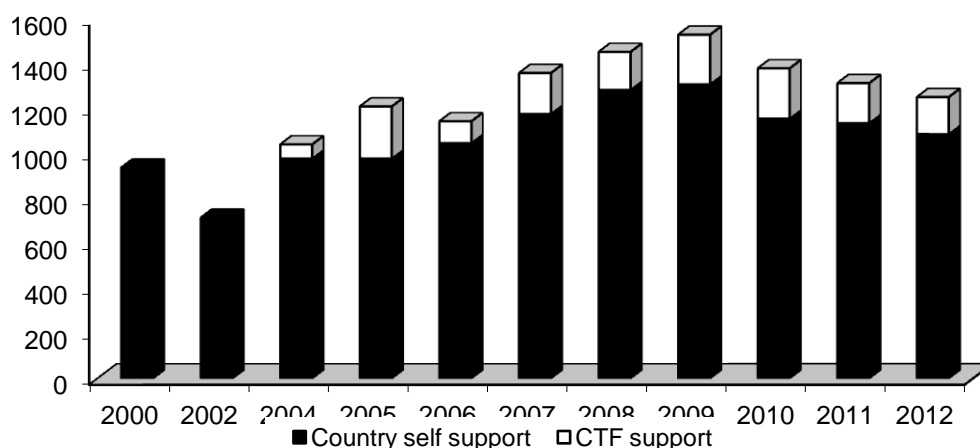
For this reason the Codex South-west Pacific region does not appear as all countries who graduated from the Codex Trust Fund were subsequently brought back into the CTF under Group 4.

The graph highlights the relatively low rate of sustained participation in the Codex Asian region. This may merit further enquiry and attention by FAO/WHO to ascertain where the problems lie, what actions might be taken to address the problems, and whether any action might be taken under the mandate of the Codex Trust Fund.

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

<b>Monitoring question</b>	Are there any overall changes in the extent of developing countries' participation in Codex?
<b>Indicator</b>	Total number of delegates from developing and transition economy countries participating in Codex meetings
<b>Overall assessment of progress</b>	<b>Not satisfactory. Overall developing country participation continues to decline. Proportion of participation supported by the Codex Trust Fund remains relatively constant.</b>

**Graph 9. Total Number of delegates from developing countries participating in Codex meetings (2000-2012)**



The “country self-support” data in Graph 9 above is collected by the Codex Trust Fund Secretariat from the lists of participation included in official Codex meetings reports<sup>2</sup>.

The data has been verified since the last monitoring report and the graph above presents corrected data. After steady increases in developing country participation in Codex from 2006, a high point of developing country participation was recorded in 2009 where a total of 1533 participations from developing countries were recorded with 86% of these being self-funded participations (supported by countries using national resources or sources of funding other than the Codex Trust Fund), and 14% supported by the Codex Trust Fund. A decline began in 2010 where overall participations fell to 1383 in 2010 and 1317 in 2011. Data from 2012 confirm that the decline continues with total participations in 2012 totalling 1255. Codex Trust Fund support as a percentage of total support remained relatively constant over this period with 16% in 2010, 14% in 2011 and 13% in 2012.

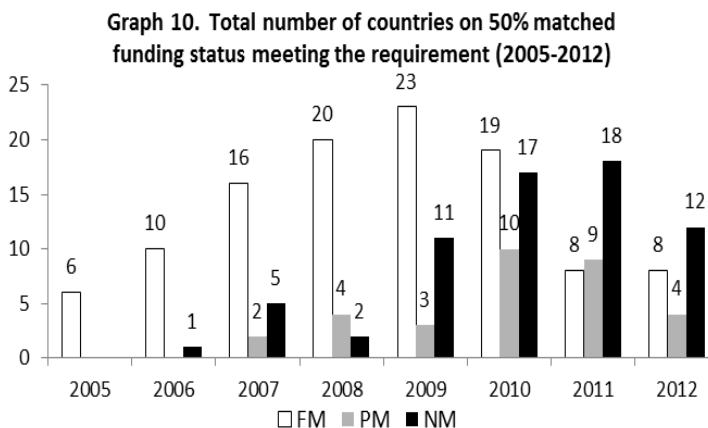
Comments made in the 2011 monitoring report on the decline in participations by developing countries remain valid.

<sup>2</sup> 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.

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

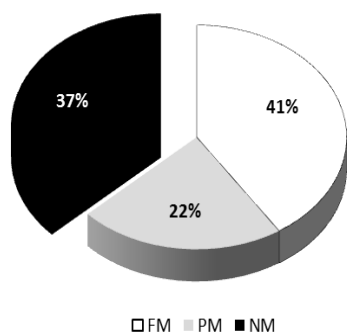
<b>Monitoring question</b>	Are CTF eligible countries meeting their 50% matched funding requirement?
<b>Indicator</b>	Total number of CTF eligible countries on 50% matched funding status using 1 or more options to match the CTF support
<b>Overall assessment of progress</b>	<b>Not satisfactory. Significant decline in number of countries fully meeting the matched funding requirement.</b>

The trend noted in the 2011 Monitoring Report where countries on 50% matched funding status are not meeting their matched funding requirement continued in 2012. Out of 24 countries on 50% matched funding status in 2012, only 8 fully met the matched funding requirement<sup>3</sup>, 4 countries partially met the requirement, and 12 did not meet it at all.



In 2010 37% of countries were not meeting the matched funding requirement at all. In 2011 this percentage rose to 51% and in 2012 the figure was 50%. Countries in Group 1 continue to have the most difficulty in meeting the matched funding requirement. Those fully meeting the requirement dropped from 22% in 2011 to 14% in 2012 with a corresponding increase in the number of countries not meeting the requirement at all (56% in 2011 and rising to 64% in 2012).

Graph 11. Percentage of countries in Group 4 on 50% matched funding status meeting the requirement in 2012



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 11 shows that countries which have been brought back into the Codex Trust Fund under the new Group 4 are also having difficulty meeting the matched funding requirement. For this group of countries the Codex Trust

Fund provides support to the two highest priority participations in the calendar year and the country is expected to “match” this by supporting an additional two participations using national or other sources of funding.

<sup>3</sup> 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).

While the matched funding requirement is monitored for Groups 1, 2 and 3, it is an obligation for all countries in Group 4. Measures have been put in place in 2013 to ensure that countries in Group 4 are meeting the matched funding requirement (See 17<sup>th</sup> Progress Report – Part 2 of CX/CAC 13/36/14).

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

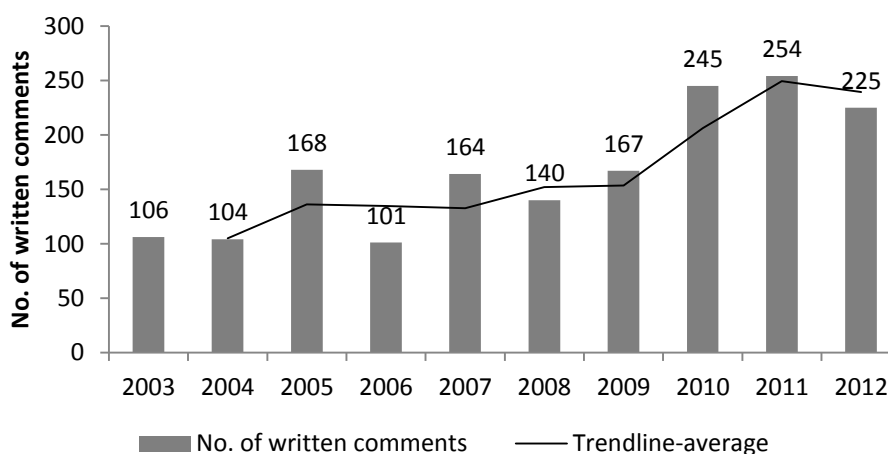
<b>Monitoring question</b>	How does engagement in Codex work of CTF eligible countries evolve?
<b>Indicator</b>	Submission of written comments to Codex committees by CTF eligible countries
<b>Overall assessment of progress</b>	<b>Not satisfactory. Number of written comments submitted by CTF countries has increased but this method of participating in Codex very unevenly used across regions and number of countries using this method of participation has not evolved significantly.</b>

Written comments submitted by developing and transition economies<sup>4</sup> to four Codex committees (CCFH, CCFL, CCPR, CCFICS) were tabulated for the period 2003 (prior to the start of the Codex Trust Fund) to 2012. These four committees were chosen to monitor as they represent the four committees that are most often prioritized by Codex Trust Fund countries.

There is a clear “take-off” in the number of written comments submitted in 2010. The level of total number remained relatively steady throughout 2011 and 2012.

The number of countries submitting written comments remained relatively steady from 2003 to 2008 (on average 26 countries submitting written comments out of 140 countries). An increase was seen in 2009 when 30 countries submitted written comments. The highest number of countries submitting was recorded in 2011 with 34 countries.

**Graph 12. Total number of written comments to CCFH, CCFICS, CCFL, CCPR by CTF beneficiary countries (2003-2012)**



<sup>4</sup> All countries which have ever been eligible for CTF support were included with exception to 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.

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

<b>Monitoring question</b>	Are the CTF eligible countries increasing their capabilities to plan for and solicit support for participation in Codex committees?
<b>Indicator</b>	% 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
<b>Overall assessment of progress</b>	<b>Very unsatisfactory. Only 12.5% of countries had submitted a fully completed application and were up-to-date with reporting by 31 October 2012. Only 52% of country applications were complete by 15 January 2013.</b>

A first baseline for this indicator was established with the 2012 application process. The deadline for applications for the 2012 application process was 31 October 2011. 97 countries were eligible to submit applications for support in 2012 and 71 countries ended up submitting. As at 15 January 2012, 36 countries had submitted a fully completed application and were fully up-to-date with their obligatory reporting to the Codex Trust Fund in the on-line system. This means that only 51% of countries had completed the application process by mid-January 2012.

For the 2013 application process the deadline for applications was 31 October 2012. 92 countries were eligible to submit applications for support in 2012 and 56 countries ended up submitting. By the deadline of 31 October 2012, only 7 countries (12.5%) had submitted fully completed applications and were fully up-to-date with their obligatory reporting. By 15 January 2013, a total of 29 countries (52%) had submitted fully completed applications and were up-to-date with their obligatory reporting.

The figures are very low and the situation does not appear to be improving. In the 2012 application process a new policy was instituted of not accepting applications from countries that were not fully up-to-date with their reporting obligations and this made the application process much lengthier than in the past, and required a considerable increase in the time investment for follow-up on applications by the Codex Trust Fund Secretariat. It was envisaged that the "learning" would be taken on board by countries for the 2013 application process leading to an increase in numbers of completed applications and up-to-date reporting by the deadline of 31 October 2012. This was not the case and the 2013 application process again required considerable time investment by the Codex Trust Fund Secretariat.

Despite nine years of operation of the Codex Trust Fund during which countries are required to submit annual applications using the same process and with the same deadlines, there does not appear to be an improvement in countries' capabilities to plan for and solicit support from the Codex Trust Fund in an effective and timely manner.

### Outcome 2-3 Institutional capacities of countries.

<b>Monitoring question</b>	Do the institutional capacities of countries support effective participation in Codex meetings?
<b>Indicator</b>	Quality of preparation before, participation in and follow-up after meetings as reported/described in obligatory participant reports.
<b>Overall assessment of progress</b>	<b>Not satisfactory. Institutional capacity of countries to support effective participation in Codex meetings needs to be strengthened further by the end of the Codex Trust Fund.</b>

All participants supported by the Codex Trust Fund to attend Codex meetings and working groups are obliged to submit a report in the on-line system developed, piloted and institutionalized for use in 2009. The format for the on-line report can be accessed at<sup>5</sup>. Data from the on-line system is compiled and analysed on a yearly basis and presented in the participant report assessments which are posted on the Codex Trust Fund website. Reports are currently available for all reporting periods from 2005 to 2009<sup>6</sup>. At the time of writing the participant report assessment for the calendar year 2010 was being finalized and will be posted on the Codex Trust Fund website prior to the 36<sup>th</sup> Session of the Codex Alimentarius Commission.

The full set of participant reports for 2011 was not available until the close of the 2013 application process (acceptance of country applications for 2013 is dependent on countries being up-to-date with all participant reports for the period July 2011-August 2012). The assessment of participant reports for the calendar year 2011 is, therefore, currently underway and will be used for monitoring reporting in 2013.

Data and information for reporting on this indicator is taken from the analysis of obligatory participant reports for the period August 2007-December 2010. This corresponds to the period during which a standardized reporting format was established and allows for more reliable comparison of data. For the sake of simplicity, the presentation of data has been broken down into three periods: 2008, 2009, 2010.

Overall the quantity and quality of preparation before, participation in and follow-up after meetings had evolved slowly and with relatively small changes. Over 90% of participants are now reporting that some form of preparatory process is taking place prior to participation in Codex meetings. However, evidence of effective participation during Codex meetings is still tentative with relatively low numbers of participants reporting different forms of active participation. The evidence of positive impacts at country level is a bit stronger, particularly for outcomes reported in the areas of recommendations for follow up to the Codex meeting and development of national standards. This reporting would have to be confirmed by independent verification at national level which may be possible in some countries during the end of project evaluation.

#### ***Preparation before meetings.***

Some change was seen between 2008 and 2009 with a 9% increase in participants who reported that some form of preparatory process had been undertaken prior to participation in the meeting (82% in 2008 and 93% in 2009). This figure was confirmed in 2010 with 94% of participants reporting a national preparatory process. The most common forms of preparation over the years are meetings of the National Codex Committee, sharing of Codex documents and/or physical meetings of stakeholders. Where a preparatory process did not take place, participants most often cite first time participation as the main reason.

<sup>5</sup> See <http://www.who.int/foodsafety/codex/trustfundapplication/en/index.html>

<sup>6</sup> See <http://www.who.int/foodsafety/codex/trustfundprogress/en/index.html>.

***Participation during meetings.***

Some change was also seen between 2008 and 2009 in the percentages of participants reporting active participation during the Codex meeting (78% in 2008, 88% in 2009). This figure dropped slightly to 86% in 2010. The most commonly cited reason for not participating actively was first time participation. In general participants who are “repeat” participants to the meeting report higher numbers of types of interventions across all categories (number of interventions, participation in informal working sessions, participation in regional/sub-regional coordinating meetings...).

Contribution of scientific/technical data to the Codex standard-setting process has seen little or no evolution over the reporting period in question. 18% of participants reported having contributed scientific/technical data in 2008. This then dropped to 9% in 2009 and remained constant at 9% in 2010. It may be surmised that the 18% reported in 2008 may be inflated by participants not having a clear understanding at the time of what was meant by scientific/technical data that can be used in the standard-setting process.

***Post meeting processes and outcomes*****Table 1****Outcomes of post-meeting processes at national level**

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

Table 1 indicates that participation in Codex meetings appears to be contributing to positive changes at national level. Of particular interest are the increases between 2008 and 2009 in percentages of participants reporting that the post Codex meeting processes at national level were resulting in recommendations for follow up, development of national standards, changes in food legislation/regulation and changes in food safety systems. These increases were confirmed with data from 2010.

The main stakeholders involved in the post-meeting process were government bodies, which constituted 87% of all stakeholders in both 2009 and 2010. However, data from 2010 indicate that stakeholders from other areas (food industry, consumers, international organizations, media and research centres) are increasingly being involved in post-meeting processes at national level. This constitutes another potentially encouraging development but the trend will need to be confirmed with data from 2011 and beyond.



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

<b>Monitoring question</b>	Are participants in capacity development activities applying knowledge to strengthen their contribution to Codex standard-setting?
<b>Indicator</b>	% of participants in capacity development activities who state that they apply knowledge gained from activities
<b>Overall assessment of progress</b>	<b>To be assessed in 2013 (i.e. follow up to capacity development activities implemented in 2012 to be undertaken in 2013/2014 to allow for adequate time elapse post activity) and reported in the 2013 and 2014 Monitoring Reports.</b>

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

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

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

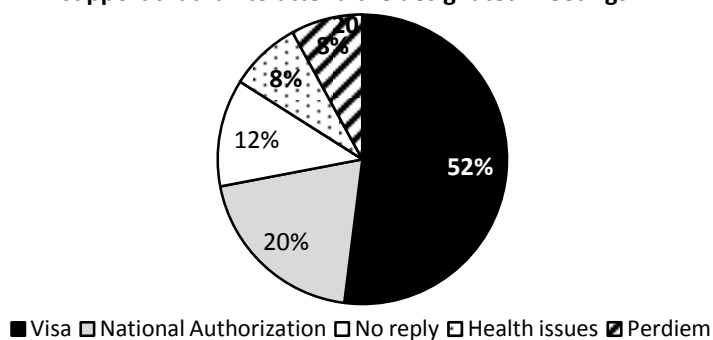
<b>Monitoring question</b>	Are the administrative procedures of CTF adapted to the needs and realities of its beneficiaries?
<b>Indicator</b>	% of participants granted CTF support that fail to attend the designated meeting for any reason
<b>Overall assessment of progress</b>	<b>Satisfactory on issues within control of the Codex Trust Fund. Target for 2013 will be to reduce non-attendance on grounds of per diem and no replies. Unsatisfactory on visa issues, cancellation for health reasons and not obtaining national authorizations as these often lead to losses for the CTF on unused tickets.</b>

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 2012 appear in the Graph 13. Issues around visas accounted for more than half of the failures to attend. Not receiving national authorization to attend the meeting accounted for 20% and not replying to communication from the Codex Trust Fund<sup>7</sup> for timely administration of travel accounted for 12%.

<sup>7</sup> 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.

**Graph 13. Percentage of participants granted CTF support that fail to attend the designated meetings in**



The remaining 16% was equally divided between participants who cancelled their participation due to health reasons, and participants who did not travel due to issues related to receipt of per diem prior to travel.

**Administration 2 - Satisfaction of beneficiaries**

<b>Monitoring question</b>	Is CTF administration sufficiently responsive?
<b>Indicator</b>	% of beneficiaries satisfied with CTF administration
<b>Overall assessment of progress</b>	<b>To be assessed in 2013 and reported in the 2013 Monitoring Report</b>

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 has been instituted for use in 2013 and includes new questions related to satisfaction with Codex Trust Fund administration. First partial results will be reported on in the 2013 Monitoring Report.

**Management 1 - Satisfaction of stakeholders**

<b>Monitoring question</b>	Is the CTF sufficiently responding to needs of Codex Member States for wide and effective participation in Codex?
<b>Indicator</b>	% of CTF stakeholders who are satisfied with the management of the CTF.
<b>Overall assessment of progress</b>	<b>Highly unsatisfactory response rate. Results reported from a small number of respondents in the beneficiary stakeholder group and no respondents from the Codex member states group. Results satisfactory from those groups responding as target average of 4 reached, but concerns expressed especially by two donor countries that will need to be addressed.</b>

A questionnaire to collect data on the satisfaction of stakeholders with the management of the Codex Trust Fund was developed and administered in 2012 and included 8 questions relating to the management, communication, relevance, responsiveness, allocation of resources and funding of the Codex Trust Fund (see Annex IV for copy of questionnaire). Questions were answered using a five grade scale and the target was an overall average of 4.

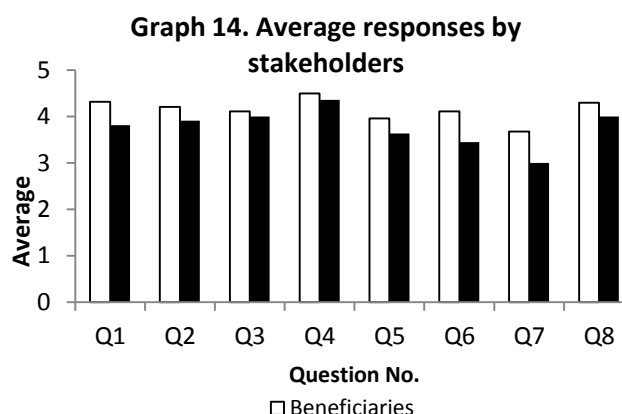
The questionnaire was sent to three stakeholder groups:

- 1) Beneficiary countries (all countries which are, or who have ever been eligible for Codex Trust Fund support) – 147 countries.
- 2) Donor countries (all countries which have ever made a contribution to the Codex Trust Fund in cash or in kind) - 15 member states and 1 member organization
- 3) All Codex member states which are neither a beneficiary country nor donor country of the CTF – 21 countries.

With the exception of the donor stakeholder group, response rates were very low as noted below:

- Beneficiary countries: 28 responses received out of 147 questionnaires sent (19%).
- Donor countries: 11 responses received out of 16 questionnaires sent (68.7%).
- Other Codex member states: 0 responses received out of 21 questionnaires sent (0%).

The average response to all questions across the two responding stakeholder groups was 4 which indicates that there appears to be overall satisfaction with the management of the Codex Trust Fund among these stakeholders. The average response to all questions from the beneficiary stakeholder group was 4.15, while the average response to all questions from the donor stakeholder group was 3.77.



Questions appearing were as follows, and average scores for each question for the two responding stakeholder groups are presented in Graph 14.

Q1 – The Codex Trust Fund is managed strategically.

Q2 – The Codex Trust Fund communicates its activities well.

Q3 – The Codex Trust Fund communicates its results well.

Q4 – The Codex Trust Fund is relevant to the needs of developing and transition economy countries with regard to participating in Codex.

Q5 – The Codex Trust Fund is responsive to the changing needs of developing and transition economy countries to help them participate more effectively in Codex.

Q6 – The Codex Trust Fund allocates resources adequately to assist developing and transition economy countries to participate more effectively in Codex.

Q7 – The Codex Trust Fund is adequately funded.

Q8 – Overall I am satisfied with the Codex Trust Fund.

Highest average scores were given by both the beneficiary and donor stakeholder groups to the question dealing with the relevance of the Codex Trust Fund to the needs of countries with regard to participating in Codex.

Both stakeholder groups gave low scores to the question dealing with adequate funding for the Codex Trust Fund, and to the question dealing with the whether the Codex Trust Fund is responsive to the changing needs of countries to help them participate more effectively in Codex. The donor stakeholder group gave a low average score to the question on whether the Codex Trust Fund allocates resources adequately to assist developing and transition economy countries to participate more effectively in Codex. Average scores of less than 4 were also given by the donor group to questions dealing with the strategic management of the Codex Trust Fund and the communication of its activities.

## Implications for Management

Results level	Priority	Issue	Planned action during 2013/2014
Outcome 2 (Strengthened participation)		<b>Little use of written comments as means of participating in Codex</b>	1. FAO/WHO to continue to include and further strengthen training modules on formulation & use of written comments in FAO/WHO Codex capacity-building activities.
		<b>Low compliance with deadlines &amp; criteria for acceptance of applications</b>	2. CTF Secretariat & FAO/WHO regional officers to reinforce communications on expectations to CCPs at start of 2014 application process.
		<b>Capacity for effective participation remains low.</b>	3. CTF Secretariat/FAO/WHO to identify regions/countries with continuing weak capacity & consider options for strengthening through targeted capacity development
Outcome 1 (Widened participation)		<b>Overall developing country participation in Codex declining</b>	4. FAO/WHO/Codex Secretariat/Codex Trust Fund to develop & administer survey to understand reasons for declining participation
		<b>Decline in number of countries fully meeting matching funding requirement.</b>	5. CTF Secretariat to suspend support to Gr.4 countries who did not match support in 2012 (implemented) with possibility of re-applying for support in 2014 after review of 2013 participation.
			6. FAO/WHO/CTF to hold focus group discussions with Gr 4 countries at 36 <sup>th</sup> CAC on reasons for non-matching & possible solutions & support needed to implement.
Output 1 (Sponsored participation)		<b>Persisting imbalance in gender participation.</b>	7. CTF Sec/FAO/WHO to encourage countries to identify qualified women delegates for nomination on CTF application forms.
		<b>Need to enhance satisfaction with participation during meetings</b>	8. As per Action 3 above.
		<b>Issues around satisfaction of participants in capacity development activities with specific modules</b>	9. FAO/WHO officers/trainers to capture and work on "learning" from capacity development evaluations to inform future implementation.
Administration		<b>Visas, national authorizations &amp; per diems</b>	10. CTF Secretariat to enhance communication with participants/CCPs on making visa arrangements/getting national authorizations early.

			11. CTF Secretariat to continue dialogue with host countries where most problems faced.
			12. CTF Secretariat to implement additional measures to increase % of per diems being paid on time.
Management		<b>Low scores given by specific stakeholder countries</b>	13. CTF/FAO/WHO to hold informal exchanges on the side-lines of Codex meetings with representatives of countries concerned.
Output/ Outcome 3  (Scientific evidence)		<b>Ensure results of mycotoxin in sorghum projects are input to CCCF on-going process</b>	14. CTF/FAO/WHO to keep mycotoxin in sorghum projects on track and within budget

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

\*\*\*\*\*

## Annex I

### Questionnaire: Output 1-2

#### Codex Trust Fund Participant satisfaction questionnaire

Dear participant,

You are participating in this Codex meeting with support from the Codex Trust Fund. In order to allow the Codex Trust Fund to monitor the satisfaction of beneficiaries with their participation in Codex meetings, we would be grateful if you would kindly answer the questionnaire below and return the fully completed questionnaire to the representative of the host country for this Codex meeting before the end of the meeting. Your responses will allow the Codex Trust Fund to report on the satisfaction of beneficiaries with their participation in Codex meetings and will be reported in the annual monitoring reports of the Codex Trust Fund. Your answers will be collated with others when reporting and no person or country will be identifiable.

This questionnaire will take about 10 minutes to complete.

For each question below, please select the score which best fits your rating BY CIRCLING THE APPROPRIATE NUMBER.

Comments are welcome.

Thank you for your feedback  
Codex Trust Fund Secretariat

Name:
Country:

Preparations for the meeting	Rating				
	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
1. I received the working documents in sufficient time before the meeting	1	2	3	4	5
2. I felt adequately prepared when I arrived at the meeting	1	2	3	4	5
3. I had a clear understanding of my country's position(s) on agenda item(s)	1	2	3	4	5
4. The meeting topic(s) was/were relevant to my work at national level.	1	2	3	4	5

#### 5. Comments on preparations:

--

Participation in the meeting	Rating				
	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
6. I fully understood the procedures* of the meeting	1	2	3	4	5
7. I fully understood the discussion/negotiation process of the meeting	1	2	3	4	5
8. I felt that I could adequately defend my country's national positions at the meeting	1	2	3	4	5
9. I was able to modify national positions as needed during the meeting, or had clearly defined mechanisms to consult with national authorities to modify national positions	1	2	3	4	5

10. I am satisfied with my ability to network with other delegates and stakeholders as part of the discussion/negotiation process during the meeting	1	2	3	4	5
11. I felt that I was able to achieve my country's expectations for this meeting.	1	2	3	4	5

\* procedures should be understood as referring to the Codex procedures as outlined in the Procedural Manual of the Codex Alimentarius Commission

12. *Comments on participation:*

Follow-up to the meeting	Rating				
	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
13. I will recommend that my country sends a delegate to the next session of this committee	1	2	3	4	5
14. I will make recommendations to my national administration related to the outcome(s) of the meeting	1	2	3	4	5
15. If yes on 14 please provide the following further information: <ul style="list-style-type: none"> <li>• What recommendations will you make?</li> <li>• In what form will you make these recommendations?</li> <li>• To whom will you make the recommendations?</li> </ul>					

16. *Comments on follow-up:*

**General comments**

17. How can the effectiveness of your country's participation in Codex meetings be enhanced?

18. *Any other comments:*



## Annex II

### Questionnaire: Output 2-2

*Note to Trainer - Template/suggested questions – please note where there is text in italics, the training team needs to use these ideas to tailor the form to the specific pre-cc workshop.*

<b>Workshop Title</b>	<i>[insert workshop title]</i>
<b>Workshop Objectives</b>	<i>[insert the workshop objectives]</i>

**YOUR COUNTRY NAME:** \_\_\_\_\_

Dear Participants,

We thank you in advance for completing the Workshop Evaluation. Your comments will be valuable in helping to improve future workshops on this topic and develop other future activities in the region.

The following statements relate to your satisfaction with the course. Please rate them on a scale of 1-5 where 1=I do not agree and 5=I agree completely. If the statement is not relevant for your course, please check N/A

1. Workshop administration and organization	1	2	3	4	5	N/A
Travel arrangements were satisfactory						
The workshop facilities were conducive to learning						
The workshop was well organized						

Add any specific comment for overall improvement?

2. Objectives of the workshop	1	2	3	4	5	N/A
The objectives of the course were clearly explained						
To what extent were the objectives of the workshop achieved:						
<i>[insert obj. 1]</i>						
<i>[insert obj. 2]</i>						
<i>[insert obj. 3]</i>						
<i>Etc.</i>						

3. Learning from the workshop	1	2	3	4	5	N/A
The topic of the workshop was relevant to furthering use of Codex standards and ensuring effective participation in Codex						
The workshop was relevant to my workplace needs						
The trainers were of high quality						
The workshop materials aided my comprehension of the course						
There was sufficient time for group discussion and questions						
I feel confident that I will be able to ... <i>(training team to insert some of the key competencies or skills that the learner was supposed to get out of the workshop) (put in separate question for each</i>						

<i>competency or skill).</i>  <i>Two examples provided as guidance for wording:</i>  <i>I feel confident that I will be able to prepare a proposal for new work on a regional standard;</i>						
	<i>I feel confident that I will be able to access scientific data to support national positions in Codex</i>					

4. Which of the following workshop sessions were most useful to you?	Very useful	Useful	Neutral	Not very useful	Not useful at all
<i>[insert the titles of each session – including presentations, and working group activities]</i>					
<i>[session title]</i>					
<i>[session title]</i>					

5. Please note your three most important take-home messages from this workshop?
  
6. What additional topics would you recommend for future pre-Regional Coordinating Committee workshops and state why?
7. Any other comments?