ANNEX 1. SUMMARY OF STDF LOGICAL FRAMEWORK

This evaluation is based upon the stated logical framework (logframe) outcome and output indicators as follows:

Outcome Indicators

- Perceived value of STDF partners and other Working Group (WG) members/observers with relevance and effectiveness of STDF activities and projects/Project Preparation Grants (PPGs)

- Documented cases of collaborative/cross-cutting/innovative/regional approaches to capacity-building facilitated by STDF activities and projects/PPGs

Output Indicators

1. Information exchange and dialogue among providers of SPS capacity-building

- Number and type of participants in WG

- Number and type of presentations made in WG (including reports by partners, donors, observer organizations, beneficiaries)

2. Good practice to support SPS capacity-building identified and disseminated

- Number of thematic topics

- Number of visitors to STDF website and number of STDF e-newsletter recipients

- Number of external events attended by the STDF Secretariat

- Number of STDF publications on specific topics

3. Enhancing quality of SPS programme design to meet needs of beneficiaries

- Number of project preparation grants (PPGs) completed with satisfactory outputs

4. Building Capacities in Beneficiary Countries

- Number of projects completed with satisfactory outputs (as per individual results framework)

Assumptions to be tested

- Ongoing interest, engagement and support of partners, other members/observers and beneficiaries to participate actively in the STDF and share information.

- Sufficient funding available in the STDF Trust Fund and the STDF Secretariat fully staffed and operational

- Other necessary conditions exist (i.e. political stability, national commitment to address SPS constraints, government support, allocation of resources, etc.)

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ANNEX 2. REVIEW OF STDF STRUCTURE

GOVERNANCE STRUCTURE AND REPORTING

The STDF follows the governance arrangements of the WTO as the host organization and has no legal personality. The WTO administers the STDF Trust Fund as well as appoints and provides the Head of the STDF Secretariat for the Facility. The STDF Secretariat reports on the Facility's activities to the WTO SPS Committee through the Head of the STDF Secretariat.

The STDF governance structure consists of three main bodies: **Policy Committee, Working Group and the STDF Secretariat**. Table 3 below outlines the responsibilities of the three bodies and the reporting lines between them.[32]

Table 3. STDF Governance Structure

Policy Committee: Policy and Strategy of STDF, oversight of Working Group
High-level representatives of STDF's partners (the FAO, OIE, WB, WHO, WTO) and donors, selected developing country experts[33], observers (other donors and developing country experts)
- Sets policy guidelines and provides policy oversight on the overall direction of the Facility;   - Provides guidance on programmes and the Facility's work agenda;   - Oversees efforts by the Working Group in the coordination of SPS-related technical cooperation and the dissemination of good practice in this regard;   - Seeks to develop a broader financial basis for the Facility through outreach to donors;   - Evaluates reports on progress of the Facility;   - Considers the results of external evaluations of the Facility and makes recommendations on appropriate actions;   - Makes decisions by consensus;   - Meets as requested, by one or more of the STDF members or through a decision of the Working Group.
Working Group: Preparation and approval of STDF work plans, oversight of the STDF Secretariat
Technical-level representatives of STDF's partners (the FAO, OIE, WB, WHO, WTO) and donors, six developing country experts[34], Secretariats of the Codex and IPPC, observer organisations
- Prepares and approves STDF work plans (bi-annual or annual, established on the basis of medium term strategy and logframe);   - Reviews and approves of PPG and PG funding applications with the assistance of the Secretariat, or makes recommendations for funding outside the STDF (review stages two and three);   - Oversees the work of the STDF Secretariat and approves the annual reports;   - Exchanges experiences by members on the delivery and coordination of SPS-related technical cooperation;   - Guides the development of resources for coordination and dissemination of good practice, including databases, training materials, tools and guidelines for SPS practitioners and decision-makers, etc.;   - Appoints committees for special tasks;   - Provides support to fund raising activities;   - Reports on progress to the Policy Committee;   - Makes decisions by consensus;   - Meets normally at least twice a year.
STDF Secretariat – Implementation of the STDF work plans, reports to Working Group and Policy Committee

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[32] See STDF Operational Rules (STDF 139 rev.4 – FINAL)

[33] Representation of donors and developing country experts in the Policy Committee follows a rotation mechanism, according to which both donors agree developing country experts on three representatives among themselves for a two-year term at a time. Other donors contributing funds to the STDF and the three developing country experts who are not representatives may attend the Policy Committee as observers.

[34] These six representatives are appointed by Chairperson of the WG, with two representatives each coming from the Americas, Africa and Asia (including the Pacific). At least two experts would need to have the nationality of a Least Developed Country (LDC) or Other Low Income Country (OLIC). The six developing country experts serve the STDF on a two-year rotation basis.

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- Implements STDF work plans (bi-annual or annual);
- Identifies and participates in external events to disseminate information on the STDF and its activities and promote coherence and coordination in the delivery of SPS-related technical cooperation;
- Provides support to beneficiary organisations in identifying and/or developing PPGs and PGs applications for funding by the STDF or from another funding source;
- Reviews PPG and PG funding applications at stage one of the review process, provides advice to the Working Group at the stage three of review, keeps records of received applications and projects approved for funding;
- Provides support to beneficiary organisations in implementation of PPGs;
- Receives project reports from implementing organizations, approves payments and, as necessary, signs off amendments in project implementation, which maintain the overall goal and purpose of the projects;
- Communicates with donors and assists in identifying additional sources of funding for the Facility;
- Provides administrative assistance to the Policy Committee and the Working Group in the preparation of meetings, and performing the function of Secretary at these meetings;
- Undertakes accounting and financial tasks needed to administer STDF funding;
- Reports on progress, achievements and finances of the Facility to the Working Group (annual reports) and performs any other duties as required by the Policy Committee or Working Group;
- Reports to the WTO SPS Committee on STDF activities, through the Head of the STDF.

STDF TARGET BENEFICIARIES

The STDF has a dual audience resulting from its two main functions, which are a project funding mechanism and a coordination and knowledge platform.

Table 4 below outlines the intended beneficiaries according to each of the STDF's functions.

Table 4. Intended beneficiaries by STDF function

PROJECT FUNDING MECHANISM (PGS/PPGS)	COORDINATION/KNOWLEDGE PLATFORM
• Developing country governments (agriculture, health and trade) • Private sector • STDF partners and donors	• Developing country governments (agriculture, health and trade) • STDF partners and donors • Other development partners and relevant Aid for Trade programmes • Relevant international/regional organisations • Private sector • NGOs and universities[35]

STDF SECRETARIAT

Team – roles and responsibilities

The Head of STDF Secretariat (grade 9), oversees the STDF Trust Fund and leads a team of five professional staff members and one support staff. The Head of the STDF Secretariat oversees the management of STDF's global knowledge platform and close cooperation with the STDF's partner agencies (the FAO, OIE, World Bank Group, WHO and WTO), donors, developing country governments and the public and private sector.[36] The responsibilities of the Head of the STDF Secretariat also include expenditure approvals and reporting to the regular meetings of the WTO Committee on Sanitary and Phytosanitary Measures (SPS Committee) on STDF activities.

The team consists of the Deputy Head of the Secretariat (grade 8), an administrative assistant (grade 5) and four other core team members (grades 8 and 7).[37] Recruitment for the fourth core team member is currently taking place (at WTO entry level, grade 6)[38]. In addition to the core team, the STDF Secretariat is often supported by an intern and has previously benefited from a Young Professional under WTO's Young Professionals Programme in 2018. However, these additional staff resources are not secure. Each team member (apart from the administrative assistant) provides support to developing countries in developing and rolling out Project Preparation Grants (PPGs) and Project Grants (PGs) as well as undertakes activities related to the coordination and knowledge platform functions of the Facility. In

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[35] See the STDF Communication Plan: http://www.standardsfacility.org/sites/default/files/STDF_Communications_Plan_2016.pdf
[36] See the STDF Secretariat webpage: http://www.standardsfacility.org/stdf-secretariat
[37] Please note this post is temporarily filled by a core team member (grade 6).
[38] Please note this was the situation at the time of the Inception Report writing, and that the post is currently filled on a temporary basis by a core team member (grade 5).

addition to these responsibilities, the senior team members are responsible for high-level presentation of the STDF at different events and meetings.

The WTO can hire additional, temporary staff for the STDF in the event of specific activities or a sudden increase in the Secretariat's workload. Addressing the recommendations from the previous external evaluation on strengthening the communications and monitoring and evaluation (M&E), two external consultants have been hired to assist the Facility on a needs basis since 2015.[39] The consultants support the Facility in communicating the results of STDF work, promoting awareness about and uptake of STDF knowledge tools and projects, raising visibility of the STDF more broadly, and implementing the M&E framework (including conducting a meta-evaluation of projects and setting up ex-post project impact evaluations).[40]

Budget

The budget for STDF Secretariat's work comes from the STDF Trust Fund, administered by the WTO, except for the Head of the STDF Secretariat who is appointed by the WTO and provided from the WTO's regular budget. The Trust Fund is based on voluntary contributions from donors.[41] Between 2014 and 2018, 15 donors have provided contributions to the Facility's Trust Fund, with most of them providing multiannual contributions. Each year ten donors on average have contributed funding to the STDF. Any remaining funds at the end of the financial year should normally remain available in the STDF Trust Fund in order to finance applications and other related costs in the following year.

The estimated bi-annual budget set out in the work plan, approved by the Working Group, is based on the STDF's annual, US$5m target of donor funding set for 2015-2019 in the medium-term strategy. During the period of 2014-2018, the achieved contributions including pledges have varied between $4.2m (2016 and) $4.8m (2017).[42] According to the latest Annual Report, the contributions in 2017 totalled $4,823,035 against an estimated budget of $5,147,500. In year 2017 the total expenditures were $4,668,200 against an estimate of $5,147,500. Based on Table 5 (see below) on expenditures, most expenditure is incurred on capacity-building of developing countries through PGs (Output 4) and PPGs (Output 3) and then on identification and dissemination of good practice to support SPS capacity (Output 2).

As defined in the Operational Rules of the STDF, the contributions to the Trust Fund are to be used for 1) staffing requirements and operational needs for the administration of the STDF; 2) activities focusing on the enhanced delivery and coordination of SPS-related technical co-operation as outlined in the relevant annual or bi-annual STDF work plan; 3) PPGs and PGs; and 4) other expenditure, as approved by the Policy Committee, Working Group or Head of the STDF. The other expenditure can include the following:

- Costs related to STDF Secretariat participation in STDF meetings;
- Costs related to the attendance at STDF meetings of developing country experts serving on the Working Group and the Policy Committee;
- Costs related to STDF Secretariat travel (e.g. for meetings with donors);
- Independent evaluations of the operation of the Facility;
- Independent reviews of applications submitted by STDF partners;
- Specific mandates to an external auditor for the control of expenses on projects.

PPG and PG funding are subject to approval by the Working Group on the basis of requests for funding. Regarding funding of the PPGs and PGs, at least 40% of the Facility's PPG and project resources should be devoted to eligible organizations in Least Developed Countries (LDCs) and Other Low Income Countries (OLICs). The STDF has exceeded this target every year during 2014-2017, with 70% of funding for PPGs and projects approved in 2017 going

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[39] An external Communications Consultant has been hired since 2016.
[40] See STDF Work Plan 2017-2018
[41] See data on contributions available in the Annual Reports: http://www.standardsfacility.org/stdf-annual-reports
[42] See Annual Reports 2014-2017

to LDCs and OLICs.[43] Other activities in the work plan are implemented on the basis of approval of the bi-annual work plan by the Working Group.

There is a set order for prioritising expenditure if resources are not sufficient for funding all the approved projects as set out in the Operational Rules: 1) staffing requirements necessary to fulfil existing commitments; 2) activities under Outputs one and two ; 3) funding PPGs (Output three); and 4) funding PGs with the highest quality, replicability and probable impact (Output four).[44]

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[43] See STDF Annual Reports 2014-2017.
[44] See STDF Operational Rules paragraph 86 p.15.

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Table 5. Total Estimated and Actual Expenditure per Output, 2014-2017[45]

Output	2014			2015			2016			2017		
	Estimate (US$)	Actual (US$)	Variation (%)	Estimate (US$)	Actual (US$)	Variation (%)	Estimate (US$)	Actual (US$)	Variation (%)	Estimate (US$)	Actual (US$)	Variation (%)
Output 1: Information among providers of SPS capacity-building exchanged and dialogue among relevant stakeholders promoted	173,668	**190,000**	9%	80,000	**102,280**	28%	80,000	**78,793**	-2%	90,400	**48,954**	-46%
Output 2: Good practice to support SPS capacity-building identified and disseminated	370,000	**137,778**	-63%	615,000	**578,061**	-6%	680,000	**607,735**	-11%	683,650	**524,108**	-23%
Output 3: Needs assessments, feasibility studies and project proposals related to SPS capacity-building produced	200,000	**225,000**	13%	435,000	**483,694**	11%	435,000	**482,833**	11%	491,550	**816,743**	66%
Output 4: SPS capacity-building projects in specific areas supported	2,800,050[46]	**3,172,995**[47]	13%	3,275,000	**2,813,613**	-14%	3,275,000	**3,339,841**	2%	3,700,750	**3,080,566**	-17%
Other operating costs[48]	919,000[49]	**1,043,376**[50]	14%	110,000	**149,971**	36%	120,000	**174,511**	45%	180,800	**197,827**	9%
Total Expenditure	**4,529,000**	**4,663,739**	**3%**	**4,515,000**	**4,127,620**	**-9%**	**4,590,000**	**4,683,713**	**2%**	**5,147,150**	**4,668,200**	**-9%**

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[45] See the STDF Annual Reports 2014-2017

[46] Please note the financials for 2014 are not represented per output in Annual Report 2014, this calculation has been adapted to include project ex-post evaluations as they are included under this output in subsequent Annual Reports.

[47] See above.

[48] This also includes implementation of M&E Framework and Communications Plan.

[49] Please note the financials for 2014 are not represented per output in Annual Report 2014, this calculation has been adapted to include STDF Review as M&E activities are included under this category in subsequent Annual Reports.

[50] See above. This figure includes STDF staffing costs, which in subsequent years have been distributed over outputs two, three and four.

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STDF procurement

With the STDF being situated at the WTO, procurement rules and processes follow those of the WTO.[51] In addition to the possibility to hire additional, temporary staff for STDF Secretariat, the WTO procures external evaluators to evaluate the STDF based on consultations with the Working Group (at least every five years and normally to be completed one year before the end of the Medium Term Strategy) and may procure external auditors for the control of project expenses incurred in special cases.

With regards to PPGs, their implementation requires inputs from external consultants. Consultants may be proposed by the applicant, for approval by the Working Group. In other cases, the Secretariat identifies consultants based on suggestions made by partners and other members, for final endorsement by the applicant. Details of these consultants are maintained by the Secretariat on an expert consultant roster.

The Secretariat develops Terms of Reference, based on the PPG application with discussion and approval by the Working Group, on which basis the WTO contracts the consultant, in accordance with the STDF Operational Rules. The Secretariat supervises the implementation of the PPGs. With regards to PGs, implementation is undertaken by implementing organisations, approved by the Working Group. The WTO contracts these organisations, in accordance with the STDF Operational Rules. The Secretariat then supervises the implementation of the PGs.

Monitoring and Evaluation

The STDF has put a Monitoring and Evaluation (M&E) Framework in place, following a recommendation from the previous Mid-Term Review (2012-2016) completed in January 2014 to "strengthen the Results Based Management (RBM) framework to guide STDF's activities and become a useful tool for the Secretariat when managing the Facility". The Framework has been agreed through a consultative process involving STDF partners, donors, developing country experts and the STDF Secretariat, and can be revised through a consultative process if needed.

It is understood the STDF did not have an M&E Framework in place before, and monitoring and evaluation has been mainly guided by the logical framework (logframe), developed alongside the medium-term strategy.[52] Based on the review of the key documents, it seems the focus was previously more on reporting activities than tracking progress in terms of achieving results.

The Monitoring and Evaluation Framework sets a system for monitoring and evaluation, to track and measure progress on activities and achieved results, including objectives and scope. It also sets the roles and responsibilities for the key STDF stakeholders, which follow from the results chain (see Figure 3 on the right).[53]

Figure 3. STDF Results Chain

The key M&E activities include:

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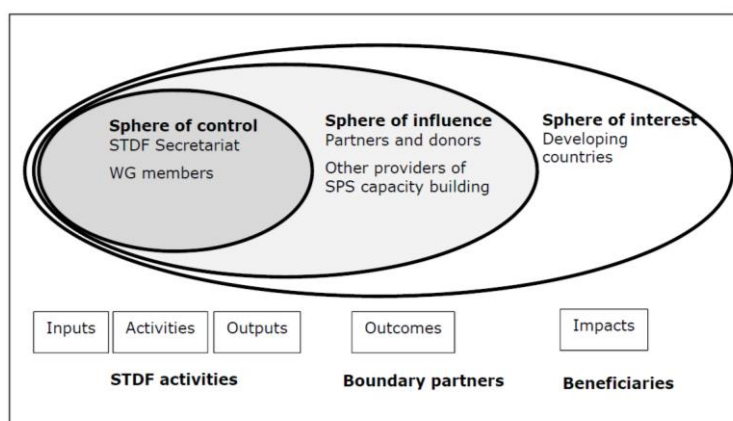
[51] https://www.wto.org/english/thewto_e/procurement_e/procurement_e.htm;
https://www.wto.org/english/thewto_e/procurement_e/terms_conditions_e.pdf
https://www.wto.org/english/thewto_e/vacan_e/vacan_e.htm
[52] See Work Plan 2017-2018 for the current logframe.
[53] See p.2 of the STDF M&E Framework (STDF 509 – FINAL)

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– Monitoring activities against the STDF logframe indicators to report annually on contribution to the expected outcome of the STDF logframe; activities and outputs achieved under the relevant annual or bi-annual STDF work plan; and progress, final and evaluation reports on individual projects;

– Independent external evaluations of STDF projects selected by Working Group;

– Independent external evaluations of the STDF and the extent to which the Facility has made a contribution to its programme goal and vision, appointed by the WTO after consultation with the Working Group, at least every five years.[54]

According to the STDF project meta-evaluation, the STDF has also Evaluation Guidelines in place (latest version from 2018 takes account of meta-evaluation recommendations) that draw on DAC criteria, include key evaluation questions and an evaluation report template, and are to be used in external evaluations and end-of-project evaluations commissioned by project implementers.[55]

Table 6 below outlines the key responsibilities of STDF stakeholders in relation to monitoring and evaluation.

The expected results of the STDF work are determined in the mid-term strategy and have been operationalised in a logframe, including indicators for measuring progress at outcomes and outputs levels, key risks and assumptions.[56] Results against the logframe are available for year 2017, while only targets have been set in logframes for previous years.

Table 6. STDF Monitoring and Evaluation Structure

Impact level – External Evaluation		
The STDF's contribution at **impact level** (programme goal, vision) is evaluated through **external evaluations**		
• WTO appoints an **External Evaluator** after consultation with the Working Group, following its procurement rules and procedures; • Undertaken at least every five years, normally to be concluded one year before the end of STDF's medium term strategy (unless decided otherwise by the Policy Committee); • Funded through the bi-annual Trust Fund budget which aligns with the bi-annual work plan.		
Expected Outcome and Output level – STDF stakeholders		
STDF stakeholders are responsible for **regular monitoring** of STDF activities at the **Expected Outcome and Output levels** • Funded from the bi-annual Trust Fund budget, including use of consultant services for M&E		
Policy Committee	• Evaluates reports on progress of the Facility; • Considers results of external evaluations of the Facility and makes recommendations on appropriate actions.	
Working Group	• Approves the Annual Report and work plans, including budget, prepared by the Secretariat; • Monitors STDF activities and implementation of work plans on an ongoing basis; • Prepares progress reports for the Policy Committee; • Selects two projects for an external independent ex-post evaluation each year (2-3 years after project completion).	
Partners	• Provide strategic advice on the implementation of STDF's M&E framework; • Provide information as required for monitoring indicators of the STDF logframe for compilation by the Secretariat (mainly on Outcome, Outputs 1 and 2);	
Donors	• Provide information as required for monitoring indicators of the STDF logframe for compilation by the Secretariat (mainly on Outcome, Outputs 1 and 2).	

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[54] See p. 3 of the STDF M&E Framework (STDF 509 – FINAL)

[55] See 'Beyond Results: Learning the lessons from STDF Projects' meta-evaluation of STDF projects: http://www.standardsfacility.org/STDF-meta-evaluation

[56] See p. 6 of the STDF Medium-Term Strategy 2015-2019 (STDF 510).

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STDF Secretariat	• Reports on the progress against work plan at every WG meeting; • Monitors progress against logframe for annual reports, including contribution to the expected outcome of the STDF logframe, activities and outputs achieved under the relevant annual or bi-annual STDF work plan and the progress, final and evaluation reports on individual projects. This is done through collection, analysis and compilation of data; • Administers end-of-project surveys; • Organises independent, external end-of-project evaluations; • Prepares annual reports; • Conducts other M&E activities as specified in the work plan, such as meta-evaluation of projects; • Undertake continuous monitoring of on-going projects through six-monthly progress reports.
Output / Project level – Implementers/Beneficiaries	
PPG implementers	• Provide information as required for monitoring indicators of the STDF logframe for compilation by the Secretariat (mainly on Outputs 3 and 4); • Answer to an end-of-PPG questionnaire, administered by the Secretariat.
PG implementers	• Contribute to the output level results measurement (mainly Outputs 3 and 4), through the following activities at project level, included in the PG budget: ○ Include monitoring and results measurement in the PG application and implementation in a form of a logframe matrix; ○ Produce progress and final reports on individual projects; ○ Monitor and report results of projects' communications activities as set in the communication plan annex II on guidelines • Are subject to an external, independent ex-post evaluation each year (2-3 years after project completion) if selected by the STDF Working Group.

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ANNEX 3. REVIEW OF STDF OPERATIONS

COORDINATION ROLE (WORKING GROUP MECHANISM, WTO AND OTHER MECHANISMS)

Coordination of SPS technical cooperation and the dissemination of good practice are at the core of STDF's work. In this regard, the joint communiqué issued by the Heads of the FAO, OIE, World Bank, WHO and WTO at the Doha Ministerial Conference in November 2001 stated that it specifically aimed at exploring new technical and financial mechanisms for SPS coordination and resource mobilization to ensure the most effective use of technical and financial resources. The coordination role of the STDF was also highlighted in its Mid-Term Strategy 2015-2019. The document recognised the need for better and more effective coordination among providers of SPS capacity-building as the "raison d'être" of the STDF.

The STDF uses four main mechanisms to promote coordination among its members (donors and partners) and developing country beneficiaries:

- Working Group meetings;

- External events;

- PPGs; and

- PGs.

It is important to highlight that the STDF facilitates coordination at different levels: internationally (through the Working Group meetings and participation in external events) and regionally/nationally (through PGs/PPGs, participation in regional/national meetings).

WORKING GROUP MEETINGS

Apart from the operational role of the Working Group (WG), one of its main responsibilities is to exchange experiences among members on the delivery and coordination of SPS-related technical cooperation. Also, the WG has the responsibility for guiding the development of resources for coordination and dissemination of good practice, including databases, training materials, tools and guidelines for SPS practitioners and decision-makers, etc.[57]

The WG sessions happen twice a year (March and October in parallel to the SPS Committee). The first part of the meeting addresses more operational issues of the platform. The thematic coordination among members happens during the second part of the session when presentations are held by members or partner institutions on thematic topics of SPS-related issues. Most presentations address the programs and projects being developed by STDF members and partners. This allows partners, donors and observers to be up-to-date on projects and programs on SPS technical assistance. These presentations are followed by a debate among the participants and a structured exchange between WG members and observers on information about new/emerging SPS initiatives and issues. All presentations and summary reports are available online for further consultation by other members who were not present in the meetings.

Table 7 below summarises WG topics and participation.

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[57] The Operation Rules is available on the STDF website:
http://www.standardsfacility.org/sites/default/files/STDF_139_Rev.3_Operational_Rules_Eng.pdf

Table 7. Summary of Working Group meetings, 2015-2018

	Number of participants	Number of presentations	Main topics
WG October 2018	55	5	Gender and SPS measures Trade and Natural Disasters Food Safety
WG March 2018	42	7	Trade Facilitation Food Safety
WG October 2017	55	3	Food Safety
WG March 2017	46	3	International SPS Standards
WG October 2016	42	4	One Health
WG March 2016	46	4	Trade Facilitation International SPS standards
WG October 2015	45	5	SPS certification International SPS Standards
WG March 2015	48	2	Food Safety Non-Tariff Measures

Discussions at WG meetings on PPGs and PGs also facilitate coordination as members exchange information on their activities in related areas. The coordination promoted by the WG benefits more the members (partners and donors) of the platform compared to beneficiaries and developing countries, being generally a mechanism of internal coordination of activities.

The majority of WG participants are partners, donors and developing country experts. Some private sector associations participate on an ad-hoc basis in the WG, such as the Global Food Safety Initiative (GFSI) and SSAFE. From 2015 to 2018, developing country beneficiaries did not participate regularly in WG meetings.

Box 1. THE ROLE OF THE PRIVATE SECTOR IN STDF

The STDF acknowledges the importance of partnering with the private sector on its activities. According to its Briefing Note "Partnering with the Private Sector", "Private sector stakeholders contribute to STDF projects as implementing agencies, providers of finance, expertise or other resources, and intermediaries that link to small-scale producers and farmers on the ground. In developing countries, the private sector – including micro, small and medium-sized private enterprises, farmers, producers and traders – also benefits from STDF projects."

Representatives of some private sector associations (e.g. COLEACP, GFSI, FIA, SSAFE) participate on an ad hoc basis in WG sessions. Other private sector stakeholders (national, regional, international) participate in projects and PPGs.

See STDF Briefing Note: http://www.standardsfacility.org/sites/default/files/STDF_Briefing_Note_15.pdf

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EXTERNAL EVENTS PARTICIPATION

The Secretariat participates in selected external events to disseminate information about the STDF and its work to promote good practice and coordination in the delivery of SPS capacity-building.[58] Therefore, external events are an important instrument for international and regional coordination. With regards to these efforts, the STDF Secretariat attends most of the external events, although STDF partners and other Working Group members may represent the STDF in some events.

According to the STDF Operational Rules, to determine whether to participate in external events, the STDF Secretariat will be guided by the following criteria, to be applied on a case-by-case basis:

- Relevance to the STDF Medium-Term Strategy and work plan;

- Participation in the event by **STDF partners, donors**, etc.;

- Participation of **STDF target beneficiaries**;

- Possibility of linking participation to past/on-going/planned **STDF projects/PPGs** and other STDF activities;

- Requests for specific presentations on STDF activities; and

- Availability of resources.

Participation in external events may also be funded by external organisations. Table 8 below outlines the number of external events the Secretariat has participated from 2013 to 2017.

The STDF has different motives to participate in external events, which may be:

- to provide information on the STDF and its experiences;

- to present thematic work, such as trade facilitation and electronic SPS certification;

- to present its project work and opportunities for funding.

Within the WTO, the STDF Secretariat reports on its operations to the WTO SPS Committee. The STDF Secretariat also participates in the WTO's training activities on the SPS Agreement.

Table 8. Participation in external events, 2013-2017

Year	Number of external events
2013	7
2014	13
2015	28
2016	58
2017	75

COORDINATION THROUGH PPGS AND PGS

PPGs and PGs may also encourage coordination within developing countries and beneficiaries through the use of letters of support. All PGs and PPGs submitted must provide evidence that they have been discussed

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[58] See 2015-2019 Medium-Term Strategy is available on the STDF website:
http://www.standardsfacility.org/sites/default/files/Mid_term_Strategy_2015_2019_EN.pdf

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with, and have the support of, the concerned government and private sector stakeholders. Government agencies, the private sector, and academic or other organisations that support the PPG application should be clearly identified and letters of support from these organisations are strongly encouraged:

– Projects submitted under the responsibility of one government ministry or organization should produce evidence of support for the project across all relevant government ministries or organizations, as well as from any relevant private sector associations;

– Projects submitted under the responsibility of private sector organizations should include letters of support from the relevant competent governmental authority or authorities;

– Regional projects should include letters of support for the project on the part of all the national governments concerned.[59]

KNOWLEDGE PLATFORM

The STDF supports SPS capacity-building in developing countries through identification and dissemination of good practice. According to the Medium-Term Strategy 2015-2019:

The STDF is a knowledge sharing platform. It provides an opportunity to obtain constructive and technical feedback on SPS capacity building initiatives and seek advice on establishing synergies, avoiding duplication and incorporating good practice. Central to this effort is the STDF Working Group, where technical-level representatives of STDF partners, donors and other organizations, as well as developing country experts, share their SPS experiences and lessons learned with a wider audience, so that other development partners and beneficiaries can learn and enhance the results of their own activities. Information is shared on specific projects and initiatives or linked to general cross-cutting topics of common interest to partners, donors and beneficiaries.

The STDF's work on good practice may result in publications, briefing notes, audio-visual material, joint consultations and other events at the global and/or regional level. The STDF's Communications Plan, developed in 2016, aims at supporting the delivery of Mid-Term Strategy (2015-2019) in raising awareness among the key stakeholders in developing country governments, priority audiences and the broader trade and development community, and strengthening the Facility's focus on Results-Based Measurement by helping in identifying and communicating results. The document outlines core objectives and audiences of the STDF's communications as well as plans and opportunities for communication products and channels, including short communication guidelines for WG members, projects and other relevant organisations. The STDF uses three main mechanisms to promote its knowledge platform:

Figure 4. User access to STDF website by region

– Internet and communication technologies;

– events; and

– thematic topics.

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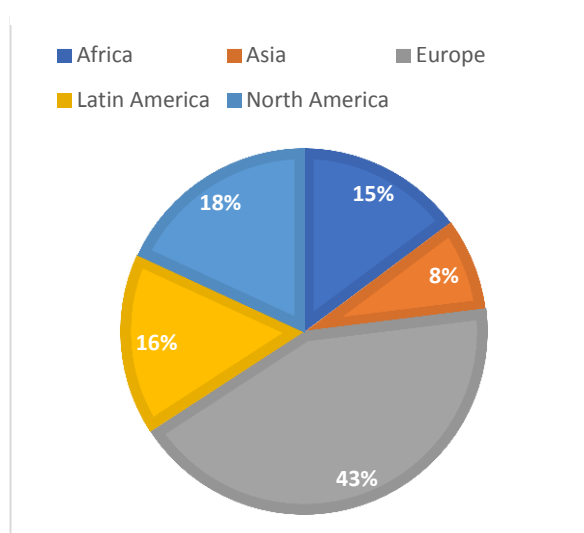
[59] See STDF Guidance Note on:
http://www.standardsfacility.org/sites/default/files/STDFGuidanceNote_English_FINAL_2015.pdf

INTERNET AND COMMUNICATIONS TECHNOLOGIES

The main communication tools used by the STDF to disseminate information on its activities and PGs/PPGs are the internet and other information and communication technologies. The main communication tools are:

STDF website/YouTube

The new STDF website, launched in 2014, is an important source of information, including open access to key documents, annual reports, PGs and PPGs documents. In 2017, there were over 22,300 sessions logged on the STDF website (increased by close to 4% from 2016).

STDF library

The Library gathers SPS capacity-building documents (feasibility studies, needs assessments, project documentation, evaluation reports, training materials, etc.) in a searchable, online information repository known as the STDF Library. It has a total of 713 documents (663 in English, 24 in French and 26 in Spanish). The Secretariat is responsible for inserting documents into the platform when forwarded/provided by partners, donors and other organisations.

STDF electronic distribution service (Newsletter)

The STDF's electronic distribution service is used on a regular basis to obtain and disseminate information. In 2017, for example, 13 STDF news items were distributed to 4,400 subscribers (increased from 2,600 in 2016).

Table 9 below outlines some analytics from the STDF website of 2016/2017.

Table 9. STDF website analytics, 2016-2017

	2016	2017
Page views	72,058	63,276
Publication downloads	9,660	11,618
Visitors to the website	81.9% of the users are new visitors. 18.1% of the users are returning visitors.	62.1% of the users are new visitors. 37.9% of the users are returning visitors.
YouTube views	5,061	7,015
E-newsletter subscribers	2,600	4,400

EVENTS

The STDF Secretariat has organized events, aiming at sharing good practice to support SPS capacity-building. From 2013 to 2017, 11 events were organised. The events were organised with the objective of disseminating good practices resulting from PG/PPGs or addressing priority issues for the platform.

Table 10 below outlines all the events organised by the STDF from 2013 to 2017. It also determines whether the motivation for its organisation came from PGs, PPGs and/or thematic topics.

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Table 10. Events organised by the STDF Secretariat, 2013-2017

Year	Event	PGs	PPGs	Thematic topics
2017	Costs and benefits of Foot-and-Mouth disease (FMD) Control for Livestock Trade		x	
	Transitioning from paper-based to automated SPS systems	x		x
	SPS Assistance for Development: the case for French-speaking Africa	x		
2016	STDF guide to help Prioritize SPS Investments for Market Access (P-IMA)	x		x
	Facilitating trade: going paperless with electronic SPS certification	x		x
	Spicing-up development assistance: How SPS requirements triggered a transformational change in Sri Lanka's cinnamon sector	x		
2015	Effective Implementation of SPS Measures to Facilitate Safe Trade			x
2014	Implementing SPS measures to facilitate safe trade			x
2013	Beyond Compliance: Integrated Systems Approach for Pest Risk Management in Southeast Asia	x		
	Public-Private Partnerships in a Value Chain Context			x
	Prioritizing SPS Investments for Market Access (P-IMA)			x

THEMATIC TOPICS

The STDF works with priority themes for which it dedicates a web page with more detailed information on each chosen topic. The themes are:

- Capacity evaluation tools;

- Electronic SPS certification;

- Facilitating safe trade;

- Good regulatory practice;

- Prioritizing SPS Investments for Market Access (P-IMA); and

- Public-private partnerships.

The thematic areas are discussed and defined by the Working Group. The STDF Secretariat prepares background/concept notes if requested by the WG. Apart from the Good Regulatory practice theme (which started in 2018), all topics have resulted in briefing notes, publications, audio-visual material and other events at the global and/or regional level. Examples of topics addressed by the STDF in the past relate to the use of economic analysis to inform SPS decision-making, SPS risks and climate change, international trade and invasive species, regional and national SPS coordination mechanisms, public-private partnerships and facilitating safe trade.[60]

PROJECT PREPARATION GRANT OPERATIONS

The objective of Project Preparation Grants (PPGs) is to contribute to the preparation of technically sound and sustainable projects in developing countries (application of SPS-related capacity evaluation tools,

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[60] See 2015-2019 Medium-Term Strategy is available on the STDF website:
http://www.standardsfacility.org/sites/default/files/Mid_term_Strategy_2015_2019_EN.pdf

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preparation of feasibility studies and/or formulation of project proposals) to address specific SPS capacity-building needs linked to trade. Initially these were focused on preparing project documents for submission to the STDF and donors for further findings but have evolved to include feasibility studies, cost/benefit analysis and the use of capacity and needs assessment tools to help beneficiaries better understand their needs (which can include project support but can also include needs that can be addressed internally). Therefore PPGs provide a broader diagnostic framework rather than simple proposal preparations and utilise the diagnostics tools of both the STDF (e.g. P-IMA) and implementation partners (e.g. IPPC diagnostic).

Since 2005, the STDF has contracted (completed and on-going) 85 PPGs. Applications are open to public bodies, private sector operators and NGOs and must be made 60 days prior to the STDF Working Group Meeting with a "normal" ceiling of US$50,000. The main award criterion for decision making at the STDF Working Group meetings is the likelihood that PPG implementation will result in a well-drafted proposal with the potential to achieve sustainable and effective results (applicants are encouraged to consult other potential donors as resulting projects could be funded by the STDF or other donors).

Analysis of STDF Annual Reports 2014-2017[61] shows the range of PPG grants approved as illustrated in Table 11 below.

Table 11. Project Preparation Grants (PPGs), 2014-2017

	2014 (approved)	2015 (approved)	2016 (approved)	2017 approved)
Applications Received	18	18	37	29
Applications Approved	5	5	11	7
Total Value US$ mn (STDF contribution)	US$ 0.2 mn	US$ 0.3 mn	US$ 0.5 mn	US$ 0.3 mn
Number of PPGs by Region				
Global PPGs	1 (US$ 0.08 mn)	1 (US$ 0.75 mn)		
Africa PPGs	2 (US$ 0.07 mn)	2 (US$ 0.86 mn)	3 (US$0.13 mn)	5(US$ 0.23 mn)
Asia-Pacific PPGs	1 (US$ 0.03 mn)	2 (US$ 0.95 mn)	6 (US$0.27 mn)	2 (US$ 0.09 mn)
LAC PPGs	1 ($0.05 mn)		2 (US$ 0.11 mn)	
Number of PPGs by category(implemented)[62]				
Food Safety	2	2	5	3
Animal Health	2	2	1	
Plant Health	1		4	2
Cross Cutting		1	1	2

Based on the STDF Results Booklet, between 2004 and 2017, the STDF undertook 33 PPGs in food safety; 10 in animal health; 24 in plant health and; 24 in cross-cutting issues. The overall impact and results of these PPGs has been assessed in an anecdotal way.

Importantly, following specific PPGs, the STDF Secretariat staff engages in follow-up activities (as time allows) to develop and implement recommendations from the PPGs. There is, however, an expectation among beneficiaries that PPGs (particularly those involving preparation of project documentation) will be taken up by the STDF as a project, although this is not the intention of PPGs as they are envisaged by the STDF more as needs assessments for wider consideration and follow-up by other donors.

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[61] http://www.standardsfacility.org/stdf-annual-reports
[62] Please note breakdown by thematic area has not been provided in Annual Reports 2014-16.

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PROJECT GRANTS

The objective of STDF project grants is to strengthen SPS capacity in developing countries in food safety, animal and/or plant health issues that affect the ability of developing countries *to gain and/or maintain market access. Since 2003, the STDF has contracted (completed and ongoing) 84 PGs.* Applications are open to public bodies, private sector operators and NGOs and must be made 60 days prior to the STDF Working Group Meeting and although there is no minimum limit on the size of projects[63], they are preferably between US$250,000 and US$1 million. Priority is given to projects that:

- identify, develop and disseminate good practice in SPS-related technical cooperation, including the development and application of innovative and replicable approaches;

- apply regional approaches to address SPS constraints;

- implement collaborative approaches across food safety, animal and plant health and trade, and benefit from the involvement of two or more STDF partners or relevant organizations.

Beneficiaries must contribute to the project from their own resources, either in the form of financing or in-kind contributions (Least Developed Countries (LDCs) and Other Low Income Countries (OLICs) minimum 10% of STDF contribution; Lower Middle Income Countries (LMICs) 20%; Upper Middle Income Countries (UMICs) 60%).

Analysis of STDF Annual Reports 2014-2017[64] shows the scope of STDF project grants as summarised in Table 12.

Table 12. Project Grants, 2014-2017

	2014 (approved)	2015 (approved)	2016 (approved)	2017 (approved)
Applications Received	9	21	19	26
Applications Approved	4	5	1	9
Total Value US$ mn (STDF contribution)	(US$ 3.0 mn)	(US$ 4.09 mn)	(US$ 0.35 mn)	(US$ 3.89)
Number of Projects by Region				
Global Projects		1 (US$ 1.12 mn)		2 (US$ 0.73 mn)
Africa Projects	3 (US$ 2.22 mn)			3 (US$ 1.27 mn)
Asia-Pacific Projects	1 (US$ 0.83 mn)	1 (US$ 1.00 mn)	1 (US$ 0.35 mn)	3 (US$1.79 mn)
LAC Projects		3 (US$ 1.97 mn)		1 (US$ 0.09 mn)
Number of Projects by category[65]				
Food Safety	2	1	1	2
Animal Health		1		4
Plant Health	1	3		2
Cross Cutting	1			1

The 2016 STDF annual report provides details on the financial leverage of project funds (in-kind and financial contributions):

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[63] The STDF does not provide funding for buildings, vehicles or other major equipment items, with the qualified exception of information technology, laboratory and minor equipment items that are necessary to achieve the specific outputs and objective of the project. Funding provided for information technology, laboratory and minor equipment items shall not exceed 10% of the total STDF contribution to the project.
[64] http://www.standardsfacility.org/stdf-annual-reports
[65] Please note breakdown by thematic area has not been provided in Annual Reports 2014-16.

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By the end of 2016, the STDF had approved 76 projects to enhance SPS capacity, with a total STDF contribution of US$37.3 million. These projects have successfully leveraged approximately US$23.5 million in additional resources (financial contributions and in-kind budgets) from governments, donors and the private sector.
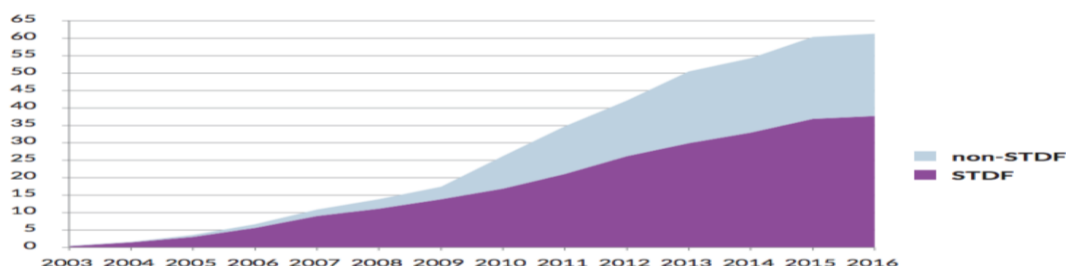
The 2018 meta-evaluation of STDF projects[66] found that 126 lessons learned were identified in the evaluation reports relating to project design and implementation, involvement of public and private sector actors, the sector context and the wider enabling environment of STDF projects.

The analysis identified four aspects of STDF projects that would benefit from more rigorous consideration:

1. The importance of grounding projects locally;

2. Unpacking and clarifying the theories of change of STDF projects;

3. Planning for sustainability of results; and

4. More systematic and focused attention to gender and the environment, within the context of broader socio-economic considerations and the Sustainable Development Goals.

Box 2. META-EVALUATION RECOMMENDATIONS

1. Quality of evaluations. Continue to safeguard the quality and comparability of STDF project evaluations by mandating that the STDF Evaluation Guidelines are applied both to ex-post evaluations and end-of-project evaluations commissioned by project implementers, and encouraging the use of theory-based approaches to evaluation to more clearly distinguish between outputs and outcomes.

2. Timing and coverage of evaluations. Ensure that STDF project evaluations are not conducted more than two years after the end of a project and conduct ex-post evaluation mainly for projects that can be expected to have contributed to sustainable higher-level results (impact and sustainability).

3. Project quality. Consider all STDF projects to be part of on-going complex and constantly changing processes in beneficiary countries and regions, which means consideration of local contexts, theory based results frameworks, adaptive management, and follow-up.

4. Development focus. Integrate aspects of poverty, gender and environment, within the context of broader socio-economic considerations and the Sustainable Development Goals, into project design and implementation.

5. Lessons learned. Deepen analysis and disseminate lessons learned and good practice from STDF projects and those of other donors within specific themes, e.g. poverty reduction, gender, the country level context and sector development/value-chain approaches.

However, funds for projects are limited and the STDF Secretariat considers that the STDF should be a "funder of last resort" and during the vetting process, will always check that other sources for funding have been explored. Moreover, informally priority is given to projects that relate to thematic areas agreed by the STDF WG so that project learning can feed into thematic knowledge acquisition.

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[66] By September 2017, 61 STDF projects had been completed, of which 25 projects (41%) had been evaluated ex-post by external evaluators. A total of 22 evaluation reports were included in the assessment of quality and results.

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Box 3. CROSS-CUTTING ISSUES

From 2015, the STDF began to pay attention to so-called cross-cutting themes, highlighting gender and environment in their projects. The STDF started to highlight cross-cutting issues within its projects aiming at better communicating how its work contributes towards higher-level impact.

The 2017 Annual report also highlighted cross-cutting issues, and the Sustainable Development Goals (SDGs) were the common thread in the report.

ANNEX 4. PROJECT WORK PLAN

The team was somewhat constrained by the ambitious time schedule for delivery of the Evaluation as stipulated in the Terms of Reference. After discussions with the STDF Secretariat on extending these deadlines, and the practical logistics of obtaining meaningful feedback from the Working Group in time for consideration and amendment of the report prior to the STDF Policy Committee meeting meant that the deadlines could not be extended. This placed time pressure on the evaluation process. Despite this, all the activities agreed in the inception report were undertaken to produce as extensive evaluation of the STDF as possible.

Based on these deadlines the following project plan was adopted and implemented that allocated resources given budgetary and time constraints and the resulting evaluation has to be reviewed with the balance in mind.

Table 13. Project Work Plan

Evaluation of STDF			Mark Hellyer	Priscilla Negreiros	Joanna Seppala	Steve Homer
		TOTAL	**55**	**55**	**30**	**10**
Phase I	First week of September 2018	First mission to Geneva • Interviews with STDF Secretariat staff and document collection	2	3		
	21 September 2018	Submission of Draft inception report based on following tasks: • Document review • Evaluation Q's • Preparation of draft report	8	5	3	1
	12 October 2018	Submission of final inception report • Revision of report based on comments	2	2	1	
	19 October 2018	Endorsement of inception report by Evaluation Steering Group, after consultation with the STDF Secretariat • Revisions as requested	1	0	0	
			13	**10**	**4**	**1**
Phase II	19 October (or immediately after approval of inception report) – 30 November	Literature review and STDF documents including comparing with other programmes	1	5	7	2
		Rome/Paris mission interviews	4	0	0	
		Email survey/analysis	2	10	12	
	Week of 29 October –2 November 2018	Second mission to Geneva • Attend STDF Working Group on 29-30 October/WTO SPS Committee • KSI with WG	5	5	2	
		Case study visits	10	10	0	
	14 December 2018	Submission of draft evaluation report (for circulation to STDF Working Group) • Analysis and Drafting of report	10	10	2	5
	18 January 2019	Deadline for comments by STDF Working Group				

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Evaluation of STDF			Mark Hellyer	Priscilla Negreiros	Joanna Seppala	Steve Homer
		TOTAL	**55**	**55**	**30**	**10**
	1 February 2019	Submission of final draft evaluation report (for circulation to STDF Policy Committee) • Update and amendments	2	1	0	
			34	**41**	**23**	**7**
Phase III	February 2019	Third mission to Geneva (presentation of final draft report to STDF Policy Committee) • Preparation of presentations • Presentation	3	2	2	
	1 March 2019	Submission of final evaluation report • Consideration and revisions of inputs based on discussions in Geneva • Final amendments	5	2	1	2
			8	**4**	**3**	**2**

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ANNEX 5. EVALUATION FRAMEWORK

RELEVANCE

Assessment Criteria	Indicator	Sources of Information
A1) Are STDF activities and projects consistent with the capacity development needs and priorities of developing countries in the areas of food safety, animal and plant health, and trade? To what extent do the challenges and needs that give rise to the STDF still exist? How is the support provided by the STDF relevant and adequate to the requirements to gain and maintain market access and facilitate safe trade in the current global trade context?		
A1.1 Overall Objectives		
A1.1.1 How are the challenges of SPS measures in developing countries evolving and does the STDF respond to these?	The thematic areas of support and the activities under the different deliverables match the current needs of developing countries in SPS.	• Internet research of needs (e.g. World Bank, EU or academic studies etc.) • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Interviews with stakeholders in country during field research
A1.1.2 Are STDF activities for SPS a "trade enabler"?	Is there an explicit link between the types of activities delivered by the STDF and increases in trade, or are they implicitly "assumed"?	• Review of STDF documentation (results, annual reports and meta-evaluation) • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Interviews with stakeholders in country during field research
A1.2 STDF Structure		
A1.2.1 Does the STDF react to address changes in importing country SPS regimes rather than reacting to emerging SPS crises?	The STDF considers specific trade concerns raised in the SPS committee in selecting projects. Donor projects in SPS mostly address disease or other emerging crises.	• Interviews with donors • Stakeholder survey • Interviews with stakeholders in country during field research
A1.2.2 Does the STDF's structure provide value-added?	The STDF uses the expertise of its founding partners not available to others to deliver. The STDF is structured so that it is accessible to beneficiaries/beneficiary countries. STDF is represented in external meetings at appropriate technical level, subject to their competence.	• Internet research on benchmarking to compare against other similar programmes • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.), donors, developing country experts • Stakeholder survey • Interviews with stakeholders in country during field research
A1.3 Deliverables		
A1.3.1 All Outputs: Do the outputs match the needs of the beneficiary countries?	The topics subject to delivery in each output match the key issues facing developing countries in accessing markets.	• Review of STDF documentation (results, annual reports and meta-evaluation) • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Stakeholder survey • Interviews with stakeholders in country during field research

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Assessment Criteria	Indicator	Sources of Information
A1.3.2 <u>Knowledge platform:</u> To what extent do beneficiaries and developing countries use the STDF as a knowledge platform to address their needs?	Working Group Members and developing countries access information on the STDF platform and are consulted about themes and topics relevant to national issues.	• Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Interviews with stakeholders in country during field research • Review of STDF documentation (meta-evaluation, briefings notes, publications)
A1.3.3 <u>PPGs and Project Grants</u>: To what extent are PPGs and project grant applications "owned" by national stakeholders?	National/Regional beneficiaries/applicants initiate the concept and drive the application process (not implementing partner or the STDF Secretariat).[67]	• STDF meta-evaluations • External project Evaluations • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Stakeholder survey • Interviews with stakeholders in country during field research
A2) How relevant is the STDF for the SPS policies and strategies of the STDF founding partners and donors, including in the context of the broader Aid for Trade initiative? How do STDF activities and projects complement or align with those policies and strategies? What is the comparative advantage of partners and donors working together in the STDF?		
A2.1 Overall Objectives		
A2.1.1 How do STDF activities and projects complement or align with those policies and strategies of founding partners and donors?	The STDF's objectives are the same (or sub-set) of partner objectives in SPS and trade and/or bridge a gap that partners are unable to fulfil.	• Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group, WTO, EU, DFID and other major donors to STDF) • Stakeholder survey
A2.2 STDF Structure		
A2.2.1 How open is the STDF to inputs from beneficiaries/beneficiary countries?	Developing countries feel that their voice and priorities are reflected in the STDF agenda, governance and priorities/work plans.	• Stakeholder survey • Interviews with stakeholders in country during field research
A2.3 Deliverables		
A2.3.1 <u>Coordination/dialogue</u>: Do members of the STDF use the platform as an international dialogue and coordination mechanism?	Partners and donors use the STDF to learn about different programs and projects in SPS-related technical coordination.	• Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.). • Review of STDF documentation (Working Group reports) • Stakeholder survey
A2.3.2 <u>Knowledge platform:</u> Does the STDF knowledge platform complement the information produced and gathered by other partner institutions? What is the value-added of the STDF knowledge platform?	The STDF's thematic areas of support and information have different or complementary information from those of partners' websites.	• Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.). • Review on partners' websites. • Review of STDF documentation (Thematic topics and website)

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[67] A finding from the meta-evaluation was that projects needed to be better at being "locally owned".

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Assessment Criteria	Indicator	Sources of Information
A2.3.3 PPG: Do the PPGs play a pivotal role in designing donor interventions?	Founding members and partners use the PPGs and find unique points of difference/value-added from this approach versus their own project development.	• Review of STDF documentation (results, annual reports and meta-evaluation) • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.)
A2.3.4 Projects: Do projects complement or leverage partner donor funds; would projects still have happened without the grants?	Project grants are critical leverage for other donor funds to be accessed for SPS projects.	• Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Survey of donors • Interviews with beneficiaries.

EFFECTIVENESS

Assessment Criteria	Indicator	Sources of Information
B1) How have the outputs and outcome in the STDF medium-term strategy been achieved? To what extent have the outputs and outcome contributed to the programme goal? What role have external factors played? Are there any unintended outcomes?		
B1.1 STDF Structure		
B1.1.1 How effective is the STDF in achieving the outputs and outcome? To what extent have these contributed to the programme goal?	The STDF is structured in a way that enables effective delivery of outputs and outcome. There is adequate resourcing for implementing outputs and outcome in the STDF Medium-Term Strategy and work plans. Achievement of outputs and outcome contributes to "increased capacity of developing countries to implement international SPS standards, guidelines and recommendations and hence ability to gain and maintain market access".	• Review of STDF documentation (results, annual reports, other key documentation) • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.), donors, developing country representatives • Interviews with STDF Secretariat • Stakeholder survey • Interviews with stakeholders in country during field research
B1.2 Deliverables		
B1.2.1 Coordination/dialogue: Is the Working Group an effective coordination mechanism?	Partners and donors use the WG to exchange information on current activities and issues to increase understanding and cooperation. Developing countries do not routinely participate in the Working Group but the STDF is still reaching out to ensure they learn from STDF approaches.	• Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Stakeholder survey • Benchmarking/comparison to other similar programmes
B1.2.2 Knowledge platform: Has the target audience of the STDF knowledge platform access to STDF products (website, external events, thematic topics and publications)?	There is a defined target audience to each of STDF knowledge mechanisms (the WG, events, website, and thematic topics). The participants of the WG find positive the presentations and debates being held during the WG.	• Review of STDF documentation (results, annual reports and meta-evaluation) • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Interviews with stakeholders in country during field research

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Assessment Criteria	Indicator	Sources of Information
B1.2.3: <u>PPGs</u>: What is the conversion rate between PPG implemented and follow-up project? What is the leverage rate? What is the percentage of follow-up with STDF project input?	PPGs lead to SPS projects and support in beneficiary countries from other donors.	• Review of STDF documentation (results, annual reports and meta-evaluation) • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Interviews with stakeholders in country during field research
B1.2.4: <u>Projects</u>: Do the STDF Projects contribute to enhanced SPS capacity in beneficiary countries?	Project objectives (aggregate level) match the STDF objectives and produce additional benefits.	• Review of STDF documentation (results, annual reports and meta-evaluation) • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Interviews with stakeholders in country during field research
B2) How effective is the STDF in measuring progress towards achieving outputs, and contribution to the desired outcome, and in communicating results?		
B2.1 STDF Structure		
B2.1.1 Does the STDF's structure enable effective results measurement and communications of results?	There are sufficient resources for M&E and results communications activities within the STDF structure. The appropriate systems and processes are in place, ensuring the right information is available at the right time for reporting, learning, adaptation and decision-making.	• Review of STDF documentation (results, annual reports, M&E documents, website, other key documentation) • Interviews with STDF Secretariat and M&E Consultant • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.), donors, developing country experts • Stakeholder survey • Interviews with stakeholders in country during field research
B2.1.2. How effectively does the STDF engage with the findings generated through the results measurement?	M&E is not perceived as a standalone activity; results and learning are engaged with, and lead to adaptations in management and/or are leveraged strategically, when needed.	• Review of STDF documentation (results, annual reports, M&E documents, website, other key documentation) • Interviews with STDF Secretariat and M&E Consultant • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.), donors, developing country representatives • Stakeholder survey • Interviews with stakeholders in country during field research
B2.1.3 Has the RBM and results reporting functioned sufficiently well?	The STDF captures and reports longer-term results other than mere activities or immediate outputs.	• Review of STDF documentation (results, annual reports, M&E documents, website, other key documentation) • Interviews with STDF Secretariat and M&E Consultant
B2.2 Deliverables		

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Assessment Criteria	Indicator	Sources of Information
B2.2.1 <u>All Outputs</u>: Does the STDF monitor all outputs as per its lograme?	M&E reports show indicators (and beyond) and measure performance and outcomes.	• Review of STDF documentation (results, annual reports and meta-evaluation) • Interviews with STDF Secretariat
B2.2.2 <u>All Outputs</u>: Are results communicated effectively?	Partners and beneficiaries are fully aware of STDF activities, benefits and impact and learning is shared.	• Review of STDF documentation (annual reports, website, google search and event reports) • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Stakeholder survey • Interviews with stakeholders in country during field research

EFFICIENCY

Assessment Criteria	Indicator	Sources of Information
C1) Has the STDF made efficient use of time and resources toward achieving the outputs? Are the organisational arrangements and systems for managing the STDF adequate?		
C1.1 STDF Structure		
C1.1.1 How efficient is the STDF in delivering outputs?	Operational structure, processes and resources are adequate for delivering timely, cost-efficient activities and outputs.	• Review of STDF documentation (results, annual reports, other key documentation) • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.), donors, developing country experts • Interviews with STDF Secretariat • Stakeholder survey • Interviews with stakeholders in country during field research
C1.1.2 How efficient is the STDF Secretariat in delivering outputs and responding to the different objectives of the Facility?	The Secretariat is structured in an efficient way and has adequate resources (funding, staff) for delivering outputs and work plan activities in a timely, cost-efficient manner to optimal level of quality.	• Interviews with STDF Secretariat • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.), donors, developing country experts
C1.2 Deliverables		
C1.2.1 <u>Coordination and knowledge platform:</u> Does the STDF receive and regularly submit relevant information to its members and do members use this information and for which purpose?	Relevant information exchanged between members in a regular and organised manner. Members use the information to benchmark and improve their own projects.	• Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.). • Interviews with STDF Secretariat. • Stakeholder survey

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Assessment Criteria	Indicator	Sources of Information
C1.2.2 <u>Projects and PPGs</u>: Are Grants approved and implemented effectively?	Projects and PPG are approved and implemented in a timely manner in line with similar projects implemented by other donors.	• Document review (M&E reports and meta-evaluation) • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Interviews with beneficiaries in country during field research
C2) What factors influence delivery and implementation of STDF activities and projects? How are risks managed? How have recommendations of the previous evaluation been implemented?		
C2.1 Overall Objectives		
C2.1.1 Were recommendations from previous evaluations taken into account?	Objectives, strategies and priorities have been altered and refocused.	• Review of STDF documentation (annual reports and event reports) • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.)
C2.2 STDF Structure		
C2.2.1 Does the STDF manage adaptively and mitigate risks effectively to ensure efficient delivery of outputs?	The STDF Secretariat has appropriate systems in place to manage adaptively and mitigate risks related to the implementation of the work plan. STDF structure enables timely course correction/adaptation in response to new information, changes and risks.	• Review of STDF documentation (annual reports, key documentation on processes) • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.), donors, developing country representatives • Interviews with STDF Secretariat • Stakeholder survey • Interviews with stakeholders in country during field research
C2.3 Deliverables		
C2.3.1 <u>PPG</u>: Did PPGs support increase in Aid for Trade (A4T) activities in beneficiary countries (that is led to more than would have been expected without STDF support)	Donors and beneficiaries acknowledge the extent to which PPGs increase A4T in SPS or improve quality of deliverables.	• Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Stakeholder survey (donors) • Interviews with stakeholders in country during field research
C2.3.2 <u>Projects</u>: How does the STDF monitor and manage project implementation to ensure delivery and risk management?	Projects are tracked and managed by the STDF Secretariat and guided to keep on track.	• Interviews with STDF Secretariat • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Interviews with stakeholders in country during field research

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SUSTAINABILITY

Assessment Criteria	Indicator	Sources of Information
D1) Are the results and outcomes achieved by the STDF - as knowledge platform and funding mechanism - likely to be sustainable?		
D1.1 Deliverables		
D1.1.1 <u>Knowledge platform</u>: Is learning (including project and PPG results and good practices) being shared in the STDF knowledge platform?	Evidence of the STDF promoting lessons learned on projects and PPGs and them being used by other stakeholders.	• Documentation review (M&E of PPGs) • Interviews with STDF Secretariat • Interviews with key stakeholders (FAO including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.)
D1.1.2 <u>PPGs</u>: Does the STDF have a mechanism/plan to follow up on results of PPGs?	Projects are owned locally by stakeholders/beneficiaries and engaged throughout the whole process from identification to implementation. The STDF is instrumental/influential in conversion from PPG to follow up project or other activities related directly to PPG findings.	• Documentation review (M&E of PPGs) • Interviews with STDF Secretariat • Stakeholder survey • Interviews with stakeholders in country during field research
D1.1.3 <u>Projects</u>: What does the STDF do to follow up after end of project?	STDF projects/project results continue (or continue to have impact) after end of projects.	• Documentation review (M&E reports) • Interviews with STDF Secretariat • Interviews with key stakeholders (FAO including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Interviews with stakeholders in country during field research
D2) What are the major factors that influence the achievement or non-achievement of sustainability?		
D2.1 Deliverables		
D2.1.1 <u>Coordination/ Dialogue / Knowledge platform</u>: Does the STDF encourage uptake of good practices, emerging from projects, among beneficiaries, donors and partners?	The STDF has organised events, disseminated publications or undertaken activities to promote good practices among its members.	• Documentation review (M&E of PPGs) • Interviews with STDF Secretariat • Stakeholder survey • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.)
D2.1.3 <u>PPGs</u>: Are the STDF's partnerships and role with international agencies pivotal in decisions for follow-up/implementation of recommendations/findings?	The STDF uses connections and network to increase chances of implementation of projects/recommendations from PPGs.	• Documentation review (M&E reports) • Interviews with STDF Secretariat • Interviews with key stakeholders (FAO including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Stakeholder survey • Interviews with stakeholders in country during field research
D2.1.4 <u>Projects</u>: Are the results of projects sustainable?	Projects are owned locally by stakeholders/beneficiaries and engaged throughout the whole process from identification to implementation. The STDF monitors or embeds sustainability into project grants. Evidence of results of previous projects is in effect. STDF project outcomes are integrated into the national official control systems, where appropriate.	• Documentation review (M&E reports) • Interviews with STDF Secretariat • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Interviews with stakeholders in country during field research

IMPACT

Assessment Criteria	Indicator	Sources of Information
E1) How do STDF activities and projects contribute to observed changes in beneficiary countries (improved capacity of SPS institutions, improved SPS situation, enhanced market access, etc.)? Are there any unintended changes?		
E1.1 Deliverables		
E1.1 <u>All Outputs</u>: Have activities led to observed changes in SPS and market access in beneficiary countries?	Attributable link (result chain) between STDF activities and improvements in beneficiary countries' trade and food safety/public health situation.	• Documentation review (M&E reports, website and knowledge platform) • Interviews with STDF Secretariat • Review of STDF documentation (results, annual reports and meta-evaluation) • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO etc.) • Interviews with stakeholders in country during field research (including SPS authorities)
E2) How has the STDF had an influence on the SPS and Aid for Trade policies and priorities of the founding partners, donors and other relevant stakeholders including regional organisations and beneficiary countries? How is the STDF linked to and establishing synergies with other relevant funding mechanisms?		
E2.1 Deliverables		
E2.1.1 <u>All Outputs</u>: Has the STDF increased prioritization of SPS issues in Aid for Trade (A4T)?	Increased prioritization of key SPS issues (based on thematic work, PPGs, coordination activities and/or projects) in A4T and other activities of donor partners.	• Review of STDF documentation (results, annual reports and meta-evaluation) • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO and major donors) • Survey of donors • Interviews in country with A4T coordinators of beneficiary governments (observed and causal linkages)

CROSS-CUTTING ISSUES

Assessment Criteria	Indicator	Sources of Information
F1) To what extent have cross-cutting issues (gender, environment and poverty alleviation) been mainstreamed in the STDF activities and can examples of positive or negative effects on gender equality be identified? Could mainstreaming be improved in planning and implementation under the next strategy period?		
F1.1 Overall Objectives		
F1.1.1 Is the STDF Secretariat aware of major gender, environmental and poverty issues relevant to SPS?	Relevant issues are explicitly recognised and included in STDF activities.	• Review of STDF documentation (results, annual reports and meta-evaluation) • Interview with STDF Secretariat • Interviews with key stakeholders (FAO (including Codex and IPPC Secretariats), OIE, WHO, the World Bank Group and WTO) • Interviews with stakeholders in country during field research

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Assessment Criteria	Indicator	Sources of Information
F1.2 Deliverables		
F12.1 <u>All Outputs</u>: Are there any cross-cutting issues addressed in STDF activities?	Cross-cutting issues are observed in STDF activities both in planning and implementation (particularly SDGs). Cross-cutting issues are explicitly targeted, appear as funding criteria and/or are monitored as part of M&E process.	• Review of STDF documentation (results, annual reports and meta-evaluation) • Interview with STDF Secretariat • Interviews with stakeholders in country during field research

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ANNEX 6. LIST OF INTERVIEWEES

Name	Organization	Designation/Position
Nicola Bauman	Australia - DFAT	DFAT focal point
Oliver DORAISAMY	Australia - Ministry of Foreign Affairs	Geneva mission
Florence Chege	CABI (Kenya)	Project Manager STDF Projects
George Oduor	CABI (Kenya)	Global Director, Trade & Commodities, STDF contact person in CABI
Washington Otieno	CABI (Kenya)	Former STDF Developing Country Expert
Christine Alokit	CABI (Uganda)	Project Implementer
Julie EMOND	Canada - Ministry of Foreign Affairs	Geneva mission
Brent Wilson	Canada - Agriculture and Agri-Food Canada (Technical Trade Policy Division)	Deputy Director
Gracia Brisco	CODEX	Senior Food Standards Officer
Hilde Kruse	CODEX	Food Standards Officer
Morag WEBB	COLEACP	Policy Adviser
Joyce Brenda N. Kaddu Kisingiri	Department of Crop Inspection and Certification	Project Beneficiary
Benoit Gnonlonfin	Developing Country Expert (Benin)	Developing Country Expert (Benin)
Sanniel WILSON	Developing Country Expert (Jamaica)	Developing Country Expert (Jamaica)
Geoffrey Onen	Directorate of Government Analytical Laboratory	project Beneficiary
Dr Kimutai Maritim	Directorate of Veterinary services	CODEX Africa Liaison
Anno Galema	Embassy of Netherlands (Uganda)	STDF Project Partner
Aloys Lorkeers	EUD	Head of Section Sustainable Development
Massimo DIOMEDI CAMASSE	EUD	Trade Adviser
Philippe JACQUES	European Commission	DG International Cooperation and Development
Beatriz Bussi	European Commission (Guatemala)	Cooperation officer in EU Guatemala Delegation
Ahmad Mukhatar	FAO	FAO Liaison Geneva
Baogen Gu	FAO	Plant Production and Protection Division
Carmen Bullon	FAO	Legal Officer
Daniella Bataglia	FAO	
Ekaterina Krivonos	FAO	Trade and Markets Branch
Eleonora DUPOUY	FAO	Food safety and second focal point in FAO
Esther Garrido Gamarro	FAO	Fisheries Trade Dept
Georgios Merkigkas	FAO	Trade and Markets Branch
Julio Pinto	FAO	Senior Evaluator

Name	Organization	Designation/Position
Mary Kenny	FAO	Former FAO STDF focal point
Orlando Sosa	FAO	Plant Protection Department
Renata Clarke	FAO	Former Chair of STDF
Priya Gujadhur	FAO Uganda	Deputy Country Representative
Querido Antonio Luis Ferreira	FAO Uganda	Country Representative
Yong Zhen Yang	FAO/CODEX	Secretary of Database on Pesticide Residuals
Mika VEHNAMAKI	Finland - Ministry of Foreign Affairs	Commercial Counsellor
Catherine Constant	France - Ministry of Foreign Affairs	EC/DG SANTE
Christophe BLANC	France - Ministry of Foreign Affairs	Geneva mission
Stefan Pletziger	Germany - GIZ	Sector Project "Agricultural Trade, Agricultural Economic Promotion, Agricultural Finance"
Anne Gerardi	GFSI	Senior Project Manager
Dr. Reinhild Ernst	Global Donor Platform for Rural Development	Secretariat coordinator
Oliver Hanschke	Global Donor Platform for Rural Development	Communication Adviser
Benjamin Tyler Smith	Green Growth Knowledge Platform	Senior Knowledge Management Officer
Moisés Mérida	Guatemala - AGEXPORT	Director of International Partnerships
Zsolt Gerendas	Guatemala - AGEXPORT	Coordinator of Laboratories
Byron Efraín Gil Morales	Guatemala - Ministry of Agriculture	Analyst
David Orellana	Guatemala - Ministry of Agriculture	Director of Animal Health, Ministry of Agriculture
Nery Sandoval	Guatemala - Ministry of Agriculture	Coordinator of the National Brucellosis program
Otto Maldonado	Guatemala - Ministry of Agriculture	Chief of the Traceability Department
Juan Padilla	Guatemala - National Laboratory of Animal Safety	Coordinator
Mayra Motta	Guatemala -LARRSA	Director of the Laboratory of Animal Safety
Abelardo Viana	IICA	Specialist in Technology and Innovation
Robert Ahern	IICA	Leader, Agricultural Health and Food Safety
Ketevan Lomsadze	IPPC	
Larson Brent	IPPC	Implementation and Facilitation Unit Leader
Mary Barrett	Ireland -Department of Foreign Affairs and Trade	Deputy Director
Ludovica GHIZZONI	ITC	Adviser on Export Quality Management
Herbert Talwana	Makerere University	Project Beneficiary
Deepa Thiagarajan	Michigan State University	STDF Expert
Torun DRAMDAL	Norway - Ministry of Foreign Affairs	Senior Adviser
Ann Backhouse	OIE	Head of Standards Department
Gillian Mylrea	OIE	Deputy Head of Standards Department
Matthew Stone	OIE	DDG for International Standards

Name	Organization	Designation/Position
Herber Morales	OIRSA	Agrosanitary Official
Marcela Eugenia Peranza	OIRSA	Coordinator of the Regional Honey Program
Octavio Carranza	OIRSA	Technical Director, STDF focal point in STDF
Quincy LISSAUR	SSAFE	Executive Director
Marlynne Hopper	STDF	STDF Staff
Melvin Spreij	STDF	STDF Staff
Pablo Jenkins	STDF	STDF Staff
Roshan Khan	STDF	STDF Staff
Simon Padilla	STDF	STDF Staff
Ms Nazia Mohammed	STDF	STDF Staff
Ece Yalavac	STDF	STDF Staff
Elena Immambocus	STDF (consultant)	Communication consultant
Jens ANDERSSON	STDF (consultant)	M&E Consultant
Kees van der Meer	STDF (Consultant)	STDF (Consultant)
Spencer Henson	STDF (Consultant)	STDF (Consultant)
Karsten Weitzenegger	STDF Contractor	STDF Project Evaluator
Emili PEREZ	Sweden - SIDA	Program Specialist Trade and Private Sector Development
Henk EGGINK	The Netherlands - Ministry of Foreign Affairs	Geneva mission
Yara VAN'T GROENEWOUT	The Netherlands - Ministry of Foreign Affairs	Ministry of Foreign Affairs
Steve Hodges	Uganda Agribusiness Alliance	STDF Project Beneficiary
George Opiyo	Uganda National Bureau of Standards	SPS Enquiry Point
Hakim Mufumbiro	Uganda National Bureau of Standards	Manager Standards
Josephine HETHERINGTON	UK - DFID	Private Sector Development Advisor
Bernardo Calzadilla	UNIDO - GQSP	Director of the Trade Capacity Building
Monika KUBIEC-DOBOSZ	UNIDO - GQSP	Project Assistant
Kelly J. McCormick	United States - US FDA	International Policy Analyst
Kelly MARCH	United States - USDA	International Program Specialist
Bill Gain	World Bank Group	Trade facilitation support Program
Loraine RONCHI	World Bank Group	Incoming chair Working Group 2019 /agriculture
Steven Jaffee	World Bank Group	Lead Agricultural Economist
Amina BENYAHIA	World Health Organization (WHO)	Animal Health expert
Kazuaki MIYAGISHIMA	World Health Organization (WHO)	Chairperson STDF WG in 2015
Alan Wolff	WTO	Deputy Director-General
Christiane WOLFF	WTO	Counsellor Agriculture & Commodities Division SPS

Name	Organization	Designation/Position
Erik Wijkstrom	WTO	Secretary TBT Committee
John BRECKENRIDGE	WTO	Secretary of the Pension Plan
Michael ROBERTS	WTO	Head of the Aid for Trade Unit
Mr. Edwini Kessie	WTO	Director, Agriculture & Commodities Division

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ANNEX 7. SURVEY RESULTS

Given that the activities of the STDF are broad, and the stakeholders diverse (from national competent authorities to international SPS bodies), an e-survey was taken to capture the perception of implementers, ultimate beneficiaries, competent authorities and applicants about the STDF's work. The objective of the e-survey was to complement the interviews that were carried out in-person during the Working Group (October 2018) and by telephone. The e-survey was sent to four categories, comprising:

Implementers: Local, regional or global organisations that have implemented PGs/PPGs in the benefit of a third institution.

Ultimate beneficiaries: All ultimate beneficiaries of PGs/PPGs between 2014 and 2017, from government institutions to private sector.

Competent authorities: National authorities that are the enquiry points notification authorities to the SPS Committee in the WTO.[68]

Unsuccessful applicants: All applicants that had applied for STDF funds and have failed.

The survey aimed to target between 150 and 200 responses across the four groups of stakeholders and beneficiaries, so an initial list of over 289 contacts was required to the STDF Secretariat. It is worth noting that the survey had a very low response rate, with 30 answers in total, corresponding to 10% of stakeholders targeted.

Implementers – survey results

The implementers were the group with the highest number of answers, with 17 completed questionnaires of 68 delivered (equivalent to 25% of answers).

Based on the survey, most implementers believe that the PPGs/PGs executed have addressed to a great and very great extent the key issues the country of implementation/beneficiary country is facing in accessing markets, totalling 64.7% of the answers. Only 17.7% of the interviewees have stated that the projects address to some and a moderate extent, as show in the Figure 5 below:

Figure 5. Extent PPG/PGs are addressing the key issues of the beneficiary country in accessing markets
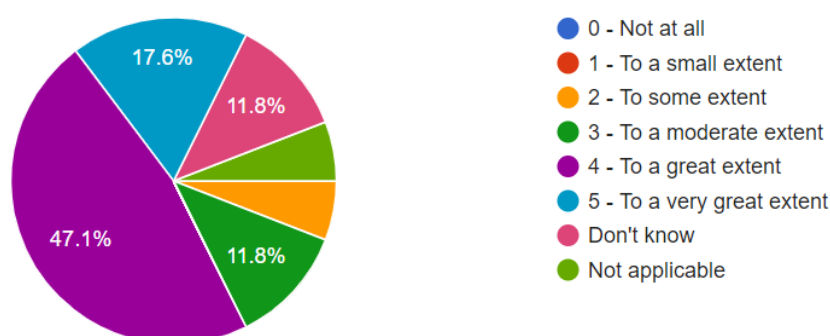
Also, according to the survey of implementers (Figure 6) regional stakeholders and/or beneficiaries have been involved to a very great and great extent in the PPG/PG concept development and application process, totalling 70.5% of the survey answers.

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[68] For the full list, please consult: http://spsims.wto.org/en/EnquiryPointsNotificationAuthorities/Search (accessed on December 4th 2018).

Figure 6. Participation of regional stakeholders and/or beneficiaries in the PPG/PG concept development and application process
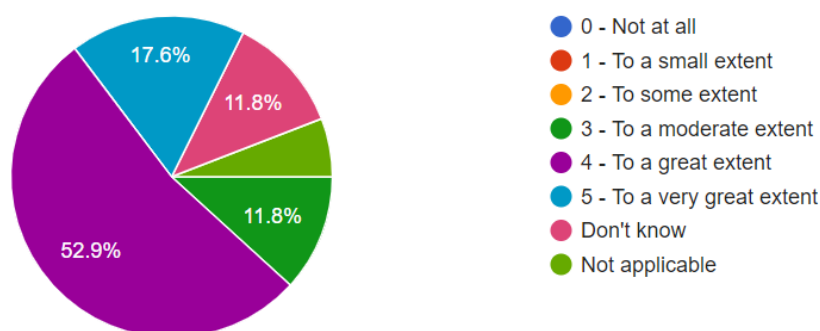

Considering the follow-up and sustainability of projects, 70.6% of implementers have indicated measuring the project's progress and communicated this to the STDT Secretariat. From those who answered having communicated with STDF Secretariat, 40.7% communicate every quarter with the Secretariat, 16.7% every month, 25% every six months, which show a certain irregularity of contact with the STDF Secretariat, according to Figure 7 below.

Figure 7. Regularity of communication between the STDF Secretariat and implementers
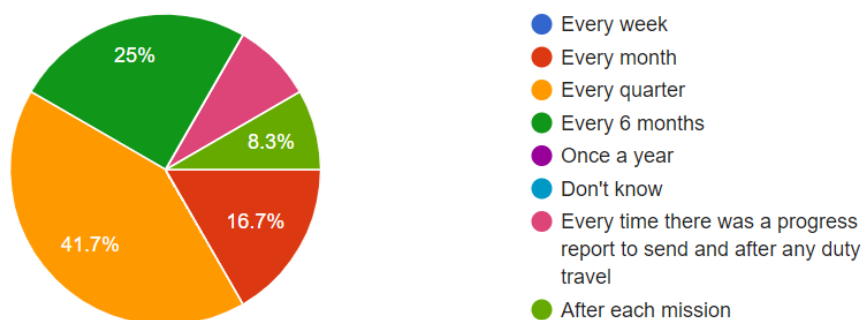
Concerning PPGs, 47.1% of implementers have declared the grants led to any other activities related directly to PPG findings, including other donor projects. From those 47.1%, 63.6% of implementers believed that the STDF facilitated or had been involved in any of these activities following from the PPG (Figure 8). The activities of the STDF Secretariat to assist finalised PPGs were helping with technical inputs, co-funding the later PPGs and disseminating the information from the findings.

Figure 8. STDF Secretariat participation that led to PPGs grants led to any other activities related directly to PPG findings, including other donor projects.
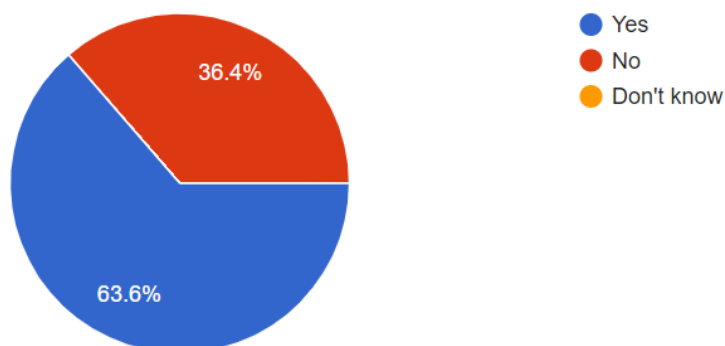
According to the survey, 100% of implementers have declared receiving relevant information on SPS from the STDF Secretariat, such as information on other STDF activities, good practices and/or lessons learned from PPGs/PGs. Most information was useful to a great and very great extent, as stated in Figure 9 below:

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Figure 9. How useful the information provided by the STDF Secretariat was for PG/PPGs implementers

- 0 - Not at all
- 1 - To a small extent
- 2 - To some extent
- 3 - To a moderate extent
- 4 - To a great extent
- 5 - To a very great extent
- Don't know
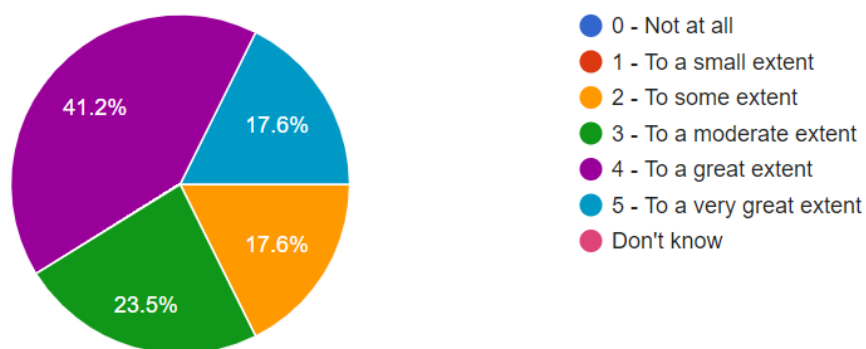
Ultimate beneficiaries – survey results

From 45 ultimate beneficiaries that have received the e-survey, only five have answered it, totalling 11% of completed questionnaires.

Based on the survey, most ultimate beneficiaries believe that the PPG/PGs executed have addressed to a great and very great extent the key issues the country of implementation is facing in accessing markets, totalling 60% of the answers. Another 40% of the interviewees have stated that the projects address to a moderate extent the same key issues, as show in the Figure 10.

Figure 10. Extent PPG/PGs are addressing the key issues the beneficiary country in accessing markets (ultimate beneficiaries)

- 0 - Not at all
- 1 - To a small extent
- 2 - To some extent
- 3 - To a moderate extent
- 4 - To a great extent
- 5 - To a very great extent
- Don't know
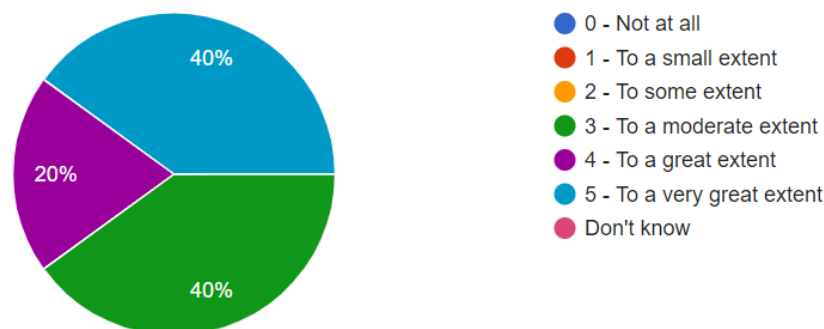
From ultimate beneficiaries, 60% had the possibility to be involved in in the PPG/PG concept development and application process. Differently from implementers, most ultimate beneficiaries haven't been reached out to on matters related to SPS capacity-building and STDF's work by the Secretariat, as stated in the Figure 11 below.

Figure 11. Has the STDF Secretariat reached out on matters related to SPS capacity-building and STDF's work, such as sharing good practices emerging from projects?

- Yes
- No
- Don't know
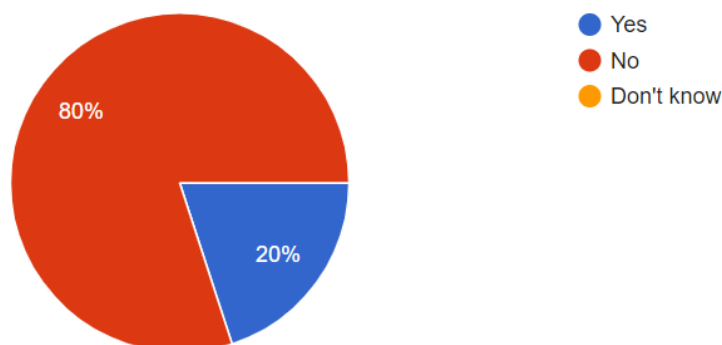
Concerning the extension of the STDF in contributing to increasing the capacity of the countries to implement international SPS standards, guidelines and recommendations and gain and maintain market access,
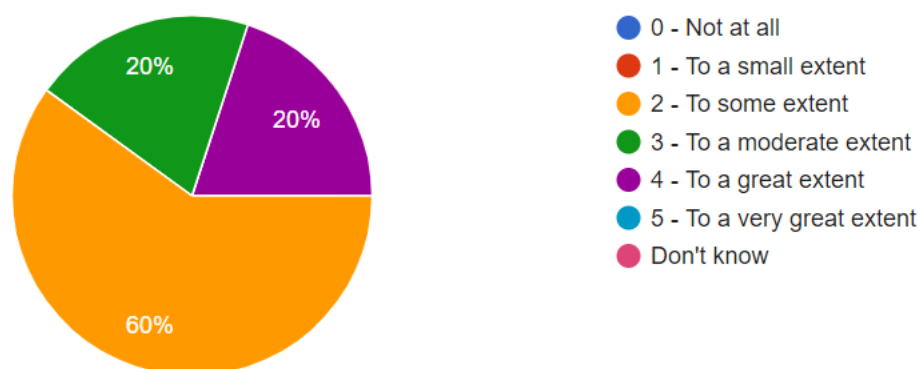
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answers were quite diverse, with each ultimate beneficiary indicating a different answer, from small extent to very great extent, according to Figure 12 below:

Figure 12. Extent the STDF in contributing to increase the capacity of the countries to implement international SPS standards, guidelines and recommendations and gain and maintain market access
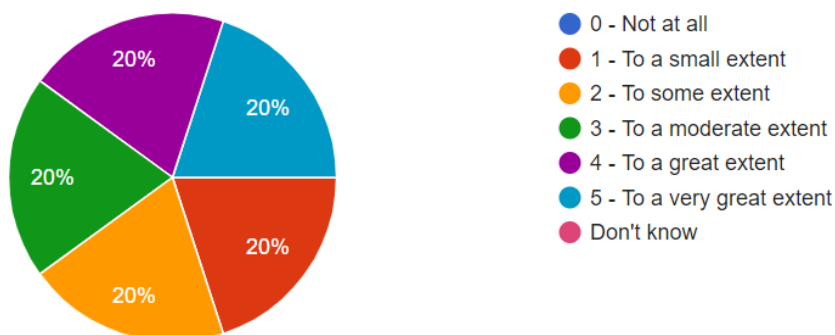
Competent authorities – survey results

Of 153 competent authorities that received the e-survey, only five have answered it, totalling 3.2% of completed questionnaires. 100% of the competent authorities that answered the survey were aware about the STDF.

Based on the survey, most competent authorities stated that the STDF Secretariat reached out to them on matters related to SPS capacity-building and STDF's work, such as sharing good practices emerging from projects, as show in the Figure 13.

Figure 13. Has the STDF Secretariat reached out to you on matters related to SPS capacity-building and STDF's work, such as sharing good practices emerging from projects?
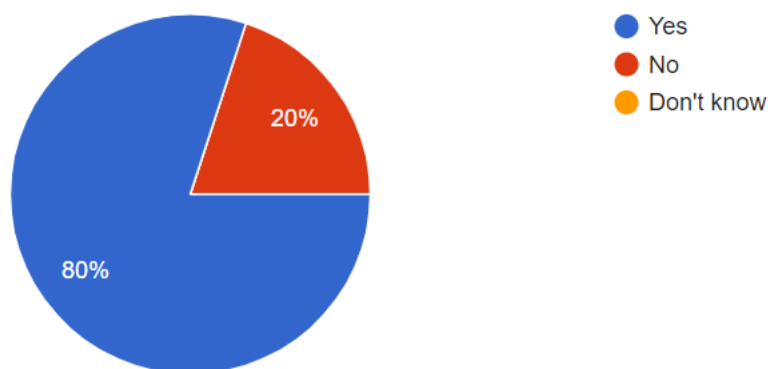
Among the answers, some competent authorities have declared receiving technical assistance on project grants from the STDF Secretariat, participating in SPS advanced courses at the WTO and receiving STDF's newsletters with relevant information.

Most of the competent authorities think that the STDF, through its activities, has increased to some and to a moderate extent the prioritization of SPS issues in Aid for Trade (A4T), which is not very significant, according to Figure 14.

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Figure 14. Extent of the prioritization of SPS issues in Aid for Trade (A4T) because of the STDF

Legend:
- 0 - Not at all
- 1 - To a small extent
- 2 - To some extent
- 3 - To a moderate extent
- 4 - To a great extent
- 5 - To a very great extent
- Don't know

Unsuccessful Applicants – survey results

From 23 unsuccessful applicants that received the e-survey, only three have answered it, totalling 13% of completed questionnaires. Two of the respondents made a PPG application, and one a PG application.

For unsuccessful applicants, two have answered that national and/or regional stakeholders and beneficiaries were involved in the PPG/PG concept development and application to a moderate extent, while another to a great extent.

Most of the respondents, 66.7%, replied that the STDF Secretariat was helpful in providing support for the application, while one respondent said the Secretariat was somewhat helpful.

All unsuccessful applicants stated that it was clear from the onset of the application process how much time and inputs it might require from the applicant and that sufficient time was given for making any changes to the application. However, one of the applicants strongly disagreed on the reasons why its project was not approved, while another neither agreed nor disagreed and the last understood the reasons for being rejected.

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# ANNEX 8. UGANDA CASE STUDY

Trade profile of Uganda[69]

Uganda's total exports in agriculture and agri-processed products amount to US$ 1.3 billion (average 2015-7) with coffee being the largest export, accounting for 33.6% of exports at an HS six digit level. After coffee, Uganda has a relatively broad range of exports, each accounting for approximately 5% of exports (fresh and frozen fish, tea, maize, cocoa beans, dried leguminous vegetables, shelled, whether or not skinned or split.) Other major exports include live plants, unmanufactured tobacco, sugar cane and dried or salted fish.

Figure 15. Main agricultural and agri-processed exports
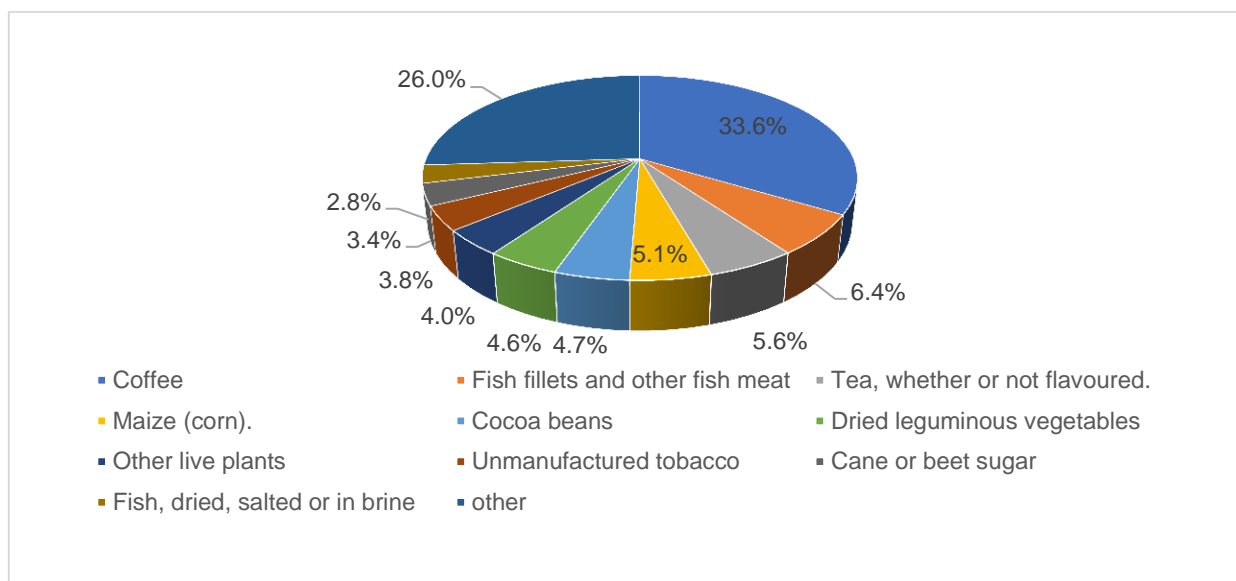
Uganda's largest export market for agricultural and food products is Kenya, valued at US$ 335,247,800 and accounting for 25.81% of all exports, followed by Italy (7.51%), South Sudan (6.67%), Netherlands (6.17%) and Germany (6.02%). Other major export destinations are Rwanda, Belgium and Sudan, each accounting for around 5% of exports.

[69] All data in this section is based on the UNCOMTRADE database

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Figure 16. Main export destinations for Uganda's agricultural and agri-processed exports

- Kenya
- Italy
- South Sudan
- Netherlands
- Germany
- Rwanda
- Belgium
- Sudan
- Hong Kong, China
- Spain
- other
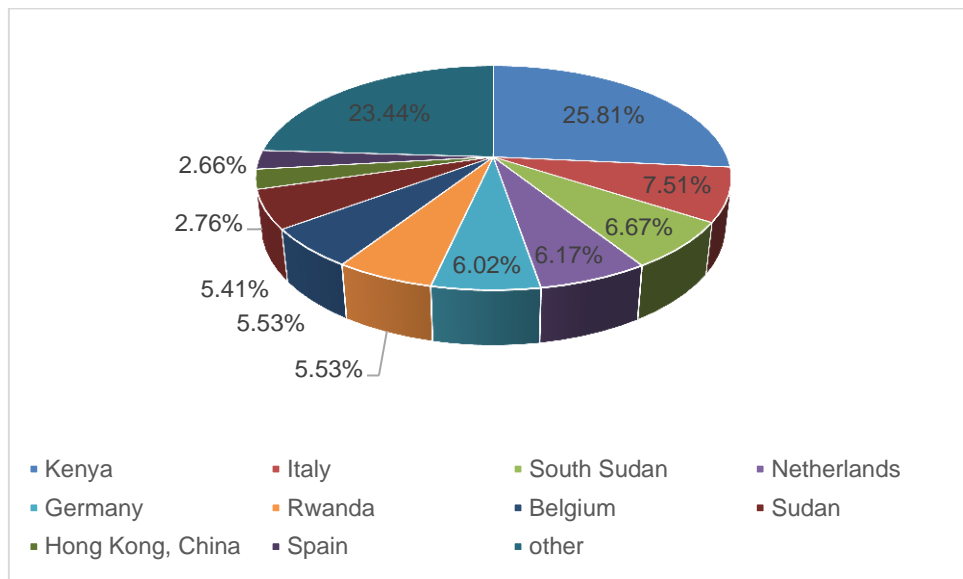
Figure 17. Main markets for Uganda's top-10 Exports

1. Coffee, whether or not roasted or decaffeinated; coffee husks and skins; coffee substitutes containing coffee in any proportion. US$ 442,957,500	2. Fish fillets and other fish meat (whether or not minced), fresh, chilled or frozen. US$ 84,659,350
Italy, Sudan, Germany, Belgium, Spain, India, USA, Morocco, Portugal, Tunisia, other	Netherlands, Belgium, United Arab Emirates, Israel, Italy, Portugal, Spain, Greece, USA, Jordan, Other
3. Tea, whether or not flavoured. US$ 73,508,090	4. Maize (corn) US$ 66,607,430

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5. Cocoa beans, whole or broken, raw or roasted
US$ 61,911,540

6. Dried leguminous vegetables,shelled, whether or not skinned/split
US$ 60,269,950
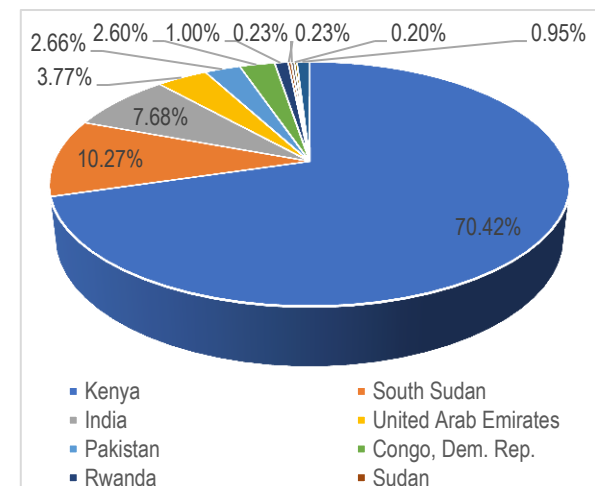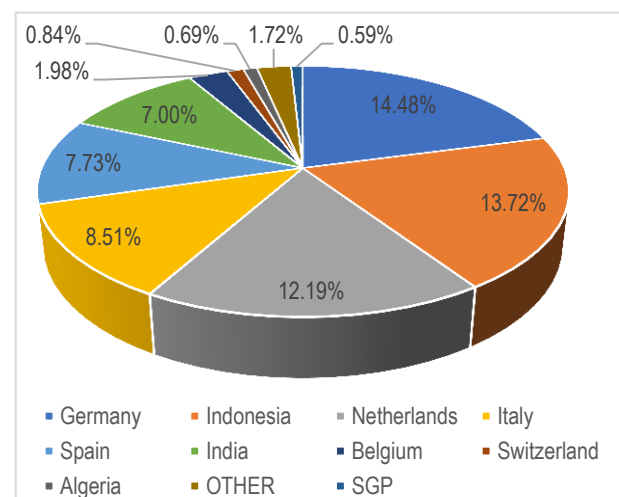
7. Other live plants (including their roots), cuttings and slips; mushroom spawn
US$ 53,367,620

8. Unmanufactured tobacco; tobacco refuse
US$ 50,387,700

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Chart (top left):

- 0.98%
- 0.78%
- 1.19%
- 1.11%
- 2.98%
- 1.34%
- 1.16%
- 2.20%
- 1.88%
- 3.22%
- 83.15%

Legend:
- Netherlands
- Germany
- USA
- United Kingdom
- United Arab Emirates
- Italy
- Kenya
- China
- Norway
- South Africa
- other

Chart (top right):

- 0.52%
- 0.33%
- 0.09%
- 0.03%
- 0.02%
- 0.01%
- 0.00%
- 5.17%
- 8.88%

Legend:
- Tanzania
- Burundi
- Mauritania
- Belgium
- Rwanda
- South Sudan
- Congo, Dem. Rep.
- Egypt, Arab Rep.
- ITA

9. Cane or beet sugar and chemically pure sucrose, in solid form.

US$ 45,257,680

10. Fish, dried, salted or in brine; smoked fish, whether or not cooked before or during the smoking process; flours, meals and pellets of fish, fit for human consumption.

US$ 37,358,720

Chart (bottom left):

- 1.41%
- 0.08%
- 0.06%
- 0.01%
- 13.07%
- 24.61%
- 60.76%

Legend:
- Kenya
- Rwanda
- South Sudan
- Congo, Dem. Rep.
- Sudan
- Central African Republic
- Burundi

Chart (bottom right):

- 0.85%
- 0.01%
- 1.01%
- 0.01%
- 0.57%
- 0.13%
- 0.02%
- 2.32%
- 95.07%

Legend:
- Hong Kong, China
- Rwanda
- Vietnam
- Congo, Dem. Rep.)
- Kenya
- United Arab Emirates
- South Sudan
- China
- Burundi

STDF activities in Uganda

Among the least developed countries, Uganda receives the most "mentions" in STDF annual reports (27 hits in the annual reports 2014-17, and 13 times in 2015 alone). In 2014, Uganda represented the LDC group at the WTO, recognising during the 73rd Session of the Sub-Committee on Trade and Development (CTD) that: "STDF is among a few initiatives offering capacity-building support that has yielded tangible benefits for several LDCs that have stepped out to seek support towards the implementation of SPS measures with a view to facilitate trade".

Uganda benefited from knowledge events including:

- CBD BioBridge Initiative: Africa Roundtable, Uganda (via Skype) (2017); and

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- Result story in 2016 (Stronger phytosanitary controls help Uganda's flower exports to grow – briefing paper.

Partnership outreach:

- STDF project to support women flower workers in Uganda featured in 100 development website stories.

- Uganda was featured in the WTO event video "Inclusive Trade for women", shared on social media.

- Uganda has also utilised/benefited from the STDF's Prioritizing SPS Investments for Market Access (P-IMA) knowledge toolkit, which is a framework to inform and improve SPS decision-making processes. In 2015 the STDF finalised the user guide and applied it to Uganda (among others).

Uganda received one PPG in 2016.

Title	Description	Implementing Organisation	Local Partners and Beneficiaries	Period	Value of Project
Enhancing the capacity of the fruit and vegetable sector to comply with European Phytosanitary requirements	STDF/PPG/543: Enhancing the capacity of the fruit and vegetable sector to comply with European Phytosanitary requirements *Project proposal will be considered for funding at the Oct 2018 meeting.	Mr. Hubertus Stoetzer	Uganda	March 2017 - March 2018	US$ 35, 000

Uganda has benefited from STDF project grants totalling over US$1.7 million and total projects of over US$2.6 million.

Title	Description	Implementing Organisation	Local Partners and Beneficiaries	Period	Value of Project
Breaking barriers, facilitating trade http://www.standardsfacility.org/PG-346	Egypt, Kenya, Malawi, Sudan, **Uganda**, Zambia, Zimbabwe	COMESA	CABI	2014-18	US$ 902,691 Total project value: US$ 1,184,310
African Pesticide Residue Data Generation Project http://www.standardsfacility.org/PG-359	Strengthening capacity in Africa to meet pesticide export requirements In Benin, Cameroon, Ghana, Kenya, Mali, Senegal, Tanzania, **Uganda**, Zambia	AU-IBAR	FAO, Rutgers University, USDA, CropLife, Dow	2013-17	US$ 446,150 Total project value: US$ 1,064,450
Strengthening Phytosanitary Controls to Increase Flower Exports from Uganda http://www.standardsfacility.org/PG-335	The project enhanced access of Ugandan flowers to the EU market, benefitting workers who depend on this industry for their living (women account for about 80% of the 8,500 workers in the flower sector in Uganda).	CABI in collaboration with the Department of Crop Protection (DCP), Uganda	Government and flower industry in Uganda (growers, workers)	2012-15	US$ 383,495 Total project value: US$ 427,017

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Major constraints to SPS and trade for agricultural sector[70]

Uganda faces many challenges in the control of SPS. These are prevalent at the policy level, institutional level and the private sector operators' level. With such widespread difficulties, systematic change is required to unlock trade opportunities in agriculture. Currently Uganda faces multiple crises in export due to SPS/food safety issues with frequent interceptions (both alerts and rejections) in both of its main markets of Kenya and the EU.

At a policy level, Uganda's SPS framework suffers from out-dated legislation and political interference, which results in a loose system of control. Firstly, the legislation in Uganda for SPS measures is contained within the Food and Drugs Act, which is now 50 years old. Moreover, the "food" part was never enacted, meaning that subsidiary legislation was never developed in Uganda and so in many cases, there is just not any provision for SPS controls, and given the age of legislation, there are no provisions that relate to border control and other trade aspects (such as no legal requirement for health certification for exports). While it has been recognised that new legislation is required, there is no consensus among key players, namely the Ministries of Health, Agriculture and Trade, who are not in agreement regarding either scope or responsibilities, with much of the focus on territorial concerns. In addition, agriculture is highly politicised in Uganda, and SPS agencies and extension services are used for political leverage rather than protection or service delivery functions. This means that the de facto objectives and policy of particular agencies are on "buying votes" or keeping different constituencies happy rather than on control. Moreover, SPS agencies are often headed by non-technical persons who are politically motivated and driven, and not necessarily best placed to drive through SPS or food safety controls and measures. This all results in a disjointed framework that cannot develop to meet the modern requirements of trade in agriculture and agri-processed products (or national disease, pest and/or food safety control), and in action by public authorities that maintain the status quo. For example, EU FVO audited SPS in 2016, and raised a large number of concerns, with a clear set of recommendations for specific actions in order to maintain market access to the EU. Since then, however, there has been no response or actions to address these, despite efforts of the EU Delegation (meetings at senior political levels and mid-management, and strong letters).[71]

A good SPS framework requires effective enforcement and implementation by a large range of institutions, from national protection agencies and national laboratories to customs to multiple Ministries. In general, SPS agencies are under-resourced with few staff (including few inspectors) and few resources (for example, plant protection offices in Uganda have no access to internet). Moreover, there are limited skills and a lack of consistent approaches to inspection in Uganda (that is, there are no common or approved guidelines for inspectors) so there is inconsistency in control. Allied to this is a lack of awareness of rules/procedures/risks among other agencies involved (for example, due to a lack of border SPS inspectors, customs undertake much of the SPS control, without any idea how it should be done).

At an exporter and producer level in the private sector, there is limited awareness of SPS measures at all (except in major business, but even then it is limited). Many traders are opportunistic and buy up agricultural products from multiple sources, and try and export without any control or traceability. This leads to the high level of interceptions of Ugandan product in foreign markets.

Therefore, in order to unlock trade, a systematic reform and restructuring of the national SPS system is required, with an improved legislative framework and better coordination between policy makers, SPS and trade agencies and the private sector. Because of the fragmented nature of the SPS regime, donor projects have focused on addressing SPS on a sector basis, e.g. an STDF flower export project grant or EU beef value chain. This leads to solving individual short-term issues rather than the underlying problems, and there is a risk that changes in personnel will have a negative result on trade even in these specific areas.

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[70] The following sections are based on opinions of key stakeholders given in interviews during the Country Case Study mission
[71] An EUD request to Government to develop an action plan to address FVO concerns in 2017 received a three bullet point response which is an inadequate response to serious market access issues.

There has been little increase in donor attention to SPS issues in Uganda in recent years, despite vocal concern from both within the country and donor countries themselves. Most World Bank, FAO and EU projects focus on productivity and production of agricultural and agri-processed products, with little attention to SPS measures. But without control, there is little work on market opportunities (for example in recent years production of maize has increased in Uganda but crises with aflatoxins and Maize Lethal Necrosis (MLN) has meant little of this increase has been tradable, and this has led to falling prices within Uganda). Even where SPS issues have been addressed in projects, many donors (including USAID and World Bank) have diluted the SPS aspects during project design phases so that the impact of these projects is less effective.

Coordination of SPS capacity-building

The Government of Uganda (through the National Standards Bureau) has established a national SPS coordinating committee but has reportedly not met for some years. However, for certain key crops such as coffee, tea and flowers, there is a good level of coordination between public sector organisations and the private sector to build know-how and awareness on plant protection and other SPS-related issues in order to enable export. For commodities such as coffee and tea, this have been driven by larger private sector enterprises and the strategic FOREX needs of the country. For flowers, the STDF project is reported by government and private sector stakeholders as pivotal in organising and coordinating the sector in SPS capacity-building (for greater understanding of all stakeholders in the methods and objectives of control to meet the demands of inspectors in main markets). This is limited to these few sectors, but it serves to demonstrate how it can be organised (also this is only demonstrated within the area of plant protection rather than the animal health sector).

Within Uganda, there is a donor coordinating committee for SPS within the Agriculture Working Group where donors regularly discuss such issues as interceptions and diseases for staple crops. However, despite this, there is little coordination or information regarding the STDF with active STDF donor representative offices in Uganda and founding partners unaware of previous STDF projects or other activities. However, when the projects and other activities were described to these partners, there was great interest and confirmation that they align with country level objectives.

Access to knowledge and know-how on SPS

There is little or no awareness about the STDF knowledge platform among beneficiaries in Uganda, even among those that have been directly involved in PGs (on-going and in the past). When described, many of the topics and subjects of the knowledge platform were of interest to the beneficiaries (government competent authorities and private sector organisations, particularly on PPP, plant inspection manuals (STDF PG350) and P-IMA). Competent authorities in Uganda expressed the views that such knowledge is highly relevant to their activities nationally and at a regional level. (The EAC SPS committee is currently developing a manual for plant protection and control but nobody has flagged the STDF/IPPC work generating the manuals on pest surveillance, import control, export control and operating a NPPO; instead they are planning to develop their own common guides for the region).

"The P-IMA tool was applied in Uganda by FAO in a restricted way, focused on the Ministry of Health and more broadly by USAID. However, there was little knowledge of this latter application and stakeholders commented that the tool is useful in prioritising the SPS, and needs to be more widely applied in Uganda so as to inform policy makers on the importance and priorities in SPS. The P-IMA is planned to be applied in Uganda as part of a new STDF project, which started in December 2018.

STDF project preparation and project grant experience

In Uganda, previous and current PGs/PPGs have been nationally identified and developed (except the MRL data collection project, which originated from COMESA as a regional project). These have responded to specific needs of business and have had a significant impact in maintaining and opening trade.

The project Strengthening Phyto-sanitary Controls to Increase Flower Exports from Uganda (STDF/PG/335) was developed in response to the high level of interceptions of flower exports from Uganda to the EU, which was threatening trade. The STDF was able to bring together multiple stakeholders in Uganda in both the

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private and public sector to increase understanding of the SPS control requirements that must be fulfilled to maintain market access. Cooperation with EU authorities (from the Netherlands) helped to foster cooperation within Uganda so that public authorities and the private sector work together. The national authorities' procedures on export inspections were strengthened, and some years after the end of the project, the impact (lower levels of interceptions and rejections) is still apparent. Moreover, when new diseases or pests are identified (resulting from interceptions), authorities in Uganda are able to work with the private sector to put in new procedures and controls. Moreover, inspectors reported that they were able to use this experience to help improve their performance in other areas/sectors. While significant numbers of women benefited, as they work in the flower sector, no specific gender SPS issues were addressed, nor was the fact that women worked mainly in the sector a key driver for the project generation.

The African Pesticide Residue Data Generation Project (STDF/PG/359) is a regional project that aims to increase market access for minor crops in Africa, but collecting and presenting multi-country test results on MRL of certain pesticides for tropical fruits (in this case, a group of 38 crops, based on mango MRL). Data was collected on pesticide residuals of a branded formulation on mangos across nine African countries to provide data for submission and consideration by Codex. The project was conceived with the Codex MRL meetings and identified the need for developing countries to provide data to Codex to allow for international standards setting on MRLs for tropical fruits for specific pesticide formulations that would allow for trade under these standards (rather than default residual levels that are difficult/impossible to meet). The results are currently being analysed and collated for submission. The project faced major challenges in obtaining permissions and working relationships with chemical companies willing to register their product/formulation in Uganda, which is a prerequisite for the trial and data collection, as it is not commercially interesting for minor crops. The data collection has been successful in Uganda so that they, together with other partner countries, can collate data sets and contribute to the setting of MRL standards at Codex. While the implementation is clear, replication of the trial and data collection in Uganda on further products or different pesticide formulation/brands would still raise issues such as the cost of trials (farmers crops have to be purchased, as the private sector in Uganda do not understand/see the value of trials/data collection) and the confidence of the trained personnel to undertake the monitoring and collection of data without support.

Breaking Barriers, Facilitating Trade (STDF/PG/346) is another regional project including Uganda, in which a regional approach to concerns on border controls of key crops traded regionally was adopted. In Uganda, controls at the border with Kenya on maize, fish, milk and milk products were the focus of the project to facilitate regional trade. However, some stakeholders were concerned that the project was over-ambitious, targeting too many products and too many countries to be effective. While some impact in specific areas was realised, these were discreet, with little scope for replication and risk around sustainability.

A PPG Enhancing the Capacity of the Fruit and Vegetable Sector to Comply with European Phytosanitary Requirements (STDF/PPG/543) was successfully applied for by the Ministry of Agriculture, to fulfil a similar need as the flower sector's. The resulting project design was submitted as a PG application in early 2018. At the same time, and quite independently, the Ugandan Agri Alliance (a private sector body) had been working to develop a public-private platform PPG in the fruit and vegetable sector (based on prior successes of developing PPP platforms for agri-finance and the potato value chain in Uganda). Given the synergies and need for PPP in SPS controls (as demonstrated in the flower sector), the STDF suggested that the two projects merge. At the same time, the Embassy of the Netherlands had for some years been actively engaged in discussions with the Government of Uganda on third party certification in SPS (a model used extensively in the Netherlands). While initial traction, planning for interventions and implementation were positive, the project stalled two-three years ago, as the senior management at the Ministry of Agriculture at that time decided SPS control should be 100% run by the government. The Embassy of the Netherlands continued light engagement and discussions, and the Ministry shared the UAA proposal with the Embassy (and also shared it with World Bank). The Embassy of the Netherlands saw this as an opportunity to influence the Ministry (still thinking of third-party certification, especially now the senior management had changed). As a result, they agreed to fund the project at the same time as STDF was recommending a combined UAA and fruit and vegetable project. The Embassy of the Netherlands was happy to co-finance the resulting revised application to the STDF.

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Project implementers, beneficiaries and applicants in Uganda all commented on how easily and quickly STDF projects were formulated, with support from clear instructions on the websites and consistent useful support from STDF Secretariat staff in bringing together quality proposals. Comments from IPPC and FAO were "highly appreciated" and it was commented that their inputs provided an important and unique insight that improved the quality of applications. The guidance from the STDF Secretariat and implementers (CABI in particular) was reported as being invaluable to keeping projects on track. Although communication events were held (for example flowers in Geneva and several results stories), there is no evidence of any impact of this knowledge-sharing beyond information.

The Uganda case study assessment reflects closely the overall assessment of the STDF as a whole, in that:

- There have been very successful projects that have had an impact on Uganda's trade through addressing SPS standards and control measures, with a significant reduction in the number of interceptions (alerts and rejections) at the border of key markets, that is EU for flowers and Kenya for maize;

- However, these projects have targeted/benefited single sectors in one country only, and not had any significant impact in other countries, nor led to systemic change (although the projects themselves have been sustainable in their sector);

- Some innovative approaches have been developed in a regional project involving Uganda, with lessons and methodologies for data generation for international standards setting, although further follow-up and mentoring is needed to embed and build confidence to ensure sustainability;

- A PPG that was turned into a PG application (recently approved) has leveraged funding from another donor, which is somewhat unique in STDF. However, this was not so much intentional and more by coincidence, and was driven by the initiative of the beneficiary;

- There was great interest among partners' in-country offices, donors and SPS-competent authorities in the STDF's learning and knowledge (e.g. IPPC manuals, P-IMA tool and PPP work) but this was not accessible to them (as they were unaware of it or where to find it);

- Cross-cutting issues are not really addressed in any meaningful way. Although gender impact was significant in one project, it is more that women workers dominate the flower sector in Uganda and benefited from continued market access, although the project was aimed at ensuring SPS controls in Uganda enabled trade (based on the experience of numerous interceptions, rather than gender specific issues).

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ANNEX 9. GUATEMALA CASE STUDY

Trade profile of Guatemala[72]

Guatemala's total exports in agriculture and food-processed products amounted to US$ 3,254,229,000 from 2015 to 2017, with sugar cane and bananas being the largest export products, accounting for 17% of exports at an HS6 digit level. After sugar cane and bananas, 13% of Guatemala's exports are coffee. Other major export products include palm oil, nutmeg, melons, waters, bread, pastry, cakes, biscuits, undenatured ethyl alcohol of an alcoholic strength, leguminous vegetables, shelled or unshelled, fresh or chilled.

Figure 18. Main Agri and Agri-processed Exports 2015-2017
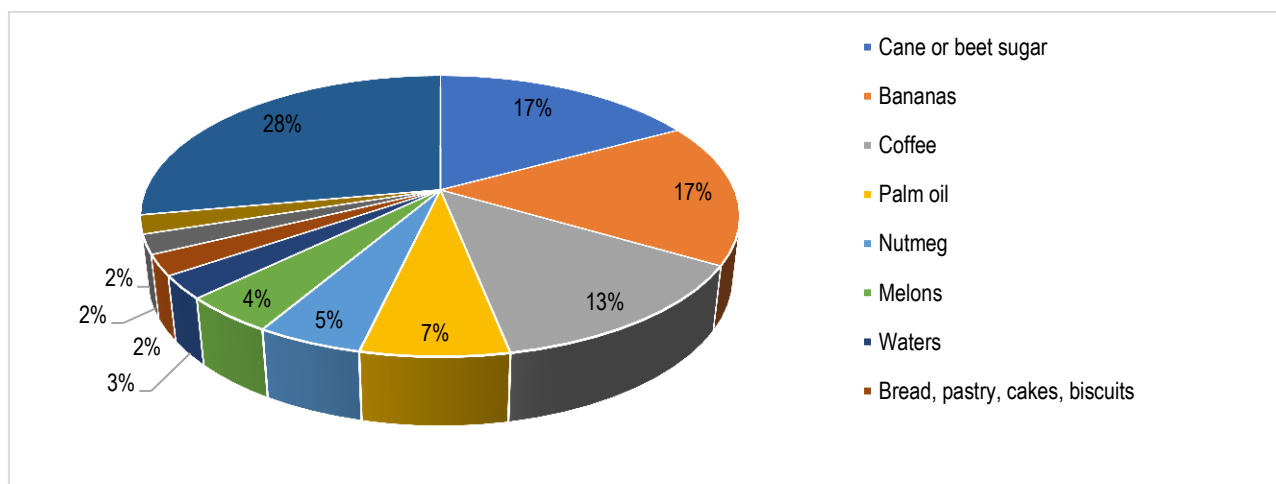
Guatemala's largest export market for agricultural and food products was the United States of America, valued at US$ 1,174,413,000 from 2015 to 2017 and accounting for 35.6% of all exports, followed by El Salvador (6.7%), Netherlands (5.5%), Honduras (4.4%), Mexico (4.1%), Japan (3.2%) and Canada (3.1%). Other major export destinations are Germany, Nicaragua, and the United Kingdom, together accounting for around 6% of exports.

Figure 19. Main Export Destinations for Guatemala's agriculture and processed food exports 2015-2017

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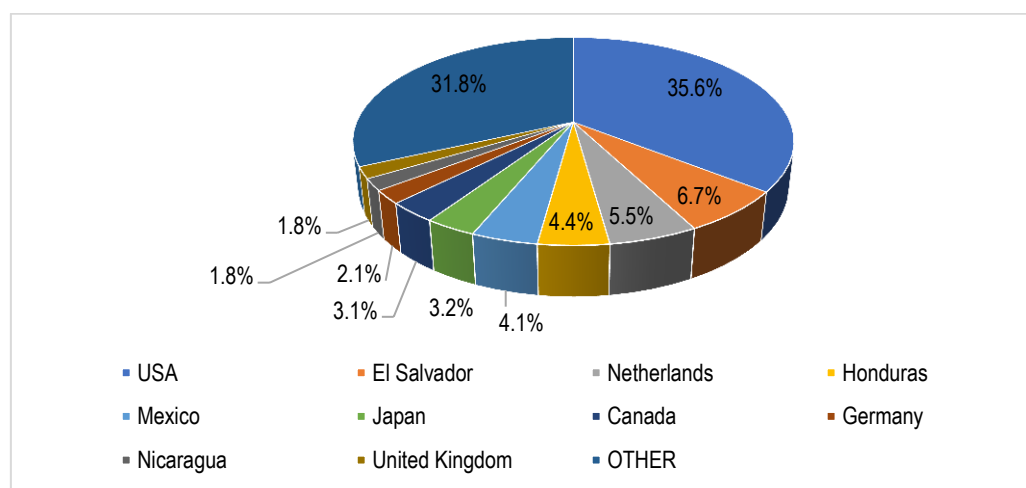
[72] All data in this section is based on the UNCOMTRADE database.

Figure 20. Main markets for Guatemala's top-10 Exports 2015-2017 (COMTRADE)

1. Cane sugar and chemically pure sucrose, solid form.	2. Bananas, including plantains, fresh or dried.
US$ 557,695,400	US$ 537,233,100

1. Cane sugar and chemically pure sucrose, solid form.

11.16%, 8.53%, 7.89%, 7.84%, 6.05%, 35.55%, 3.70%, 4.09%, 4.89%, 4.92%, 5.37%

- USA
- Chile
- Canada
- China
- Ghana
- Other Asia, nes
- Malaysia
- Haiti
- Cote d'Ivoire
- Peru
- Other

2. Bananas, including plantains, fresh or dried.

1.17%, 0.99%, 0.89%, 0.56%, 1.30%, 0.77%, 1.38%, 1.12%, 0.63%, 2.47%, 88.71%

- Germany
- Netherlands
- Gibraltar
- El Salvador
- United Kingdom
- Korea, rep.)
- Japan
- Turkey
- Italy
- USA
- Other

3. Coffee, whether or not roasted or decaffeinated; coffee husks and skins.	4. Palm oil and its fractions, whether or not refined, but not chemically modified.
US$ 438,387,300	US$ 220,132,400

3. Coffee, whether or not roasted or decaffeinated; coffee husks and skins.

1.76%, 1.30%, 1.78%, 8.82%, 2.83%, 4.40%, 35.97%, 4.46%, 6.96%, 12.59%, 19.13%

- Spain
- United Kingom
- Canada
- Japan
- Germany
- Other Asia, nes
- Australia
- Malaysia
- France
- China
- Other

4. Palm oil and its fractions, whether or not refined, but not chemically modified.

2.90%, 0.36%, 0.27%, 0.12%, 0.18%, 4.18%, 0.80%, 12.14%, 34.12%, 13.88%, 31.05%

- Netherlands
- Mexico
- Germany
- El Salvador
- Nicaragua
- Honduras
- Dominican Republic
- USA
- Argentina
- Costa Rica
- Other

5. Nutmeg, mace and cardamoms.	6. Melons (including watermelons) and papaws (papayas), fresh.
US$ 157,749,800	US$ 140,513,900

7. Waters, including mineral waters and aerated waters, containing added sugar or other sweetening matter or flavoured, and other non-alcoholic beverages, not including fruit or vegetable juices of heading 20.09.
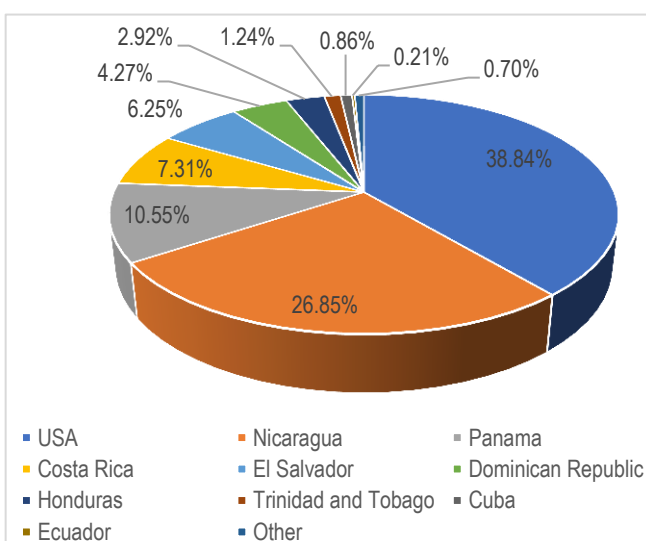
US$ 87,093,140
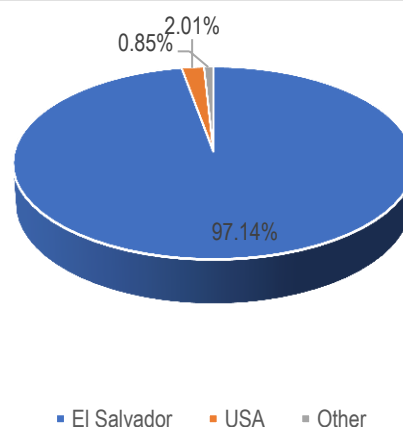
8. Bread, pastry, cakes, biscuits and other bakers' wares, whether or not containing cocoa; communion wafers, empty cachets of a kind suitable for pharmaceutical use, sealing wafers, rice paper and similar products.

US$ 77,454,790

9. Undenatured ethyl alcohol of an alcoholic strength by volume of 80 % vol. or higher; ethyl alcohol and other spirits, denatured, of any strength.

US$ 72,736,040
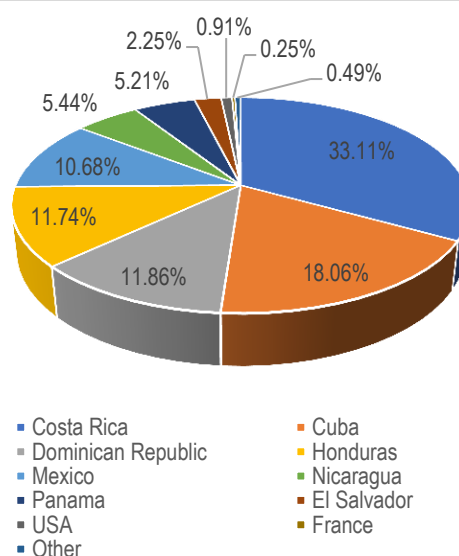
10. Leguminous vegetables, shelled or unshelled, fresh or chilled.

US$ 70,084,790

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Pie chart 1 legend:
- El Salvador
- Korea
- Mexico
- United Kingom
- Netherlands
- USA
- Belgium
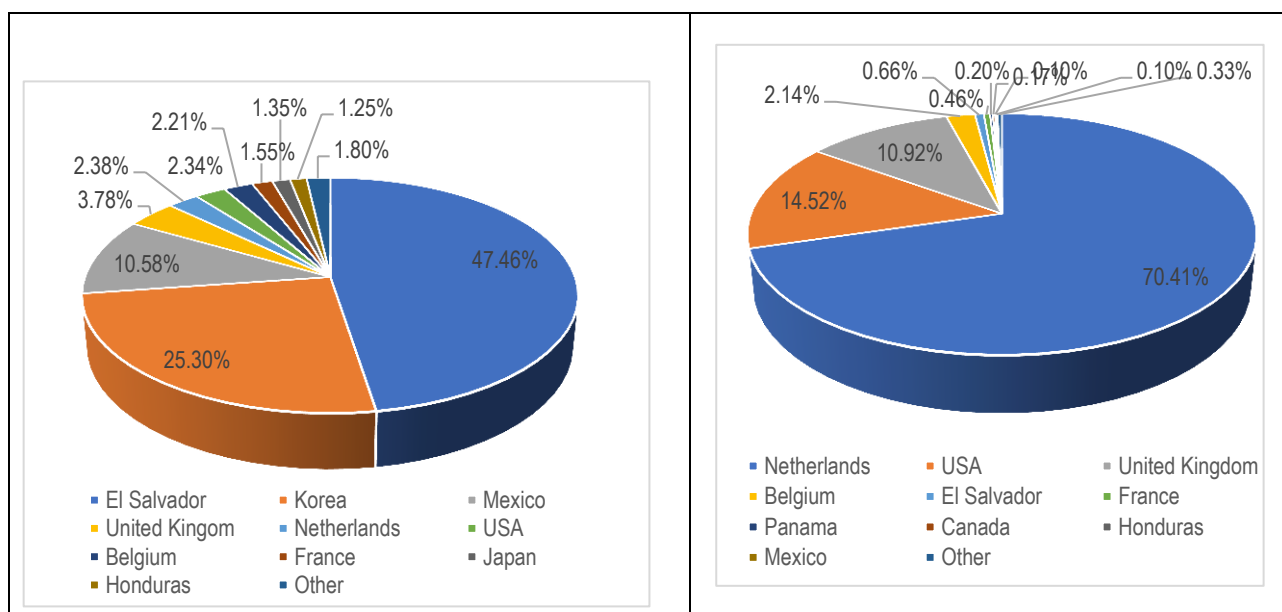- France
- Japan
- Honduras
- Other

Values: 47.46%, 25.30%, 10.58%, 3.78%, 2.38%, 2.34%, 2.21%, 1.55%, 1.35%, 1.25%, 1.80%

Pie chart 2 legend:
- Netherlands
- USA
- United Kingdom
- Belgium
- El Salvador
- France
- Panama
- Canada
- Honduras
- Mexico
- Other

Values: 70.41%, 14.52%, 10.92%, 2.14%, 0.66%, 0.46%, 0.20%, 0.07%, 0.10%, 0.10%, 0.33%

STDF activities in Guatemala

Guatemala is one of the countries most often mentioned in STDF annual reports, with 33 mentions from 2014 to 2017, and highest of Latin America.

Guatemala benefited from knowledge-sharing events including:

- OIE Evaluation mission, Guatemala (2017)
- WTO National SPS Workshop, Guatemala (2016);

Guatemala main Project Grants (PGs) and Project Preparation Grants (PPGs) in the last five years were:

- One PPG in 2016:

Title	Description	Implementing Organisation	Local Partners and Beneficiaries	Period	Value of Project
Development of a project for a biosecurity classification system and registration for SPS Laboratories (STDF/PG/539)	Establish a lab sample import system based on risk categories. Laboratories will be classified and registered as importers or quarantine zones by quarantine authorities so that samples aren't kept at customs premises and safety is assured for all parties involved.	Asociación Guatemalteca de Exportadores (AGEXPORT), Guatemala	Guate mala	2016-2017	US$ 49,812

Guatemala has benefited from five STDF project grants totalling US$ 2.8 million (and importantly one was national and others regional which provides a diverse range to assess).

Title	Description	Implementing Organisation	Local Partners and Beneficiaries	Period	Value of Project
Accreditation of laboratory diagnostic tests for animal diseases in OIRSA member countries (STDF/PG/495)	Strengthen the veterinary services in the region by harmonising the legal framework in accordance with OIE standards for the control and eradication of animal diseases. Regional project: Belize, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, Panama (including LMICs)	FAO, OIE, PAHO	Organismo Internacional Regional de Sanidad Agropecuaria (OIRSA)	2015-17	US$ 840,898

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Strengthening capacity in Latin America to meet pesticide export requirements (STDF/PG/436)	Improving capacity of selected Latin American countries to meet pesticide-related export requirements based on international (Codex) standards through extensive capacity-building in both the field and laboratory. Regional Project: Bolivia, Colombia, Costa Rica, Dominican Republic, Ecuador, El Salvador, Guatemala, Honduras, Nicaragua, Panama, Peru	Instituto Interamericano de Cooperación para la Agricultura (IICA)	FAO, Rutgers University, USDA, CropLife, Dow, Sumitomo	2013-16	US$ 436,450 total project value: US$1,167,700
Establishing a regional virtual food inspection school (STDF/PG/344)	To improve the safety of fresh or processed foods and to facilitate trade and improve public health through harmonised modern inspection procedures and food auditing techniques Belize, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, Panama	Instituto Interamericano de Cooperación para la Agricultura (IICA)	Universidad de Costa Rica, Universidad Nacional Autónoma de México, University of Nebraska-Lincoln, Universidad Politécnica de Valencia	2012-17	US$977,643 total project value: US$1,461,877
Honey Chain Traceability in Guatemala (STDF/PG/515)	Maintain market access and increase the volume of honey exports from Guatemala through the implementation of an electronic traceability system.	Organismo Internacional Regional de Sanidad Agropecuaria (OIRSA)	Directorate for Food Safety - Ministry of Agriculture, Livestock and Food (MAGA) of Guatemala	2015 -17	US$ 45,400
Improving veterinary legislation in OIRSA member countries (STDF/PG/358)	Strengthen the veterinary services in the region by harmonising the legal framework in accordance with OIE standards for the control and eradication of animal diseases. Belize, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Nicaragua, Panama	Organismo Internacional Regional de Sanidad Agropecuaria (OIRSA)	Directorate for Food Safety - Ministry of Agriculture, Livestock and Food (MAGA) of Guatemala	2013-15	US$ 488,330

Constraints to SPS and trade for agricultural sector in Guatemala[73]

Guatemala faces many different constraints to SPS and agriculture trade. This is mainly because national standards are far below those needed for export to other countries. The lack of awareness of food safety issues within the national population contributes to the country's difficulty in implementing sanitary regulation policies, and, consequently, having a greater presence in the international market. With old and outdated legislation, Guatemala needs support in both its public and private sectors to enhance its SPS capacity.

The PGs and PPGs carried out in Guatemala by the STDF mainly concerned food safety and animal health issues. The STDF, local implementers and beneficiaries identified the main challenges and actions needed to address them. On the policy level, the main challenges Guatemala faces regarding SPS are:

- **Reinforce OIE standards in the country:** Guatemala needs to improve and meet the demands of the OIE on standards. The country must have a sanitary status that gives trust to its business partners around the world. The lack of animal disease control is a barrier to trade.

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[73] All the constraints were identified by the local beneficiaries and implementers interviewed by the evaluation team during the field mission in November 2018.

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- **Coordinate governmental organisations**: The country needs a nationwide inspection system that can deal with both processed and unprocessed food. At present, inspection is handled by different governmental organisations, and is not often coordinated.
- **Improve national inspection systems**: There is a great difference in quality between what is consumed internally and what is exported from Guatemala. The population does not demand high quality, due to a lack of awareness. The improvement of the national inspection system would be positive for the country and help to boost its exports.
- **Modernise national legislation:** Animal disease legislation in Guatemala is outdated and general. Mexico, for example, is demanding that Guatemala instigates a well-established project of animal disease control so it can import meat as part of a bilateral trade agreement currently under negotiation. At present, Guatemala cannot export meat because of a lack of proper control of animal diseases.

At the private sector and exporter level, SPS in Guatemala faces the following challenges:

- **Lack of ISO-accredited laboratories**: Guatemala needs more laboratories accredited in ISO17025 to be able to perform laboratory diagnostic tests on animal diseases and export. At present, Guatemala has very few laboratories that have an official ISO accreditation. Also, most laboratories are physically too far from producers, which may increase the costs of exporting. For example, shrimp sellers in Guatemala produce mainly in the south of the country, on the coast. The closest laboratory they may send samples to for evaluation is in Guatemala City.
- **Customs delays**: Guatemala does not produce diagnostic kits for analysing samples in laboratories, and imports the kits from Panama. However, laboratories face major challenges in importing those kits because of customs delays and authorisations. The ideal would be for the laboratory to have the kits available when a producer sends a sample for analysis. Nevertheless, due to customs delays and to the fact that only the Ministry of Agriculture (MAGA) can ask for sanitary permits to allow samples to enter the country, producers have to wait a long time for kits to be available.

It is worth remarking that bilateral aid for SPS in Guatemala is mainly for structured projects. According to an official from the Ministry of Agriculture (MAGA), Guatemala has only had two main crises in recent years:

(1) In 2011, the **Classical Swine Fever** disease reappeared in Guatemala, with the detection of outbreaks in different departments of the country.[74] This led to the slaughter of more than 20,000 pigs, as well as the deaths of more than 4,000 animals. The government had to invest US$20 million to reopen the internal market.
(2) **Natural catastrophes**, mainly volcano eruptions. This has a large impact on animal health. MAGA works with curative and preventive medicine to address it.

Apart from these major crises, bilateral aid in food safety in Guatemala is basically structured projects. Aid is much more pro-active than reactive to crises.

The STDF's performance in Guatemala via PGs and PPGs is consistent with the country's main sanitary and animal health challenges. STDF projects (PG495 and PPG539) have addressed Guatemala's strong need for accreditation of ISO standards in laboratories, in order to export to other countries . Also, the issue of legislative modernisation (PG358) and the strengthening of OIE standards in the country are being addressed by the platform. It is worth mentioning, however, that most projects were focused on animal health and food safety, with a lack of projects dealing with plant health issues, which may be due to the lack of dissemination of the platform to other areas of government and the private sector. In addition, all platform actions are structured actions and not crisis responses. Due to the structure and deadlines of the STDF, the platform as a financing mechanism does not embrace crisis management.

Coordination of SPS capacity-building

Regarding the STDF's ability to coordinate different stakeholders during a PG or PPG, it is important to distinguish regional coordination from national coordination. For most of its projects in Guatemala, the STDF worked with implementers working on regional projects, such as the *Organismo Internacional Regional de Sanidad Agropecuaria* (OIRSA) and the *Instituto Interamericano de Cooperación para la Agricultura* (IICA).

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[74] For more information on the 2011 crisis, please refer to https://www.oirsa.org/informacion.aspx?idc=91&id=57. Consulted on December 3rd, 2018.

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By working with regional organisations, the STDF was able to ensure that most projects had a regional component. PG 358, for example, was firstly implemented regionally and was later executed in Guatemala. The project aims to incorporate technical provision for the control and eradication of bovine brucellosis, bovine tuberculosis and Newcastle disease into domestic legislation, and proposed harmonising the legal framework of Central American countries with OIE guidelines. According to the project leader at MAGA, the project had positive results and is directly influencing implementation of sanitary rules in Guatemala. According to OIRSA members, the same is also happening in Honduras and Belize.

On PG 495, regional coordination implemented by OIRSA enabled inter-laboratory exchanges of trials between Guatemala and other laboratories in Central America for twinning samples. Both examples highlight STDF efforts to coordinate regional projects.

For projects that didn't have a natural regional component, such as PPG 539, the STDF asked the implementers to extend them to Central America. AGEXPORT, the implementer of PPG 539, ended up including SIECA (Secretary of Economic Integration of Central America) in its project following a request from the STDF Secretariat for it to become a benchmark for other countries in Latin America.

With regard to national coordination, according to stakeholders interviewed in Guatemala, the STDF has regularly asked its implementers to integrate governmental institutions into its PGs and PPGs. For PPG 539, for example, the STDF asked AGEXPORT for a counterpart in the government, which resulted in coordination with the Ministry of Economy. The STDF has also already rejected projects proposed by the private sector that did not have coordination with the government. A traceability project for dairy products in Guatemala (PG/595),[75] for example, was rejected by the STDF because there was not enough government and other stakeholder involvement. Some implementers and beneficiaries have highlighted this feature as a positive one.

Regarding coordination with STDF donors and partners on SPS capacity-building, some implementers and beneficiaries in Guatemala stated that the STDF can do this only by reviewing projects and discussing them on the Working Groups. Also, a condition of PPG 539, for example, was for it to be in the format of the STDF or other donor fund's application template, so that it could more easily find funds after its conclusion. One of the main objectives of the consultant in the PPG would be to find potential donors to the project. Due to this condition, AGEXPORT discovered that the EU was interested in implementing the project and is reportedly working with them in the next steps of its implementation.

Nevertheless, some projects implemented in Guatemala could have better coordination between STDF members and partners. PG 515, for example, which deals with the traceability of the honey chain in Guatemala, was designed with the needs and requirements of the European market in mind. Some members involved in the project felt it would be interesting to have coordinated with the EU, to ensure that the format of the traceability website conceived by the project would be useful for European buyers. It is also important to state that some STDF members' and partners' regional offices had never heard of the STDF, and are not aware of any of its activities in the country. Also, regional offices of founding organisations such as FAO, World Bank and WHO didn't agree to meet the evaluators, or simply didn't respond to invitations to be interviewed. This may be because of the lack of participation of those offices in STDF projects, or even due to lack of interest.

Regarding coordination with the private sector, it is worth mentioning that there was participation of private companies and representatives in most of the projects carried out in Guatemala. However, it is unclear whether this was due to STDF coordination. For PG 358, beneficiaries stated that the project included participation of the private sector. Companies and sector associations had the opportunity to give their opinions on the proposed regulations that were being developed. Most private sector relations in the country were dealt with by the implementer or the beneficiary itself.

The STDF has made a clear effort to implement projects with a regional component. It does this via local implementers who have regional operations, or directly by requesting for ultimate beneficiaries to include a

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[75] http://www.standardsfacility.org/system/files/STDF_PG_595_Application_res.pdf

regional component in their PGs or PPGs. At the national level, the STDF also showed a clear effort to ensure government participation in PGs and PPGs, which encourages national coordination. It is worth noting the lack of participation of STDF members and partners in the implementation of PGs and PPGs. It would be important to extend local coordination with other STDF members and partners, who are often unaware of the STDF's activities in the field. It is up to the focal points of these organisations to ensure that the STDF is known to its local partners, to ensure coordination and non-repetition of activities. Finally, the STDF must continue to ensure that the private sector participates in its projects, by promoting the platform for trade associations directly and via partners.

Access to knowledge and know-how on SPS

Implementers and beneficiaries do not use the STDF's knowledge platform as a source of SPS technical information (thematic issues). Some have said they use the website and the online platform to find out the rules for obtaining PGs and PPGs, or to learn about other similar projects. It is worth noting that beneficiaries commented on the lack of lessons learned in the pages of implemented PGs and PPGs. The results presented on the STDF website usually highlight only the positive aspects of the projects, while lessons learned are not very clear, which does not favour replication of the projects in other countries.

The ultimate beneficiaries whose projects were executed by an implementer organisation declared even less knowledge of the STDF platform. Most of them said they had never visited the website.

Some beneficiaries also called attention to the fact that the platform is not translated entirely into Spanish, which makes it impossible for many users to access it.

STDF project preparation and project grant experience

Most of the project applications and implementations are by national or regional stakeholders. All the organisations interviewed confirmed that the PGs and PPGs in Guatemala were a result of a national demand or need. It is also important to note that most of the challenges in implementing SPS capacity-building identified by local government and the private sector are addressed by STDF projects in Guatemala, such as lack of ISO accredited laboratories, reinforcement of OIE standards in the country and improvement of the national legislation and regulation systems.

Although some projects were not intended for national ultimate beneficiaries, interviewees generally consider the issues addressed by the STDF essential for the improvement of Guatemalan sanitary systems. PG 358, for example, did not come from MAGA but was an OIRSA and STDF project that had previously been implemented in Central America and then offered to Guatemala. Nevertheless, MAGA officials adopted the project and are now changing and adapting regulations based on the STDF PG.

It is worth emphasising how important the presence of the STDF Secretariat in the field was, and the constant communication and dissemination of the platform to ultimate beneficiaries. Following the visit of a Secretariat representative with the OIE Evaluation mission to Guatemala in 2017, some national government officials have shown an interest in submitting new projects to the STDF. Prior to this, government representatives claimed they did not know the STDF; subsequently, they were very interested in seeking funds and information on the platform. It has also been reported that PG515, for example, was the result of a presentation by the STDF to the Guatemalan ambassador in Geneva. The Ambassador reported on the platform for national governmental institutions, which inspired new proposals for the platform from MAGA.

Sustainability and project follow-up are areas that STDF could improve in its PGs and PPGs. Regarding project results, some projects are not close to completing their outputs, such as PG 495, which is due to end in February 2019. The ultimate beneficiaries of the project state that a delay in payments has had a negative impact on the project, which deals with accreditation of laboratories for the ISO standard for some diseases. Local partners also said that the accreditation process takes an average of two years, which was not considered in the initial application by implementers. So, if there is no extension to the project, it will be finalised without positive results.

Other projects have had encouraging results, according to their implementers. PG515, for example, had two outputs: creating an electronic platform for tracing honey producers, which was quite successful, and

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promoting training to beekeepers in Guatemala, which also happened. Although the implementers have stated that many beekeepers do not want to register on the project website, probably due to tax concerns, more than 50% of Guatemalan producers had already registered.

Regarding project sustainability, most of the ultimate beneficiaries, however, claimed a lack of follow-up after the project was finalised. Some projects, such as PG358, had continuity and follow-up by the implementer, although the role of the STDF Secretariat in the continuity of the project is unclear. Other projects, such as PG 344, which aimed to establish the regional virtual food inspection school, did not continue after its conclusion, due to lack of interest of the project partners, according to the implementers. The virtual school lasted for only two modules, and there was no follow-up. So there is a certain irregularity regarding the follow-up and sustainability of the projects implemented in Guatemala.

Concerning the communication of results and lessons-learned, as noted above there is very little access to the STDF knowledge platform by project implementers and beneficiaries. However, some beneficiaries have reported interest in having more information about results from other projects. Some beneficiaries drew attention to the lack of lessons learned in the pages of implemented PGs and PPGs. The results presented in the STDF website usually highlight only the positive aspects of the projects, and the lessons learned are not very clear, which does not favour replication of projects by other countries.

With regard to assistance from the STDF Secretariat, it is important to differentiate implementers from ultimate beneficiaries. In some projects, the STDF had greater contact with the ultimate beneficiary, and in others only with the implementers, which generated a certain inconsistency in the impression that ultimate beneficiaries have concerning the role of the Secretariat.

For most implementers, the transparency and efficiency of the STDF Secretariat in the implementation and approval of PGs and PPGs was highlighted. In addition, the importance of the STDF's flexibility as a fund mechanism was emphasised by different stakeholders, allowing different types of organisation to access the funds. The open and positive support of the Secretariat in PG and PPG application processes was also highlighted. The Secretariat was referred to as an essential support to applicants, very efficient and with quick response. The Secretariat's assistance in PG and PPG applications is a clear value-added, and a differential to the other fund platforms.

However, the delay in approving some projects was emphasised, probably due to Working Group meetings and the lack of staff at the Secretariat. Some beneficiaries and implementers also noted the delay in receiving payments, which caused problems in the implementation of some projects. PG 495, for example, according to one ultimate beneficiary, took almost seven months to receive the funds. It was not possible to identify whether the problem was caused by the implementer or the STDF Secretariat. However, the delay compromised the positive completion of the project.

Some beneficiaries reported the lack of effective action of the founding members of the STDF, both in their technical performance and support. The role of partners such as FAO, OIE and other organisations is unclear. Sometimes project approval was delayed because one of the founding partners expressed an interest in participating in a project. This usually only happened during STDF Working Groups, when project applications are already finalised. It has been reported by beneficiaries and implementers that sometimes these organisations show interest in the project but do not necessarily contribute to its achievement.

According to most of the interviewees, there was no demand from the STDF for the treatment of cross cutting issues in projects carried out in Guatemala. There was no consensus among ultimate beneficiaries on the validity of incorporating cross-cutting issues, such as gender and climate change, into the projects. Some implementers emphasised that if the STDF over-concentrate on cross-cutting issues, they might lose their focus; while others pointed out that issues such as gender and the integration of indigenous peoples were implicit in their projects.

PG495 and PG358, for example, that deal with sanitary issues, directly benefit small and medium companies and work on poverty reduction. Newcastle disease, for example (PG495), appears more on small farms than in large farms. PG 515 is another example of a project that deals with gender issues, since the traceability

platform created by the project differentiates between men and women beekeepers and generally benefits small producers.

Regarding the implementation of PGs and PPGs in Guatemala, it is important to note that all respondents reported that the projects addressed national challenges and were owned by local stakeholders, even if the idea of the project did not come from the ultimate beneficiary. The follow-up and sustainability of the projects, however, could be enhanced by greater follow-up of the Secretariat in their continuity.

The role of the Secretariat and its support in developing applications was highlighted as extremely positive, and the true added value of the STDF compared to other platforms. Cross-cutting themes were not required in most PGs and PPGs implemented in Guatemala, according to the interviews. The Secretariat should, in this case, improve the work being done in this area.

ANNEX 10. THEMATIC WORK ON PUBLIC PRIVATE PARTNERSHIPS

Background to STDF Work

The STDF/LNV/World Bank workshop on "Public Private Partnerships in support of sanitary and phytosanitary capacity" held in the Netherlands in 2010 considered the potential role and value of PPPs in support of SPS capacity. The workshop was designed to consider the drivers and working modalities as well as the challenges and innovations using the lessons and experiences from both developed and developing countries.

Key questions addressed during the workshop included

- What key lessons can be drawn from successful – and less successful – PPPs focused on agricultural value chains and market access?

- What types of PPPs exist in the SPS area? How have they emerged and worked? What have been the experiences, challenges, innovations and results?

- What are the motivations and benefits of PPPs from the perspective of the public and private sector actors involved?

- What are the requirements for, and characteristics of, successful PPPs?

- How can PPPs in support of SPS capacity be encouraged most effectively in the future?

In April 2012, based on the findings and conclusions of the workshop, desk research and consultations with selected stakeholders directly involved in PPPs in different parts of the world, the STDF released, jointly with the InterAmerican Development Bank (IDB), a publication entitled: "Public-Private Partnerships to enhance SPS capacity: What can we learn from this collaborative approach?"[76]

Context
The private sector has been seen for some time as a major undeveloped source for investment and innovation, particularly where the private sector is a downstream player operating in value chains that include smaller producers or those producers that are currently excluded from markets.
Donors and development institutions are attracted by the concept of public-private partnerships and a variety of models tested are well documented. Private actors have included trade associations, sector or coalitions, product cooperatives and even large multinationals. The role of private consultancy companies and learning institutions has been included within the Private definition.
Considering the potential role and value of the PPPs to deliver support of SPS capacity, particularly when working closely in a regulatory environment, could be a more challenging proposition than straightforward technical assistance or intervention in a value chain.
Sustainable development that benefits all stakeholders regardless of operational scale and influence within the value chain requires a balance of good governance combined with the freedom to leverage the resources introduced by the private sector to achieve the required impact.
A strong enabling environment and willingness of government to provide a supportive and stable policy may be lacking and may require an inception programme ahead of a full PPP project.
Transparency, governance and clear policies for anticorruption and conflict of interest are required at the outset to protect the integrity of the regulatory environment from those that would seek to exploit an advantage from being closer to regulators from within a PPP.
Solving a short-term technical or scientific problem to expedite a temporary suspension of exports provides a convening point for interested actors over a relatively short time span and with a clearly defined outcome. Private sector actors can see a clear impact pass and a clear business case for investment of both time and resources to solve the immediate problem.
Wider and more systemic change of upstream practices and in some cases a complete sector transformation is a more challenging proposition.

Shannon Kindornay of the NSI presented the findings of "Models for Trade-Related Private Sector Partnerships for Development." The paper[77] seeks to specifically examine the role played by different actors through an examination of 30 trade-related PPP's, in order to identify models of good practice and lessons learned.

The STDF presentation gave examples of a private laboratory network for testing fish exports in Chile, and IT solutions for food traceability in Thailand, both of which would be relevant and timely subjects. The discussant panel included senior figures from the GFSI and COLEACP, indicating that the STDF PPP outreach at the 2013 event was regarded as a useful contribution to the emerging discussions on PPP.

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[76] http://www.standardsfacility.org/sites/default/files/STDF_PublicPrivatePartnerships_EN_1.pdf

[77] http://www.nsi-ins.ca/wp-content/uploads/2012/11/2012-Models-for-Trade-Related-Private-Sector-Partnerships-for-Development1.pdf

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The key messages contained in the summary report of the PPP side event did not contain any new information that was not explored in the earlier April 2012 document.

The document established six categories for PPPs in support of enhanced SPS capacity:

1. PPPs for SPS dialogue, networking and coordination;

2. PPPs for value chain development;

3. PPPs for SPS infrastructure;

4. PPPs for trade facilitation;

5. Joint public-private institutions for the implementation of SPS measures; and

6. Co-regulatory approaches in food safety.

Among the 21 conclusions and recommendations in the report, considerations of complexity, selection and scope of potential PPPs were highlighted explicitly in section two (page 88) and are noted in many of the other recommendations as a subtext.

For the STDF to develop a PPP thematic topic and make the application of the potential funding meaningful, the document provided a clear set of guidelines for proposals and potential outcomes.

To reach out to partners and establish an STDF dialogue around PPPs, the STDF Secretariat organised a number of events and publications:

 – STDF side event on PPPs in a value chain context, co-organised with Canada and the Netherlands, on 9 July 2013, as part of the 4th Global Review of Aid for Trade.

 – STDF Briefing Note entitled "Partnering with the private sector: delivering SPS outcomes", which provides diverse examples of collaboration with the private sector and PPPs in STDF projects.

 – Side events and activity to reach out to partners and establish an STDF dialogue around PPPs has included STDF side event on PPPs in a value chain context, Netherlands, on 9 July 2013.

 – South Asia Sub-regional Economic Cooperation (SASEC) Trade Facilitation Workshop Bangkok, 1-3 December 2014

Following further discussions at a WG in 2017, the STDF produced a second briefing paper and shared STDF experiences at other events related to PPPs, including:

 – FDA Public Hearing on Partnerships and FSMA (Feb. 2017)

 – ITC/ILO Value Chain Partnerships for Development (24 Nov, Geneva – ITC).

 – CCFICS (30-31 May, Edinburgh), sharing information on the STDF and participating in a side meeting to facilitate the discussion on the use of vTPAs.

 – JIFSAN (18-19 Oct, Washington), sharing STDF experience leveraging on PPPs to build food safety capacity, ppt attached.

 – The Global Food Safety Conference in Houston in 2017, and in Tokyo 2018.

Role of PPP in SPS challenges for trade of developing countries

According to WTO[78] the specific trade measures that are most frequently discussed in the committee tend to deal with bovine spongiform encephalopathy (BSE, or mad cow disease), avian influenza (bird flu), foot and mouth disease, and various plant diseases and pests such as fruit flies. The most common complaints are that importing countries are not following the international standards. Long delays in completing risk assessments or allowing imports are other frequent complaints.

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[78] https://www.wto.org/english/tratop_e/sps_e/sps_issues_e.htm

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There has been a long term debate[79] on how and when to be less stringent with less developed countries in order to provide more time to implement new measures. This is against a backdrop of not endangering consumers and farming in the importing countries.

For some of the less developed but larger land area countries, regionalisation and CBT could be an appropriate solution if the relevant authorities and the enabling environment could give suitable assurance of control. The key issue here is recognition that an exporting region within a country is disease-free or pest-free. Larger developed nations such as Canada and Brazil are examples where regionalisation rather than blanket ban is effective.

Similarly proof of equivalence could open important bilateral or regional trade opportunities. Equivalence according to WTO is defined as 'when governments recognise other countries' measures as acceptable even if they are different from their own, so long as an equivalent level of protection is provided.'

As global populations grow and some developing countries such as Kenya could be described as moving towards middle income, the traditional export of goods from South to North may become less important. Developing inter-regional solutions and applying SPS regulatory controls that can facilitate safe, sustainable and affordable food and contribute to national food security may become more important than narrow export channels.

The challenge of providing safe, affordable food to the increasing numbers of urban and peri-urban poor is often in areas, where informal markets provide sub optimal distribution of foodstuffs. Where food is transported into urban areas from the rural centres of production, the expertise and knowledge capacity of both the private sector and public sector that has been rigorously applied to export is rarely active. For many years one of the major criticisms has been that safe or quality food is only available for export, and that food safety best practice is not translated into the local market supply chain. There are many examples where phytosanitary and sanitary measures are applied by the private sector regulated by the competent authorities in order to achieve exporter access to markets. PPP at this level would allow a localisation of existing export practices regarding good agricultural practice, good manufacturing practice, animal welfare and husbandry, including slaughter and deboning. Product handling, inspection and testing that would be mandatory for export and often carried out by public laboratories and actors should be utilised through the PPP to provide safe, affordable food through the local channels.

Target audience for STDF thematic work on PPP

The target audience of the STDF knowledge platform in the PPP context is unspecified or generic, but it could also have evolved since the early inception and scoping thinking of PPPs in 2010. It is clear that the information that is contained within the STDF library on PPP and indeed other topics, is not necessarily immediately useful to those private sector actors considering establishing a PPP to address SPS related issues.

The outreach and active project partnership between the STDF and major companies such as Siam-Makro, demonstrate a clear ability to engage with the private sector, and that the target audience and potential constituency partners for PPPs may require a wider and more proactive solicitation and awareness programme to build on this early success.

The evidence that the private sector, including academia, is interested in PPPs facilitated through the STDF, and that STDF has itself recognised the potential is not immediately obvious through the website content. Although the briefing concept note on PPPs does go some way to highlight the successful projects to date, a more overt offer of early-stage conversations and bringing an accessible point of entry to potential PPP partners would be a logical next step.

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[79] The committee has agreed on a procedure for developing countries to ask for special treatment or technical assistance when they face requirements they find difficult to meet. WTO G/SPS/33/Rev.1, 18 December 2009

For example, the ITC standards map has been able to link the world of voluntary standards with the community of producers in emerging countries that are looking to export, and needs to be aware of market access-based needs beyond the requirements of SPS. This community of potential exporters accessing the ITC's standards map[81] diagnostic process would need to satisfy the SPS needs as a precursor to any potential export.

The funding section of the STDF website and in particular the PPG section does provide a clear statement that the STDF is open to dialogue and enquiry for future PPP projects. Searching for "PPP" in the STDF library's simple search returns no findings; however searching for "public private partnership" does return 33 entries, dating back to 2005.

> **Examples of PPP Engagement**
>
> COLEACP has been a major stakeholder contributor in the good agricultural practice standards community helping to guide and inform the GlobalGap standard for over a decade and the and the and the GFSI global markets program for primary production.
>
> UNIDO[80] have worked with Coca-Cola, Metro and the global food safety initiative on the Global Markets food safety platform since 2006.
>
> Both have established themselves as go-to partners to scope and deliver SPS-related projects in the emerging markets with the larger multinational players. Cargill, Coca-Cola, Metro and others have recognised that the multinational companies have the convening power to bring processors, co-packers and cooperatives into the projects through their commercial influence. The companies recognise that working with independent delivery partners that are able to scope out a project as a PPP which includes local public partners, academia and local specialists ensures that the SPS capacity-building in the supply chain remains after the project has ended.

Information is largely in the form of academic reviews and papers commissioned by the STDF partners. Although a technically accurate library, it would need to be forensically searched by an expert to be described as a resource that would provide guidance or a solution to any problem for either the public or private part of a PPP. Modern databases using keywords and tagging are more tailored to finding signposted solutions.

Relevance of current workstream on PPP

The new STDF briefing note clearly speaks to business and private sector actors both in the format, language and use of succinct examples of collaboration and results-based outcomes. This document articulates the purpose and principles or STDF and of the challenges facing the SPS community. Accessing the various case studies cited in the new briefing note in a short attractive format would be a valuable resource to encourage stakeholders to engage in similar SPS activity through a PPP framework.

The diversity of topics, sectors and partnerships gives a clear direction for the ambition and open invitation to collaborate in further STDF programs, making it highly relevant and tailored to future projects and collaboration, rather than to earlier STDF activity.

The use of technology solutions such as ePhyto certificates is highly relevant as chains of custody and global trade systems become digitised. The private sector has engaged with digital and electronic solutions for both traceability and transactional functions, but translating that into a secure and robust solution that is fit for the regulatory environment to utilise is a much larger project challenge.

Co-regulatory partnerships were discussed in the April 2012 document[82] in the context of food safety and the top-down approach to implementing food safety. The topic of accountability and an unbalanced burden on the less able parts of the supply chain remain to be debated. Recent awareness of food fraud (such as substitution of horsemeat into beef products) has opened the debate wider in terms of the role of industry self-regulation and surveillance as a contributor to a recognised risk assessment that would be used by the public regulatory partners.

In the light of this recent focus on food fraud and product substitution, the confidence of the public regulators to trust private sector coalitions and standards to self-regulate as part of a co-regulatory framework may be under question. Reverting to public inspection and surveillance as a single solution to provision of safe food requires a huge increase in public capacity, and a substantial timeframe to implement. As stated in the April 2012 report, accountability inevitably falls on the public authority. On that basis, industry cooperation formalised through co-regulation appears to be more attractive. In the future, there may be a role for STDF to

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[80] UNIDO - https://www.unido.org/news/strategic-partnership-between-unido-and-global-food-safety-initiative-announced
[81] http://www.standardsmap.org/identify
[82] http://www.standardsfacility.org/sites/default/files/STDF_PublicPrivatePartnerships_EN_1.pdf

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rebuild confidence through a workstream redefining the roles and responsibilities that deliver robust and trustworthy solutions.

PPP in STDF PPGs and PGs

Of the 17 PPGs listed on the website as "ongoing", none mention PPP in the project title. However, the following PPGs have a PPP focus or mention some form of PPP in the application or TORs. Some of the PPG applications make a reference to stakeholder consultation or consultation with the private sector, but this basic outreach activity would not be considered strong enough for PPP project inclusion.

• Sri Lanka PPG 576 - Development of a Feasibility Study for value addition in the fruit and vegetable (F&V) sector of Sri Lanka through public-private partnerships and a strategic plan for the Lanka Fruit and Vegetable Producers, Processors and Exporters Association

• Uganda PPG 543 - Support to the departments to work with other stakeholders in the public and private sector will be needed in the project preparation phase. other non-governmental organisations and private sector organisations involved in promoting horticulture will be crucial since they work in rural areas with small growers.

• Sudan PPG 435 - The proposal of technical interventions will consider innovative and feasible approaches that could be implemented in Sudan, inter alia, the establishment of public-private partnerships and the adaption of the latest technologies.

Of the 21 PGs listed on the website as "ongoing" there are none that mention PPP in the project title. However, there are two explicit PPP projects marked as completed, but both projects are older than the current increased STDF activity around the PPP thematic topic.

> **Examples of PG with some PPP elements**
>
> • South Africa PG 606 - The project encourages collaboration across government authorities responsible for agriculture, trade, SPS matters, as well as planning and finance, as well as with the private sector, academia and policy/research institutes. It develops expertise to use the STDF P-IMA framework as an evidence-based tool for SPS planning, prioritization and resource allocation purposes, in collaboration with relevant government, private sector and other stakeholders.
>
> • Myanmar PG 486 - The project also aims to increase linkages along the oilseeds sector value chain and to export markets. All value chain's actors, sector association and private and public stakeholders are encouraged to participate in project related events and strengthen their collaboration at national level.
>
> • Ethiopia PG 477 - The project will improve public and private cooperation, networking and market linkages along the meat value chain and with national, regional and international trading partners. The project will also support the establishment of a coordination forum to enhance collaboration between the federal and three regional veterinary services.
>
> • Sudan PG 435 - This project will improve public-private cooperation, networking and market linkages along the sesame-seed value chain, especially with trading partners of high value markets. Lastly, the project aims to organise a buyer's mission for importers of high-end markets to visit Sudan. The project also intends to hold a business networking event.

• Guinea PG 065 - Public-private food safety controls for horticultural exports (2005)

• Nepal PG 329 - Public-private partnerships to promote ginger exports (2012)

As with the PPGs, some of the projects mention the private sector within consultation or future collaboration outcomes, but are not explicitly PPP projects in themselves. Analysis of the ongoing PPGs/PGs would indicate that applicants include suitable wording about private sector engagement and potential partnership but the projects themselves are normal SPS capacity-building projects driven by the public sector or the regulatory bodies. Increased linkages, coordination and business networking feature in the used wording, but the establishment of formalised cross-functional projects that could be described as PPP are currently lacking.

Conclusions and recommendations regarding PPP work of the STDF

The 2010 publication of consultation papers and the attendance at conferences and side events have raised the profile of the STDF beyond the founding partners and public regulatory establishment. Alongside organisations such as UNIDO, COLEACP and Michigan State University, which are well-established collaborators, there are opportunities to engage with private sector actors.

Eight years on, STDF can legitimately claim to have a number of strong case studies and sufficient experience to claim modest success and build on PPP work into the future.

The STDF needs to find a well-defined position in the SPS space, and to clearly articulate the offer of its future role and focused services. Operating in the same space as other donors—who may focus on overlapping subject areas such as food safety, quality, post-harvest and productivity—may crowd out STDF

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activities. The current constraints of small budgets, short timeframes and a narrow SPS topic lends itself to initiating projects and problem-solving, rather than long-term systemic change.

Bringing together industry trade associations, key government ministries and the designated public implementation bodies, such as veterinary services or plant health extension services, is still a highly politicised activity in many countries, with vested interests and conflicting agendas to overcome.

Identifying key countries and key sectors where mature entities exist but are not collaborating on SPS matters for the public good may be one way to proactively search for future PPGs. The ability for the STDF to commission PPG's in order to funnel and focus its own PPP work may be required.

Using a model such as the ITC standards map to engage with actors across the whole value chain at the level before private voluntary standards would seem to be an important next step. Having a simple point of entry to the SPS and STDF platform that is attractive and familiar to the private sector is important. The continuing work of partnering with GFSI and other private sector coalitions can be time-consuming and potentially expensive, and without a clearly defined offer of assistance and scoping of projects, it is difficult to quantify in terms of impact.

The co-regulatory dialogue initiated by STDF is an innovative topic area and could be described as contentious among many sectoral actors. Given its founding partners and its expertise, the STDF does appear to have a natural mandate to explore and develop the future of co-regulatory partnerships in delivery of better SPS outcomes. With the apparent failure of self-regulation in some industry sectors, there have been calls for a re-engagement of public regulatory bodies into this space, increasing inspections and surveillance. Re-establishing confidence and trust in the systems that enable public-private partnerships to contribute to SPS capacity is an important first step towards building correlation models.

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ANNEX 11. BENCHMARKING

The following programs have been identified, based on structural similarities to the STDF for a light benchmarking exercise in order to identify positive practices that could be applied, adapted and used by STDF across its main work streams: project funding (PG and PPGs), coordination and the knowledge platform. The selected programs for benchmarking are not necessarily related to trade or SPS issues, but have similar work streams and activities.

The review of programmes is divided between those that provide knowledge platforms and funding and those that only provide a knowledge platform.

PROGRAMMES PROVIDING FUNDING AND A KNOWLEDGE PLATFORM

THE GLOBAL PARTNERSHIP FOR EDUCATION (GPE)

The programme: GPE

Established in 2002, GPE is a partnership and fund that aims to strengthen education systems in developing countries in order to increase the number of children who are in school and learning. GPE brings together developing countries, donors, international organisations, civil society, teacher organisations, the private sector and foundations.

Donors/Funds

Funded by: Australia; Belgium; Canada; Denmark; European Union; Finland; France; Germany; Ireland; Italy; Japan; Luxembourg; Netherlands; Norway; Republic of Korea; Spain; Sweden; Switzerland; United Arab Emirates; United Kingdom; United States of America.

Budget Size: The 2018 Annual Programme was US$266 million.

Cumulative contributions to the GPE Fund by donor (%). 2003 to 2018
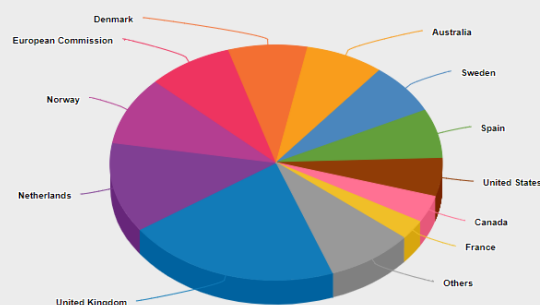
The following donors contribute less than 2%:

Belgium	1.75%	Finland	0.14%
Ireland	1.63%	Children's Investment Fund Foundation (CIFF)	0.11%
Germany	1.47%	Republic of Korea	0.05%
Switzerland	1.29%	Open Society Foundation	0.03%
Italy	0.91%	Stichting Benevolentia	0.03%
Japan	0.51%	Dubai Cares	0.02%
Russia	0.29%	Romania	0.01%
Luxembourg	0.15%	Rockefeller Foundation	0.01%

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Structure/Governance

<u>Board of Directors (BD):</u> reviews annual objectives of the partnership, mobilizes and monitors financial resources and funding, advocates for the partnership, and oversees the Secretariat budget and work plan.

The BD is comprised of 19 constituencies representing all the partners of GPE (Developing Country, Donor, Civil Society, Private Sector and Foundation, Multilateral Agencies).

<u>Board Committees:</u> support the Board in fulfilling its functions through Committees. They include: Coordinating Committee, Finance and Risk Committee, Governance and Ethics Committee, Grants and Performance Committee, and Strategy and Impact Committee.

<u>Secretariat:</u> provides day-to-day administrative and operational support to the partnership. The Secretariat has 17 employees divided in:

- Front Office – three employees.
- Country Support – four employees.
- Education Policy and Performance – three employees.
- External Relations (advocacy/fundraising/communication/donor relations) - five employees.
- Finance and Operations – two employees.

<u>Monitoring & Evaluation</u>:

GPE has put in place a monitoring and evaluation program to measure progress on GPE 2020, reflect on the support provided, and learn from results achieved to date. The monitoring and evaluation strategy is organised into four main streams of work: results monitoring, grant monitoring, evaluation, and dissemination and learning.

GPE's evaluation program consists of three strands of work:

(vi) Country-level evaluation, 2017-2020, consists of summative and prospective evaluation case studies to understand the extent to which GPE's country-level work helps strengthen education systems in GPE partner countries, and contributes to improving learning and equity. An annual synthesis of these case studies will provide useful information on the relevance and effectiveness of GPE's country-level model.

(vii) Programmatic evaluations focus on specific grant and financing areas of GPE's work, such as civil society or sector plan development.

(viii)   The final independent evaluation of GPE 2020 assesses whether GPE has achieved the goals and objectives of GPE 2020, which will feed into GPE's next five-year strategy.

Project grants / projects

GEP has three types of funding:

Education sector plan development grants: Developing countries interested in joining GPE can receive up to US$500,000 to develop a solid education sector plan or improve on an existing one. This grant helps a country to perform strategic, consultative and analytical work to develop or revise its sector plan. <u>This would be similar to STDF's PPGs</u>.

Program development grants: Countries can receive US$200,000 (up to US$400,000 in exceptional cases) for the design of an education program that will help the country to implement its national sector strategy. <u>This would be similar to STDF's PPGs</u>.

Education sector program implementation grants: GPE partner countries can receive up to US$100 million to finance a program that supports the implementation of their education sector plan, including

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among other things funding school construction and rehabilitation, textbooks, teacher training, school meals or sector management. This would be similar to STDF's PGs.

Knowledge platform

The GPE knowledge platform is divided on:

- **ABOUT US**: it has all information concerning GPE governance and structure, strategy, Secretariat, partners and M&E. Very much detailed with easy access to all documents.

- **EDUCATION**: definition of education and areas of GPE work.

- **COUNTRIES:** detailed profile of all developing countries GEP works with. For each country page, GPE show results, publications and lessons learned from their projects.

- **FOCUS AREAS:** GPE has here detailed information on the thematic areas of work. For each focus areas they show results, publications and lessons learned from their projects.

- **DATA & RESULTS:** GPE organises its results page on: Key results, Education data, Results stories (blog text and videos) and Results reports. The results match their M&E program.

- **FUNDING**: Explains all existing funding mechanisms and the financial resources of the program.

- **BLOG:** shows several articles from education experts from GPE staff and partner organisations.

Potential Lessons for STDF

STRUCTURE/GOVERNANCE

Board Committees: GPE has board Committees, where decisions and recommendations are made to the Board of Directors. The thematic committees support the organisation decision making and allows technical knowledge to be given. STDF could study this committee structure and analyse whether it could be useful to be applied for PG and PPGs approvals for example.

Secretariat: The GPE Secretariat staff has a clear functions and role division. They have specialists for external relations, for example, and other for country support. This helps the platform to be more effective on its outcomes. STDF Secretariat could explore the possibilities of having specialized staff for each of its functions.

KNOWLEDGE PLATFORM

Data and results: GPE has a specific page dedicated to gather information on the outcomes/results of the projects. Also, this same information is also available in the country and thematic pages. This allows the knowledge platform to promote the lessons learned of GPE projects and it is easier to identify GPE outcomes. Also, if an user of the knowledge platform wishes to subscribe to a newsletter only on one country or theme, it can be done.

Country pages: GPE has specific country pages, where it exposes general data about the country education system, publications, results and outcomes from projects. There is a mix between innovative information (from outcomes of their own projects) and existing information that is only being replicate in the website. This helps users to have a wider view on the country education system and GPE's work.

Blog: Having a blog, where you give the opportunity for partners and external experts discuss innovation solutions is an interesting resource for a knowledge platform. It gives the opportunity for experts to have a voice and to showcase projects and initiatives in the field. STDF could incentivize partners and experts to write articles on innovative projects that are being implemented in the field or new technologies related to SPS issues.

PROJECT GRANTS

GPE Multiplier (https://www.globalpartnership.org/funding/gpe-multiplier): The GPE Multiplier works alongside other sources of external funding. It can be invested as a grant or used to lower the interest rate on concessional lending, for example from multilateral development banks or bilateral donors. It can also work alongside other, non-traditional sources of development finance, including private capital. The instrument minimizes transaction costs: there are no additional demands for eligible countries to access the fund beyond GPE's existing funding model requirements.

Website address: https://www.globalpartnership.org/
Contact: information@globalpartnership.org

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GLOBAL QUALITY AND STANDARDS PROGRAMME (GQSP) 2017-2022, UNIDO

The programme: GQSP

The GQSP program is a partnership between UNIDO and the Swiss State Secretariat for Economic Affairs (SECO) to create a programmatic approach to existing projects on standards compliance that have been conducted in twelve different countries (Colombia, Peru, Indonesia, Egypt, Ghana, Tunisia, Ukraine, Georgia, Kyrgyzstan, Tajikistan, Vietnam, South Africa). The proposal is to cross link between the projects to capitalize experiences and overall knowledge to create a more comprehensive impact by developing a coherent programmatic approach. The GQSP is intended to consolidate UNIDO and SECO interventions on trade standards compliance within one tool, adding the benefit of a global component facilitating synergies and enhancing coherence among the interventions.

The programme has two components: (1) the **global knowledge** management, and (2) **country projects**. The global knowledge management comprises an online platform to work as a catalyst of lessons learned. The country projects may address of all the three outcomes of the programme (type 1), with an average duration of 3-4 years; or be short term programs with focus on target issues (type 2), with an average duration of 1-2 years. In both types, coordination among country and projects is expected.

Objectives/expected outcomes

Technical competence and sustainability of the National Quality Infrastructure System is enhanced. Strengthening of key institutions and relevant public-private support institutions through capacity-building, use of best practices, skills development, and implementation of management systems to ensure quality and international recognition of their services

SME compliance with international standards and technical regulations is enhanced. Improving of compliance capacity through specialised training, capacity-building and preparation for certification, strengthening of cluster networks and quality consortia as well as relevant support institutions.

Awareness for quality is enhanced. Advocacy, up-scaling of knowledge dissemination, advice for informed policy decisions on standards compliance and support for policy development

Donors/funds

Funded by: Swiss State Secretariat for Economic Affairs (SECO).

Budget Size: CHF 17.35 Million

Structure/governance

Staff: the project has a program management unit in Vienna with four fixed staff. Each of the 12 countries have a project implementation unit at the country level that will vary on dimensions, depending on the size of the project.

Governance of Programs:

Global Level: Global Programme Steering Committee (bi-annual meetings).

Country Steering Committees (bi-annual meetings)

Decision making: Project approvals are made by UNIDO, the beneficiary country and SECO local office. The staff of SECO local offices often build the project proposal together with the country local government. UNIDO does not have to go through its internal process to approve the project, which brings more efficiency to the funds.

Coordination

GQSP coordinates in a global and a national level. On the global level, they organise every year, in parallel with the International Organisation for Standardization (ISO) annual meeting, parallel events to promote face-to-face meetings among the 12 countries of the platform. During those meetings and events, they promote training and discussions.

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At a national level, GQSP coordinates through their projects. After a project grant approval, GQSP organises a local workshop in the ultimate beneficiary country to discuss the logframe of the project with all the stakeholders involved. This is one important activity of the stakeholder engagement process and it is done in the inception phase of the project.

Knowledge platform

The GQSP has a strategic and transversal component with the objective to generate and disseminate knowledge from research and past activities of the program. The knowledge platform is disseminated through two different instruments: (1) country funded projects; (2) online platform hosted by UNIDO – the Knowledge Hub general public (https://tii.unido.org/section/trade). The GQSP knowledge platform is hosted in UNIDO's Trade, Investment and Innovation Knowledge Hub (TII). The TII is separated in three sections: Trade, Investment and Innovation.

Audience targeting (online platform): the platform indicates in its trade section the audience they are targeting for each available tool. The platforms disposals tools for policymakers, quality infrastructure institutions and conformity assessment bodies, and enterprises and consumers. They are also translating this to Chinese, Arabic, French and all five UN official languages.
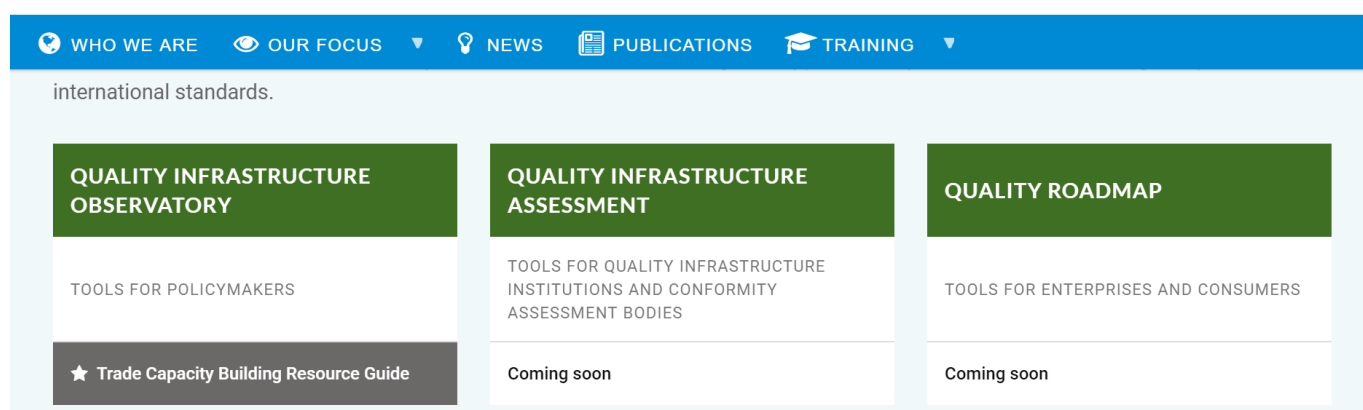
Training: on the trade section, the platform has two main trainings – ecommerce and quality infrastructure and trade. Both courses have access after a login and password. They have also physical trainings. GQSP organise a quality infrastructure course with 10 different technical organisations. They disseminate the platform via the organisations.

News: The news are mainly about UNIDO projects and outcomes.

Project grants

Monitoring & Evaluation: GQSP has a strategic monitoring framework, where GQSP focus more on monitoring than the evaluation. UNIDO will monitor the GQSP at three levels:

1. Overall Programmatic Framework.
2. Component one – Global Knowledge Management.
3. Component two – Country projects/special measures.

The activities foreseen under Component one and Component two are monitored on regular basis by the designated Project Managers, in close collaboration with the respective Project Teams and key counterparts in the field. Thus, ensuring timely identification of possible implementation challenges and providing opportune support in addressing them. The Project Managers will monitor the progress with a results-based management approach, oriented towards performance in terms of delivering activities and achieving desired

outputs, and are responsible to collect relevant information/data for the consolidation by the PC. The interventions would be also monitored by UNIDO and SECO at country level[83].

The strategic monitoring happens always after the first year, when there is a mission to the country when they identify what must change correctively. This work is done by an external consultant. Otherwise, any stakeholder can request a strategic mission to check what is not working with the project, with the aim to make the recommendations. It is good to have a external process.

In terms of evaluation, they do not evaluate all the projects, just some of them. This traditional evaluation, is often done after the project. They prefer to focus on monitoring than the evaluation because it is more action oriented and it is less expensive. The monitoring gives more opportunity for the beneficiary to improve the project. The Programme will be evaluated in accordance with UNIDO Guidelines for the Technical Cooperation Programme and Project Cycle. Evaluation will include at least a mid-term and a final independent evaluation. The final evaluation will be led by UNIDO's Evaluation Group, and it will be carried out by an external consultant team agreed upon by SECO and UNIDO, according to UNIDO's practice.

> **Potential Lessons for STDF**
>
> **KNOWLEDGE PLATFORM**
>
> Target Audience: GQSP clearly identify the target audience in its online knowledge platform. Although the platform is quite recent and there is still a lack of technical information, it differs the content to policy makers, conformity assessment bodies and consumers and industries. This helps the audience to identify which material is most necessary for their use and also GQSP to produce its materials.
>
> **PROJECT GRANTS**
>
> Monitoring & Evaluation: By focusing on project monitoring, GQSP may identify mistakes that are occurring during the project implementation, promoting more effective execution. According to the Secretariat of the organisation, monitoring is cheaper than a post-evaluation.

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Contact: Global and Quality Standards Programme at SECO: info.wehu.cooperation@seco.admin.ch

KNOWLEDGE PLATFORMS

GLOBAL DONOR PLATFORM FOR RURAL DEVELOPMENT

The programme: Global Donor Platform for Rural Development

The Global Donor Platform for Rural Development is a network of 40 bilateral and multilateral donors, international financing institutions, intergovernmental organisations, foundations, and development agencies, managed by German International Cooperation (GIZ) in Bonn/Germany. The Platform offers a neutral convening space in which members work together on emerging developments in international cooperation and policy or strategic priorities of common interest - share experience and expertise and discuss the future engagement of donor agencies and international finance institutions. The functions of the Platform include: knowledge sharing, advocacy and networking.

Donors/Funds

Funded by: USAID, EU, AfDB, AfC (France), Australia, Bill and Melinda Foundation, Germany, DFID (UK), Finland, Italy, IFAD, the Netherlands and SDC (Switzerland)**.**

Budget Size: 1.3 million euros.

Structure/governance

Members: The Platform has 40 members, from international multi- and bilateral organisations.

Focal Points: Each member appoints a contact point to represent the respective organisation at Platform meetings and keep colleagues in their organisations and their NGO/private sector constituencies informed

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[83] Information provided by the GQSP platform staff.

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about new developments in the international community and the Platform outcomes. Contact points actively participate in the formulation of joint Platform policies and work programmes. They may speak on behalf the Platform at international events.

Board: The Board is the Platform's main decision-making body and comprises the contact points of all Platform members who pay an agreed annual membership contribution. Unless otherwise specified, decisions are taken by two-thirds majority vote. Physical board meetings are convened at least once a year following the Annual General Assembly in January/February of each year and one virtual board meeting in June of each year.

CO-CHAIRS: The Platform's two co-chairs are elected by the board members and serve for two years. The Platform co-chairs are also chairing the board.

Partners: The Platform enters into partnerships with research institutions, farmers' organisations, civil society organisations, global and regional networks and global initiatives and private sector networks which share a common interest in agriculture and rural development. Each partner organisation nominates a contact person to serve as the official link to the Platform. Representatives from partner organisations are invited to engage in the work streams of the Platform and attend Platform meetings.

Secretariat (6 employees): The Secretariat is the management unit of the Platform to support the implementation of the annual work programme, for which it has executive authority. The secretariat is hosted by the Federal Ministry for Economic Cooperation and Development (BMZ) of Germany and administered by the German International Cooperation Agency (GIZ) in Bonn/Germany. The Platform Secretariat is empowered to act within the framework of the agreed annual work plan with executive authority according to the Strategic Plan 2016 – 2020. The Platform Secretariat's principal task is to support the Platform membership in carrying out the three-principal function of the Platform, namely knowledge sharing, advocacy and networking.

Coordination

Coordination with member happens through traditional communication channels (email, conference calls and webinars) and face to face meetings. Management meetings with board members happen every two months.

Annual General Assembly: it is the Global Donor Platform's main event. According to the results from the last communication strategy evaluation, the members really appreciate face-of-face meetings and it is a value-added for them.

Knowledge platform

The Global Donor Platform for Rural Development Knowledge platform is divides in:

ABOUT US: describes the platform structure, its members, partners and secretariat.

TOPICS (WORKSTREAMS): describes seven main topics that are prioritize by the platform. The page describes the topic and presents specific coordination & advocacy work. The role of the platform is connecting the dots, generating knowledge and identifying gap in the workstreams discussions. Each topic is chosen by the members. Often more than one member shows interest for a topic during the General Assembly and the board make the final decision. After deciding the topic, they have an initial meeting/call with the leaders of the group to start discussions on the topic and establish a work plan on webinars, sessions and events. The Secretariat facilitate and organise, but the donors (members) are in the lead.

EVENTS: describes events organised by different partners of the topics that the platform works.

WEBINARS: it offers webinars and video with experts and partner organisations on the main topics worked by the platform. Videos and presentations are available for download. Participants and presenters exchange about initiatives on the ground and discuss topic specific agriculture and rural development issues.

MEDIA: it gives access to latest news, publications and newsletters. It also has a dedicated channel to show interviews with experts. The interviews provide the user with interpretation of certain issue,

background information and possibly an explanation. The interviews of the Platform could be topic specific, person specific or focused on a concrete issue.

The platform both creates and reproduces content using different sources. While creating content, it is generally summarizing conferences and workshops they have attended.

<u>Audience targeting (online platform):</u> mainly existing members and donors of the platform, but they have specific content to the development and external communities.

Potential Lessons for STDF

KNOWLEDGE PLATFORM

Webinars: The platform does interviews and informative webinars of its main topics. It is an interesting way of reaching a larger public and promoting lessons learned and expertise of partners. It is also not an expensive mechanism. STDF could use this type of platform to promote thematic work.

Interviews: As webinars, interviews with different stakeholders would be an interesting tool for STDF to promote the platform's thematic work and innovative tools. It is and simple way to promote lessons learned from PG/PPGs in developing countries or share information.

Thematic work (workstreams): Workstreams groups have an interesting organisational structure. By empowering members to lead thematic work, the Secretariat manages to expand its content production capacity. At the same time, the members and leaders of each of the workstreams have to build a work plan on the topic and produce different results of the work. This format could be studied by the STDF and evaluated the possibility of being replicated it in its thematic work structure.

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Contact: Dr. Reinhild Ernst (Secretariat Coordinator) / Phone: +49 228 4460 3566 / reinhild.ernst@donorplatform.org

GREEN GROWTH KNOWLEDGE PLATFORM (GGKP)

The Programme: GGKP

The GGKP was established in January 2012 by the Global Green Growth Institute, the Organisation for Economic Cooperation and Development, the United Nations Environment Programme and the World Bank. This group has since expanded to include a large, diverse group of knowledge partners, comprising leading institutions and organisations active in areas related to green growth and green economy at the local, national, regional, and international levels.

The Green Growth Knowledge Platform (GGKP) is a global network of international organisations and experts that identifies and addresses major knowledge gaps in green growth theory and practice. By encouraging widespread collaboration and world-class research, the GGKP offers practitioners and policymakers the policy guidance, good practices, tools, and data necessary to support the transition to a green economy.

Objectives/expected outcomes

The GGKP is a global network of international organisations, research institutes, and experts focused on promoting a green economy transition by:

– Identifying major knowledge gaps in green growth theory, policy, and practice and addressing these gaps by promoting collaboration and coordinated research; and

– Using world-class knowledge management and communication tools to provide practitioners, policymakers, and other experts with opportunities to access, share, and utilize green growth policy analysis, guidance, lessons learned, information, and data.

Donors/funds

<u>Funded by</u>: Global Green Growth Institute, UN Environment, Switzerland, as well as programmatic funding from the Netherlands, Germany, and the MAVA Foundation.

Structure/governance

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Steering Committee: The GGKP's four founding organisations – the Global Green Growth Institute, the Organisation for Economic Co-operation and Development, the United Nations Environment Programme, and the World Bank – together form the GGKP Steering Committee. As the principal governing and decision-making body of the GGKP, the Steering Committee is responsible for approving GGKP's strategy and overall work program and its decisions are taken by consensus.

Secretariat: 10 employees and four coordinators, one from each partner organisation (OECD, UN Environment, World Bank and GGGI). From the employees they have three staff, two consultants and five interns.

Independent Advisory Committee: made up of experts from around the world with deep technical or policy experience related to green growth research and practice. The Advisory Committee offers strategic advice and guidance on GGKP research programs, including recommending key research topics and pointing to new and emerging fronts for priority research; Identifying and nominating institutions and experts to serve on GGKP research committees; and Suggesting potential sources of research funding.

Working Groups: GGKP organises its research programme around expert working groups. Each working group is made up of individual experts from the GGKP partner organisations, the GGKP Advisory Committee, and outside experts. They have nine different WG.

Coordination

In GGKP the main coordination is done with the four coordinators that are middle level people in partner organisations. They organise phone calls with the coordinators to discuss the direction of the platform and ask whether they have new priorities coming up in their respective organisations. According to GGKP Secretariat, this system is very much effective. However, having only one coordinator for one big organisation such as World Bank, for example is a challenge.

Knowledge platform

GGKP has three main activities in its knowledge platform:

Managing knowledge: GGKP look for organisations that are producing research within their scope of work and negotiate a partnership. There is no legal structure in this partnership, but often the partner organisations send an official letter asking for the partnership, then GGKP goes to the Steering Committee, who is responsible for approving the new organisation. GGKP staff monitors websites and newsletters from partners to keep up with the research that is being developed. Some organisations send documents and GGKP screen and chose what goes to the knowledge platform.

Generating knowledge: GGKP also generate knowledge through thematic and research Working Groups, which are formed by volunteer experts. The WG comes together one or two times a year for a couple days. To find the experts they go to primarily the partner organisations. The WG has not necessarily funding, but they can pursue funds. GGKP is seen as a neutral knowledge space – everything they produce is made by the expert group.

Sharing knowledge: GGKP shares knowledge from a series of webinars and annual conference with partners. GGKP do their own webinar, but it also comes from the partners. They also host the learning material around the internet. GGKP share its knowledge through newsletters (6000 subscribers) and Social media (3000 subscribers).

The GGKP's knowledge platform is divided by THEME/SECTOR/ COUNTRY. On the **sector and themes**, the following items appear:

- Insights from specialist

- Relevance to SDGs.

- National documents:

- Publications

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- Case Studies

- Learning Products

- Projects

- Batumi Initiative on Green Economy (BIG-E)

E.g. Agriculture http://www.greengrowthknowledge.org/sector/agriculture

Standards and Regulation: http://www.greengrowthknowledge.org/theme/standards-regulations

On the **regional and country:**

- Data (socioeconomic context, natural asset base, environment and resource productivity, etc)

- Country publications

- Regional publication

- Projects

- Relevant green growth practice

On the learning platform (http://www.greengrowthknowledge.org/learning):

- Webinar

- Courses

Audience targeting (online platform): They target researcher although they want the policy makers also. They add around 10 to 20 researches a week.

Potential lessons for STDF

STRUCTURE

Coordinators: having coordinators in the partner organisations of the GGKP is an interesting way of maintaining constant contact with those institutions and understanding their new projects and priorities. This enables greater participation and involvement of the partner entities. In addition, the fact that this coordinator is a different person than the one attending the meetings of the Steering Committee is also positive, since it allows a broader relationship with the partner organisation. Coordinators usually stay physically in their own organisation but have a responsibility towards the GGKP. This model would be interesting to be studied by the STDF to increase the participation and involvement of partner organisations.

KNOWLEDGE PLATFORM

Working Groups: By organising its research programme around expert working groups, GGKP can produce relevant content to its thematic work. The Working Groups may pursue its own funding and are able to be a neutral knowledge space. The WG are led by experts and partner organisations. This is an interesting model that could be further analysed by the STDF on its own thematic work.

Managing knowledge: GGKP look for organisations that are producing research and with the help of five interns they identify relevant reports and studies that may enhance its knowledge platform. They also receive documents from partners, but by having an internal mechanism of finding information, they have more capacity of reproducing existing knowledge. This could be an interesting model to be studied by STDF.

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