External Evaluation of the Standards and Trade Development Facility (STDF)

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Contents

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LIST OF ABBREVIATIONS AND ACRONYMS

- AECF – Africa Enterprise Challenge Fund
- AGEXPORT - Asociación Guatemalteca de Exportadores
- ASEAN - Association of Southeast Asian Nations
- BIG-E - Batumi Initiative on Green Economy
- BSE – Bovine Spongiform Encephalopathy
- BMZ - Federal Ministry for Economic Cooperation and Development
- CARICOM - The Caribbean Community
- CBT – Commodity-Based Trade
- CCFICS - Codex Committee on Food Import and Export Inspection and Certification Systems
- CEN-SAD – Community of Sahel-Saharan States
- COLEACP - The Europe-Africa-Caribbean-Pacific Liaison Committee
- COMESA – Common Market for Eastern and Southern Africa
- DAC – Development Assistance Committee
- DCP - Department of Crop Protection
- DTIS - Diagnostic Trade Integration Studies
- EAC – East African Community
- ECCAS – Economic Community of Central African States
- ECOWAS – Economic Community of West African States
- EIF - Enhanced Integrated Framework
- FIA – Food Industry Asia
- FAO - Food and Agriculture Organization
- FDA - Food and Drug Administration
- FMD – Foot-and-Mouth Disease
- FOREX – Foreign Exchange Market
- FSMA – Financial Services and Markets Authority
- GFSI – Global Food Safety Initiative
- GFSP – Global Food Safety Partnership
- GGGI – Global Green Growth Institute
- GGKP – Green Growth Knowledge Platform
- GIZ - German International Cooperation
- GPE – The Global Partnership for Education
- GQSP – Global Quality and Standards Program
- GRP – Good Regulatory Practice
- IGAD - Intergovernmental Authority on Development
- IICA - Instituto Interamericano de Cooperación para la Agricultura
- ILO - International Labour Organization
- IPPC - International Plant Protection Convention
- ISO - the International Organization for Standardization
- ITC – International Trade Centre
- JIFSAN – Joint Institute for Food Safety and Applied Nutrition
- KSI – Key Stakeholder Interview
- LDCs – Least Developed Countries
- LNV – the Dutch Ministry of Agriculture, Nature and Food Quality
- MAGA – Ministry of Agriculture
- MTR – Mid-Term Review
- MOTSSA - Market-oriented training service on standards application
- M&E – Monitoring & Evaluation
- NGO - Non-Governmental Organisation
- NPPO – National Plant Protection Organisation
- OECD - Organisation for Economic Co-operation and Development
- OIE - World Organisation for Animal Health

- OIRSA - Organismo Internacional Regional de Sanidad Agropecuaria
- OLICs – Other Low Income Countries
- PCE – Phyto-sanitary Capacity Evaluation
- PG – Project Grants
- P-IMA – Prioritize SMS Investments for Market Access
- PPGs – Project Preparation Grants
- PPP – Public-Private Partnerships
- RBM – Results Based Management
- RBMF – Results Based Management Framework
- RECs – Regional Economic Communities
- SAARC - South Asian Association for Regional Cooperation
- SADC - Southern African Development Community
- SDGs - Sustainable Development Goals
- SECO - Secretariat for Economic Affairs
- STDF - Standards and Trade Development Facility
- SPS – Sanitary and Phytosanitary
- SSAFE – Safe Supply of Affordable Food Everywhere
- TBT – Technical Barriers to Trade
- TFA – Trade Facilitation Agreement
- TFAF – Trade Facilitation Agreement Facility
- UMICs – Upper Middle Income Countries
- UNIDO - United Nations Industrial Development Organisation
- USAID - The United States Agency for International Development
- WBG – World Bank Group
- WG – Working Group
- WHO – World Health Organisation
- WTO – World Trade Organisation

EXECUTIVE SUMMARY

Introduction

The Standards and Trade Development Facility (STDF) is a global partnership – established by FAO, OIE, the World Bank, WHO and the WTO – that supports developing countries in building their capacity to implement international sanitary and phytosanitary (SPS) standards, guidelines and recommendations as a means to improve their human, animal and plant health status and ability to gain and maintain access to markets.

The Evaluation

This report sets out the conclusions and recommendations of an External Evaluation of the STDF which was initiated in September 2018 and concluded in 2019. The main objective of the Evaluation, in accordance with the Terms of Reference, was to undertake an independent, systematic and objective assessment of the STDF partnership, with a particular focus on the impact and the results achieved by the STDF during the period 2014-2018. The Evaluation examines the STDF across three broad dimensions: overall objectives; structure (including operations and functionality); and deliverables across its four outputs (project grants, project preparation grants, knowledge platform and international coordination), as set out in the STDF Logical Framework.

An Inception Report agreed in October 2018 detailed the evaluation questions and assessment criteria, which were structured around the OECD/DAC's five evaluation criteria: Relevance, Effectiveness, Efficiency, Sustainability and Impact.

The Evaluation Team examined a wide range of STDF and partner documentation, using the agreed Evaluation framework. A short e-survey was also undertaken with a range of stakeholders, including institutions implementing STDF Project Preparation Grants (PPGs) and Project Grants (PGs), competent authorities in developing countries, and beneficiaries of both PPGs and PGs.

Key stakeholder interviews were conducted face-to-face with staff nominated by all of the STDF founding partners. The Evaluation Team spent two days with the STDF Secretariat in Geneva in September and also observed the October Working Group (WG) meeting. In the margins of the WG meeting, the Evaluation Team conducted key stakeholder interviews with other partners, including donors, developing country experts and other stakeholders attending the WG. These face-to-face interviews were supplemented by a series of telephone interviews with STDF Secretariat staff, the Monitoring and Evaluation and Communications experts, previous partner liaisons and other stakeholders. In total, the Evaluation Team conducted more than 100 key stakeholder interviews.

The Evaluation Team also undertook two country visits, to Uganda (conducting key stakeholder interviews in Kenya en route) and in Guatemala. The in-country case studies explore in detail the activities of STDF in all its delivery areas with core beneficiaries and implementers, covering not only PPGs and PGs, but also experience of the knowledge platform and national and international coordination facilitated by the STDF on SPS issues.

Conclusions and Recommendations

Conclusions

The Evaluation concluded that the STDF and the STDF Secretariat have delivered outputs and results beyond what might be expected given their budget and resources. There has also been steady evolution and improvement in the STDF's core operations, based on recommendations in previous evaluations, suggestions from within the WG and initiatives from the Secretariat itself, such as on M&E and communications.

Objectives: Is the STDF delivering and responding to the needs of the intended beneficiaries?

The STDF is responding to the needs of developing countries in its focus on building SPS capacities to enable and unlock trade. SPS capacity and application of standards are a major market access constraint, as both private sector and governments in developing countries struggle to adopt and implement necessary control measures acceptable to their target markets. There is a need to improve the alignment of perceptions and roles vis a vis the STDF across the founding partners and donors to maximise and sustain engagement and impact.

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Structure: Is the way the STDF is organised (i.e. its governance structure and structure of the Secretariat), the best and most appropriate structure for delivering outcomes?

The STDF has a unique structure, offering a global partnership that includes the WTO, the SPS standards-setting and capacity-building organisations, donors, developing country experts and private sector partners. There is scope for the STDF partners and donors to capitalise more on these unique partnerships to promote innovation and take-up of best practice and learning by beneficiaries. The Secretariat is regarded as efficient, effective and responsive by founding partners, donors and other stakeholders. The small full-time team is stretched and more staff resources are required just to continue to deliver at this level and also to respond to the need identified by this evaluation for improvements in communications, monitoring and evaluation and knowledge sharing.

Deliverables: Do the activities and outputs match the objectives and intended outcomes?

STDF outputs across its deliverables (coordination, knowledge, needs assessment and capacity-building projects) match the overall needs and goals of the programme. The evaluation suggests, however, that there is scope to increase impact by focusing the STDF's deliverables more sharply, exploiting the Facility's comparative advantage. There is also scope for all of the STDF partners and donors to work together to consolidate learning and to provide a stronger framework within which all partners (SPS capacity-building organisations, donors and beneficiaries in developing countries) could build capacity and address the on-going and emerging challenges in SPS. This would help to put the STDF in a strong position to become the "go to" reference point for the latest information and know-how.

Recommendations

The Evaluation sets out a number of detailed recommendations for consideration, which are summarised briefly below:

Recommendation 1: Given its relatively small budget and its global leadership position in trade and SPS, all deliverables should focus on innovation and adding value, leaving more routine SPS capacity building activities to be implemented by others. Learning should be more clearly embedded in best practice and guidance for beneficiaries and partners.

Recommendation 2: The STDF should agree ways of maximising the impact of its unique structure on innovation and global leadership, including by clarifying relationships and responsibilities, ensuring that future STDF strategies and workplans are more explicitly linked to partners' own strategies and plans, and exploring the potential for secondments from the founding partners to the Secretariat.

Recommendation 3: The STDF should build on acknowledged improvements achieved in reporting and communications, placing increased emphasis on measuring results and impact across all STDF activities and on improving beneficiaries' access to knowledge. This should be underpinned by updating the theory of change and the logical framework to reflect an explicit focus on innovation and lesson learning.

Recommendation 4: The resources allocated to the STDF need to reflect the ambition of its objectives. Consideration should be given to increasing the STDF Secretariat's resources, including augmenting the staff complement. Investment is needed to make the knowledge platform more accessible, more easily searchable and more utilised by beneficiaries. To enrich the dialogue and strengthen knowledge networks, STDF should explore ways of increasing participation by developing countries at Working Group level.

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SECTION 1. CONTEXT

1.1 BACKGROUND

The STDF grew out of a Joint Statement issued by the Directors-General of the FAO, OIE, WHO, World Bank and WTO at the Doha Ministerial Conference in November 2001.[1] Seed funding was then provided by the World Bank and WTO.

> *We are committed to strengthen the capacity of developing countries to establish and implement science-based sanitary and phytosanitary measures, to meet the sanitary and phytosanitary requirements of trade partners and to participate fully in the work of standard setting organizations in the establishment of international standards, guidelines and recommendations. To this end, the FAO, OIE, WHO, WTO, the World Bank and other multilateral, regional and bilateral agencies undertake technical assistance activities and investment in infrastructure, to assist developing countries in the establishment and implementation of appropriate food safety and animal and plant health measures.*

In September 2004, the STDF was formally established and a Business Plan[2] was adopted. The plan noted that the overwhelming majority of technical assistance in the SPS area is provided on a bilateral basis which was often reactive, driven by national food safety or health crises or by changes in the trading partner's SPS regimes. The STDF aimed to be different, addressing longer-term issues of capacity and compliance in these countries while complementing bilateral efforts and establishing a reference point for best practice. Moreover, given the very technical nature of SPS issues, it could be difficult to find sufficiently qualified and experienced experts, both in terms of programme design and implementation, to deliver high-quality technical assistance. The business case asserted that the STDF (being jointly governed by the WTO, FAO, WBG, OIE and WHO, and including participation (in the STDF Working Group) of the Codex and IPPC Secretariats) is uniquely placed to provide technical inputs to building developing countries' capacity in SPS. Moreover, drawing on the WBG expertise in wider capacity building and the WTO's trade focus, the STDF as a facility, has technical and policy expertise to offer in project design, evaluation and implementation.

The Business Plan was replaced in 2006 by a mid-term strategy 2007-2011.[3] This strategy did not alter the main objectives of the STDF but rather refocused operations towards project preparation grants and put a much greater emphasis on information sharing and co-ordination. A new strategy 2012-2016 was then developed but was subsequently replaced by STDF's current strategy 2015-2019, following the evaluation of the STDF in 2013-2014 (largely to strengthen the Monitoring and Evaluation (M&E) framework recommended by the evaluation). The overall objectives of the STDF have not changed from the Business Plan and are re-stated in the Strategy 2015-19:

> *3. The STDF is a global partnership whose overall goal is to promote the increased capacity of developing countries to implement international sanitary and phytosanitary (SPS) standards, guidelines and recommendations and hence improve their ability to gain and maintain access to markets.*

It should be noted that the STDF forms part of the wider Aid for Trade (A4T) initiative. It was launched in 2005, at the World Trade Organisation (WTO) Ministerial Conference with a statement that declared that 'Aid for Trade should aim to help developing countries, particularly Least Developed Countries (LDCs), to build the supply-side capacity and trade-related infrastructure that they need to assist them to implement and benefit from WTO Agreements and, more broadly, to expand their trade'.

The A4T initiative includes mobilising resources through the Enhanced Integrated Framework (EIF) mechanism, to address constraints identified by least developed countries (LCDs) limiting their ability to fully engage in international trade.[4] The STDF collaborates with the WTO-led initiative, and according to the WTO website, complements it "through projects and monitoring of aid flows at an operational, issue-specific level".[5]

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[1] Joint Statement on "Participation of developing countries in the development and application of international standards, guidelines and recommendations on food safety, animal and plant health" WTO Ministerial 2001, WT/MIN(01)/ST/97
[2] See STDF Business Plan (2004)
[3] MEDIUM TERM STRATEGY OF THE STANDARDS AND TRADE DEVELOPMENT FACILITY (2007-2011) STDF Document 154
[4] For more information, see WTO website on Aid for Trade: https://www.wto.org/english/tratop_e/devel_e/a4t_e/aid4trade_e.htm and Enhanced Integrated Framework: https://www.wto.org/english/tratop_e/devel_e/a4t_e/enhance_if_e.htm.
[5] See WTO website on Aid for Trade: https://www.wto.org/english/tratop_e/devel_e/a4t_e/aid4trade_e.htm

1.2 OVERALL OBJECTIVES OF THE EVALUATION

The main objective of this evaluation, in accordance with the Terms of Reference, is to undertake an independent, systematic and objective assessment of the STDF partnership, with a particular focus on the impact and the results achieved by the STDF during the period 2014-2018. The evaluation examines the STDF across three broad dimensions: STDF Overall Objectives; STDF structure (including operations and functionality); and deliverables (across its four outputs) as illustrated in the STDF Logframe (summarised in ANNEX 1).

Figure 1. Overall approach to evaluation

Overall Objectives and Business Case
Period Strategies
Annual Work programmes

Governance Structures and Reporting	Project Grants	Project Preparation grants[6]	Coordination (participation through STDF Working Group, contribution to WTO committees other mechanisms)	Learning Platform
STDF operational structure				
STDF Procurement				
M&E				
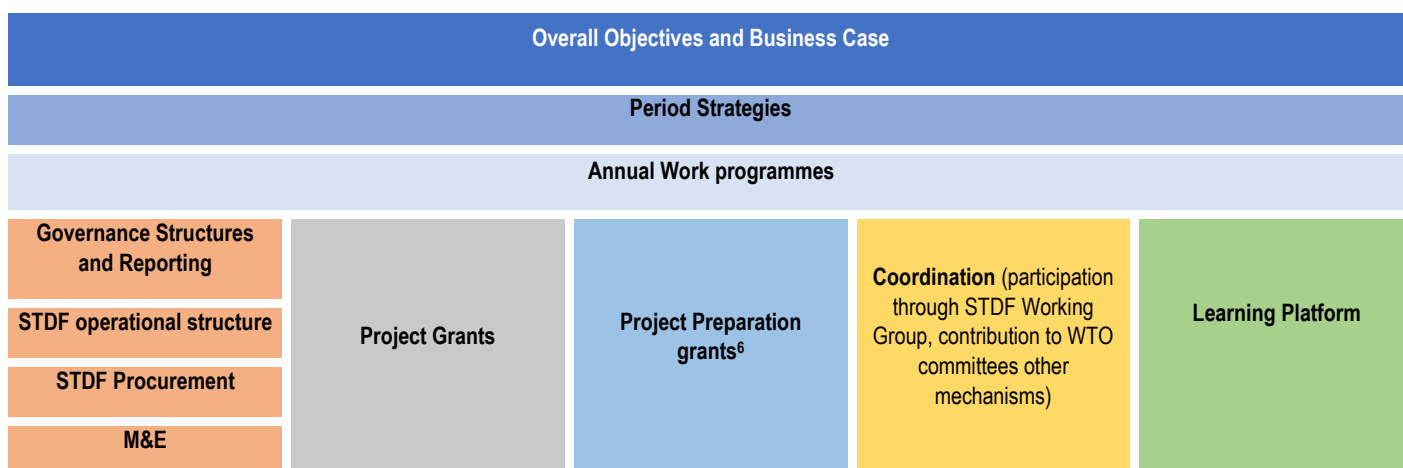
To facilitate the evaluation, a Theory of Change of the Facility has been developed based on the STDF Mid-term Strategy 2015-2019, logframe and M&E Framework and is presented in Figure 2 below.

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[6] It is important to separate PPG and projects as although the process and management may be similar, the specific goals of these activities are different: PPGs aim to improve quality and technical competence of project design, whether or not further funded by STDF whereas; projects seek to build actual capacity.

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Figure 2. Theory of Change
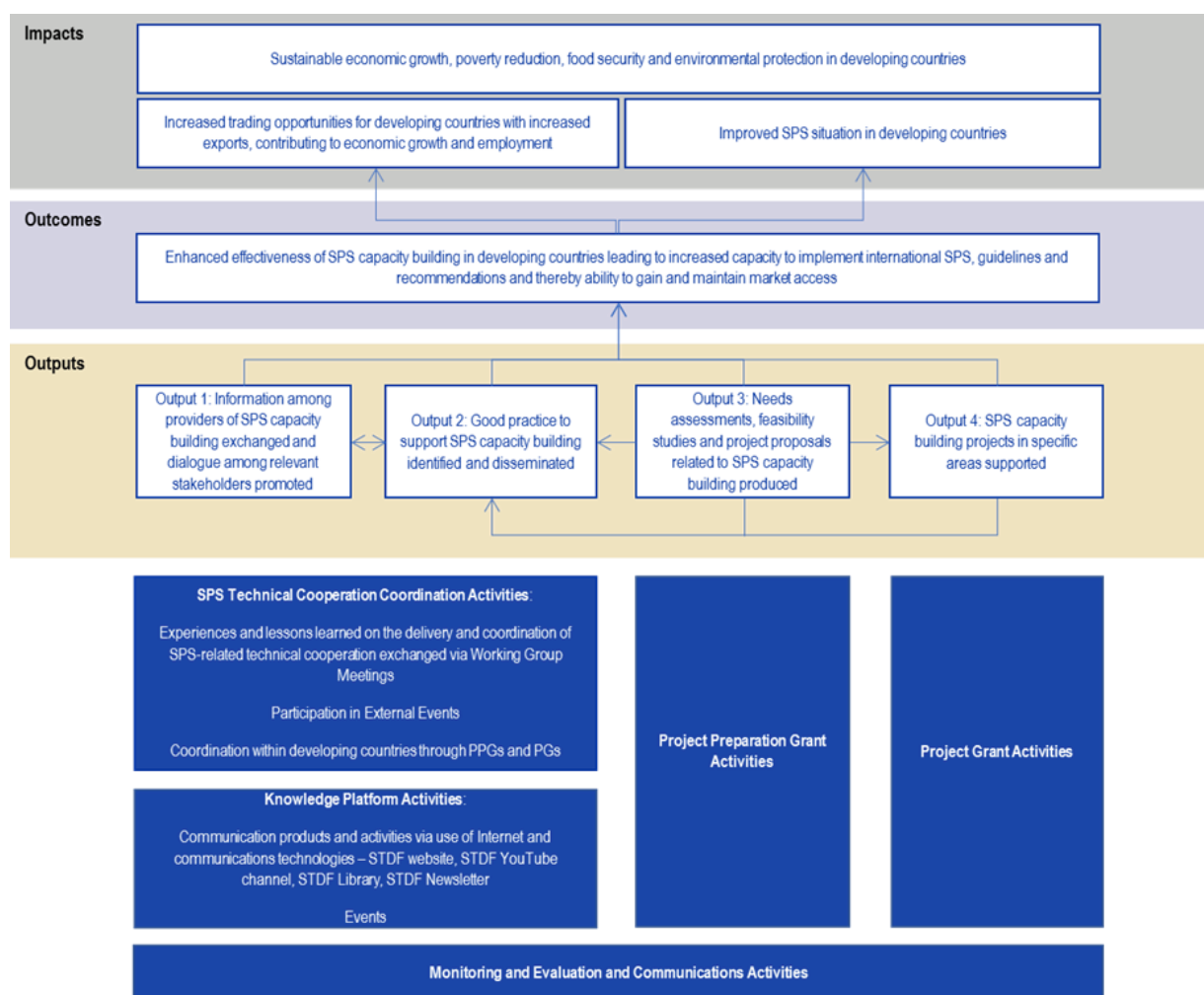
1.3   OVERVIEW OF STDF STRUCTURE[7]

The STDF follows the administrative 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 and has three main governance and management bodies: Policy Committee, Working Group and the STDF Secretariat.

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

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[7] ANNEX 2 provides further details of structure of the STDF

Table 1. 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[8]

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.[9] Between 2014 and 2018, 15 donors contributed 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 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, contributions including pledges have varied between $4.2m (2016 and) $4.8m (2017).[10] 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.

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 key M&E activities include:

− 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.[11]

1.4 OVERVIEW OF STDF OPERATIONS[12]

1.4.1 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. The STDF uses four main mechanisms to promote coordination among its members (donors and partners) and developing country beneficiaries: Working Group meetings; External events; Project Preparation Grants (PPGs); and Project Grants (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).

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[8] See the STDF Communication Plan: http://www.standardsfacility.org/sites/default/files/STDF_Communications_Plan_2016.pdf
[9] See data on contributions available in the Annual Reports: http://www.standardsfacility.org/stdf-annual-reports
[10] See Annual Reports 2014-2017
[11] See p. 3 of the STDF M&E Framework (STDF 509 – FINAL)
[12] Further details on STDF's operations are provided in ANNEX 3.

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1.4.2 OVERVIEW OF 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 Communications Plan, developed in 2016, aims at raising awareness among the key stakeholders in developing country governments, priority audiences and the broader trade and development community. The STDF uses three main mechanisms to promote its knowledge platform: Internet and communication technologies; events; and thematic topics.

1.4.3 OVERVIEW OF 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, preparation of feasibility studies and/or formulation of project proposals) to address specific SPS capacity-building needs linked to trade.

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).

1.4.4 OVERVIEW OF 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 on-going) 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[13], they are preferably between US$250,000 and US$1 million.

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[13] 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.

SECTION 2. METHODOLOGY[14]

2.1   INCEPTION PHASE

The inception report was prepared based on a review of available documentation on the STDF from the website and N drive of the Secretariat, as well as interviews with the STDF Secretariat staff between 4 and 5 September 2018. This culminated in the development and elaboration of the evaluation questions and assessment criteria presented in ANNEX 5 of this report and submission of an inception report. The Evaluation Steering Group reviewed the report and provided 90 comments from Working Group members that were addressed and a revised report prepared. A further 19 comments were provided as feedback on the second draft that were again considered and a final draft inception report prepared.[15] Written approval of the inception report was received from the chairperson of the STDF Working Group on 25 October 2018, allowing the evaluation team to move onto the research phase.

2.2   RESEARCH PHASE

2.2.1   FULL DOCUMENT REVIEW

Having gathered the available documents from the STDF website and catalogue of the N drive during the inception phase (and preliminary review), these documents were examined in more detail in respect of the agreed evaluation framework (provided in ANNEX 5) and relevant evidence selected and extracted to support or contradict the associated indicators. These included results of the survey to the STDF working group members in 2017 and the recent meta-evaluation of STDF projects. Further information (e.g. references in the text found or other documents or where specific reference is made to STDF specific projects or activities) was identified and provided for analysis, following a request for information to the STDF Secretariat.

2.2.2   INTERNET AND LITERATURE SEARCH

A more general document search was undertaken through the Internet (including STDF partner websites) to identify relevant information on SPS issues in developing countries, linkages to trade and market access, cross-cutting issues in SPS and third-party comment/assessment of STDF activities. This included documentation collected during the stakeholder consultation process (interviews with key institutions and in country missions). These were also reviewed in relation to the evaluation framework to identify evidence in respect of the indicators being investigated.

2.2.3   E-SURVEY OF STAKEHOLDERS

In order to obtain broader inputs from a wide range of stakeholders, a short e-survey was undertaken to a range of different stakeholders:

–   Institutions implementing STDF PPGs and PGS, the scope of questions covered all aspects of STDF deliverables, as well as overall policy and governance – key contacts were provided by the STDF Secretariat;

–   Competent authorities in developing countries, targeted to those who had, and had not used the knowledge platform and other STDF facilities to gauge the scope of coverage of outreach to target groups;

–   Beneficiaries of project preparation grants - all beneficiaries of PPGs between 2014 and 2017 were targeted to learn of their experiences and also those that applied and failed (a modified shorter questionnaire was required for this sub-set);

–   Beneficiaries of project grants – all beneficiaries of project grants between 2014 and 2017 were targeted as well as partners and beneficiaries of these projects.

A differentiated approach to the e-survey was adopted, asking specific questions to different groups. The questions and associated responses provided in ANNEX 7 were used as evidence in relation to the evaluation framework. The survey targeted 150-200 responses across the four groups of stakeholders and beneficiaries, and the STDF

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[14] The agreed workplan is provided in ANNEX 4.
[15] The consolidation comments and Nathan's response are available on request.

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Secretariat supplied an initial list of over 289 contacts. However, the survey had a very low response rate, with 30 answers in total, corresponding to 10% of targeted stakeholders, and therefore the results have limited validity.

2.2.4 KEY STAKEHOLDER INTERVIEWS

Key stakeholder interviews (KSI) were undertaken on a one-to-one basis with the STDF founding partners with a mission to Rome between 15-17 October 2018 (the FAO, IPPC, Codex), Paris on 19 October 2018 (the OIE) and Geneva between 29 October-1 November 2018 (the WTO, World Bank, WHO). In addition, during the Geneva mission, the WG was observed as well as key interviews with other partners, including donors, developing country experts and other stakeholders attending the WG were undertaken.

It should be emphasised that each partner institution itself proposed individuals to be interviewed for the evaluation. These nominated individuals, therefore, were clearly understood to be representing the views of their organisations and not expressing personal opinions. These face to face interviews were supplemented by a further series of telephone interviews with STDF Secretariat staff, the M&E expert, communications expert, previous partner liaisons and other stakeholders. Key stakeholder interviews were based on interview guidelines derived from the evaluation framework relevant to each group but largely focused on SPS issues in general, experience of STDF and opinions on how to improve the STDF in terms of its deliverables, operations and objectives. **More than 100 key interviews were undertaken** with comments and evidence consolidated by stakeholder group and included in the evaluation (a list is provided in (ANNEX 6).

2.2.5 CASE STUDIES

The purpose of in-country case studies was to explore in detail the activities of STDF in all its delivery areas with core beneficiaries and implementers. That is, not only PPGs and Projects (PGs), but also experience of the knowledge platform and national and international coordination facilitated by the STDF on SPS issues. As detailed in the inception report, Uganda and Guatemala were selected as case studies countries, with Kenya visited en-route to Uganda to discuss with key African implementers of PGs and PPGs. These case studies were of one week each and should be seen as a snapshot sample. A short overview of the findings of these case studies is provided in ANNEX 8 and ANNEX 9 respectively, and evidence has been included in the main evaluation.

2.2.6 DEEP DIVE ANALYSIS OF THEMATIC TOPIC

It was agreed during the Inception Phase that public-private partnerships would be the thematic topic for the deep dive as the STDF had been working on it since 2010, and that more recently (March 2018), the WG had requested the STDF Secretariat to update its work in this area. A combination of desk research and telephone interviews was undertaken. ANNEX 10 provides a summary of the findings and relevant evidence has been incorporated into the main evaluation.

2.2.7 REVIEW AND SYNTHESIS

Based on the findings from the research inputs as detailed above, the evidence was consolidated and assessed within the agreed evaluation framework, and a draft report was prepared and submitted to the STDF WG for review and comment.

2.3 FINALISATION PHASE

2.3.1 REVIEW AND FEEDBACK

In the preparation of this report, the feedback received on the Draft Evaluation Report from the STDF Secretariat, the STDF Evaluation Steering Group and the STDF Working Group was considered seriously and each comment was responded to with the redrafting of the text as necessary.

2.3.2 CONCLUDE FINDINGS AND DEVELOP RECOMMENDATIONS

The next, final phase of the evaluation will be presentation of findings and recommendations. It is important that the recommendations find "ownership" among the STDF Working Group and Policy Committee (as well as the Secretariat). Therefore the suggestions made in this report will be explored together with the key stakeholders through

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the final consultation process. These recommendations will be presented to, and discussed with the STDF Policy Committee in their meeting with a view to informing the final evaluation report.

SECTION 3. EVALUATION FINDINGS

3.1 RELEVANCE

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?

A1.1 Overall Objectives

A1.1.1 How are the challenges of SPS measures in developing countries evolving and does STDF respond to these?

There is a plethora of problems in SPS that limit developing countries' access to markets, which limit trade and development. Many are product or region-specific and are based on disease or pest trends[16] while others are capacity-related in terms of skills and/or organisation of national infrastructure for SPS.

The EU published a briefing note on Challenges of SPS in 2016[17] which identified the most important issues for developing countries as: compliance (including skills of competent authorities and laboratory infrastructure); scientific capabilities; participation in international standards setting; improvements in national quality systems; regional coordination and; political framework. Most of these were confirmed by founding partners (including by extension, international SPS standards-setting bodies) who highlighted political priorities, border procedures, common control/inspection methodologies and procedures, regionalism, climate change and electronic certification (and other trade facilitation measures). The country case studies also identified issues such as out-dated legislation, lack of coordination among different competent authorities and private sector in SPS and trade, poor national controls/capacity (including at the border) and the lack of real political priority for SPS.

> **STDF Thematic Topics**
>
> 1. Capacity development tools - evaluating SPS capacity and investment (tools developed by FAO/WHO, OIE and IPPC and STDF's own tool on prioritizing SPS investments for market access (P-IMA)
> 2. Electronic SPS certification
> 3. Facilitating safe trade
> 4. Good regulatory practice
> 5. Public-Private Partnerships (PPP)
>
> **Previous Topics**
> • Climate change
> • Economic analysis
> • Fruit fly
> • Good practice
> • Invasive Alien Species
> • Laboratory infrastructure
> • Private standards
> • SPS indicators

The STDF thematic work covers all the key challenges in SPS in developing countries. Regarding coordination work of the STDF, the Facility clearly does raise these issues at international fora, but the opinion expressed by representatives of a number of founding partners was that the focus tended to be more on raising awareness of STDF projects and highlighting results, rather than necessarily on wider discussions on key SPS issues.[18] PPGs and PGs work over a broader range of issues and although some grants are directly linked to these global issues (for example, pesticide data generation projects in Africa, Asia and Latin America that builds both science capacities and facilitates participation in international standards setting), many others do not and are focused on national or specific regional issues (e.g. honey value chain or flower export procedures).

The overwhelming majority of stakeholders interviewed (founding partners, donors and beneficiaries) agreed that STDF activities were addressing the main relevant constraints in unlocking trade through SPS capacity-building. This positive view is reflected in the findings of the stakeholder survey.[19] The survey yielded findings on relevance to trade that were somewhat lower than anticipated based on the evaluation team's interviews and desk analysis and we judge that this is partly due to sample size. In addition, however, it was clear from some interviews that not every

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[16] WTO SPS Committee frequently discuss 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.

[17] https://europa.eu/capacity4dev/file/31270/download?token=_JpskYQ5

[18] The Evaluation follows standard practice in distinguishing between presenting details or results of projects funded at international events, which is information sharing and communication; and dissemination of knowledge or strengthening coordination networks. Within the Evaluation's resource and time restrictions, the <u>impact</u> of STDF participation in events could not be measured and this could be subject of further investigation

[19] 64.7% of PPG/PG implementers and 60% of beneficiaries of PPG/PGs stated that STDF capacity building unlocks trade

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implementer and beneficiary appear to recognise an immediate connection between SPS capacity and trade (see section A1.1.2 below).

Conclusion

The STDF activities are targeting the current needs of developing countries in SPS and trade. This is evidenced by our finding that the majority of current SPS issues - both identified in desk research and raised by stakeholders as "key" SPS constraints - are covered by STDF Thematic Topics and many of these issues are also addressed through PPGs and PGs. The STDF is flexible and has responded, across all its outputs, to the evolving SPS issues that could constrain market access and trade of developing countries, making the STDF relevant to the current challenges.

A1.1.2 Are STDF activities in SPS capacity-building a "trade enabler"?

> **Knowledge tools for capacity building**
>
> P-IMA framework "can provide a valuable tool for developing countries to generate evidence on the expected impact of SPS investments on trade, agricultural productivity, poverty reduction and other public policy goals, which, in turn, will support fundraising efforts" (STDF Annual Report 2016).
>
> PGs, thematic work and coordination in the area of electronic certification, together provided inputs to trade facilitation alignment work of the World Bank: "The STDF work on electronic certification, including the seminar in July 2016 and preparatory discussions and work for the ePhyto project offered the impetus for the World Bank and IPPC to deepen collaboration on SPS capacity building and trade facilitation. Dialogue and linkages, facilitated through this work, paved the way for the IPPC Secretariat to participate in a World Bank mission to Malawi in 2016 to consider how the findings and recommendations of the Phyto-sanitary Capacity Evaluation (PCE) tool could feed into the country needs assessment for implementation of the new WTO Trade Facilitation Agreement" (STDF Annual Report 2016).

Some of the STDF knowledge platform activities provide explicit capacity-building, know-how and tools in trade-related areas of SPS standards, controls and approvals. These provide the opportunities for developing trade through addressing SPS capacity issues.

In its coordination and communications work, the STDF has participated in a number of high-profile events addressing trade facilitation and SPS priorities, including IPPC's International Year of Plant Health and Trade Facilitation. At the sixth Aid for Trade Global Review (2017), the STDF held a session for governments and businesses to raise awareness on electronic SPS certification (STDF Annual Report 2017).

The Facility's PPGs and PGs are designed to be trade enablers as justified in their 2018 Results Booklet and, in most cases, PPG and PGs have an explicit link to trade built in their design. During country case studies, the reports on PGs highlighted that direct issues in trade were being addressed, such as the case of Uganda where three PGs are targeting SPS controls resulting from high levels of intercepts in key markets for flowers, fruits and vegetables, and maize.

All three international standards-setting bodies also noted that that explicit trade links are not the only "trade enablers". Addressing national SPS controls in itself enables trade, albeit sometimes in the long run. For example, building a disease-free region (e.g. free of foot and mouth disease) within a country will allow trade under the SPS Agreement.

By contrast, many donors stated that their involvement in the STDF was linked to this trade-enabling objective and that the short-term impact on trade was a driving motivation for contributions to the STDF. These contrasting views point to a need to clarify where the focus of STDF's interventions should be

> **STDF Results Booklet**
>
> All 25 projects presented include a section 'safe trade gap' where links are explained between the SPS issue(s) and implications to the trade of the country/countries in question, which projects then aim(ed) to address.
>
> For example, the "STRONGER PHYTOSANITARY CONTROLS HELP UGANDA'S FLOWER EXPORTS TO GROW" (PG 335) project, implemented 2012-2015 (p.34) aimed to address: "Flower producers in Uganda faced heavy losses with the growing interception of cut flower exports to the EU. Costs rose with increased inspections, treatment and rejected consignments. In turn, investment in the sector was slowing, which was impacting on trade flows and economic growth. The problem – plant pests. The solution – getting the right tools and knowledge on phytosanitary measures in place to keep the flower supply chain safe. At the same time this would help safeguard the livelihoods of the country's 6,000 flower workers, 80% of them women, and their families."

– that is, on building national SPS infrastructure or on purely trade focused activities. This has caused some tensions in the WG and a position needs to be clearly established and understood.

Conclusion

The activities of the STDF are clearly anchored in enabling trade, as described in their original mandate. We found that there is some debate among founding partners as to the extent to which building national SPS capacity per se can be seen as contributing to trade, which implies a need to ensure that the trade focus of the STDF is explicitly clarified. Activities across all deliverables - including knowledge platform topics, PPGs and PGs - have targeted trade. Although it is acknowledged that it is difficult to attribute changes in actual trade performance to the STDF activities, it is clear these activities have all been aimed at opening markets to allow trade to begin or to continue.

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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 early philosophy of the STDF was to move away from addressing emerging SPS crises, as traditionally supported by donors, to a more strategic approach to address the challenges of complying with market requirements based on international standards. However, the SPS committee frequently notes complaints from developing countries that "developed" country import requirements go beyond these internationally agreed standards. The SPS committee also discusses emerging (or on-going SPS crises) with specific issues recurring in discussions, such as 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.

There is no evidence that current donor SPS projects are focusing only on emerging crises, or that the STDF only works on longer-term market access. Fruit fly, for example, which can be an emerging crisis, has been both a PG and thematic topic in the knowledge platform but it could be argued that the work has focused where this issue has been a long-term concern. A list of EU projects in SPS also shows that the work of donors is not restricted to responding to emerging crises but more structural in nature.

In the Guatemala country case study, competent authorities remarked that donor projects and the STDF contributed to structural issues around SPS rather than emerging crises. In Uganda, it could be argued that responding to specific crises (the increase in interceptions of flowers caused by specific pests and diseases) has led to a longer-term structural impact. The competent authority in Uganda noted that as a result of this project, when new pests/diseases arose in the flower sector (which result in short term increases in interceptions), the national response (private and public sector) was able to deal with, mitigate and address the issue with the introduction of new controls.

Conclusion

The STDF is not designed to respond to emerging crises and its work is therefore mainly in addressing longer-term structural issues in the SPS regulatory and compliance systems of developing countries. Many more donors now support longer-term SPS capacity-building for trade and this offers the opportunity for the STDF to take an increasingly strategic approach to its interventions beyond reacting to immediate/short-term needs of beneficiaries.

A1.2.2 Does the STDF's structure provide value-added?

The value-added of the STDF is based on the fact that the founding partners of the STDF are the international standard-setting bodies (including through parent/host organisations), SPS capacity-building bodies, a world trade rules-setting body and development agencies. One major donor stated that they would not be funding the STDF "without these linkages as it would be just another development funding mechanism." It is clear that this unique partnership, which derives from these organisations and founding members[20], provides the STDF with insights and access to experts that no other organisation in SPS and trade has access to. Other donors, who do not have their own SPS programmes or expertise, stated that the presence of, and comments from, the three sisters gave them confidence in the quality of work undertaken by the STDF. Private sector observers to the STDF commented that its structure allowed for cooperation and coordination among the three SPS bodies which was very valuable, given that, in their view, the level of such cooperation is generally inadequate, a view that the three sisters also agreed with. Several donors stated that with the addition of observers advocating private standards, the STDF also provided additional value-added as a platform between international and private standards and interests.

The STDF Secretariat stresses that it consults partners systematically through the Working Group meetings on all thematic work and notes that partners have an opportunity to share insights and feedback and to raise new topics for thematic work. Nonetheless, in the interviews undertaken by the evaluation team with the individuals nominated by their organisations, STDF focal points and many officials within most of the partners reported their perception that they were not always consulted on thematic topics, and that their expertise or previous work on topics was not always sought or utilised. These interviewees felt that their advice, when sought, was not always reflected in briefs or

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[20] This includes IPPC and Codex although these are not founding members in their own right. However, given they are not FAO or WHO organisations, but member bodies facilitated and governed by WHO/FAO, they are regarded as fundamental to the STDF and as one standards body stated, the FAO does not speak or represent their views.

positions produced by the STDF Secretariat. It was not possible in this evaluation to draw conclusions on the source or drivers of this apparent gap in communication – for example, whether the issues are *between* partners or *within* those partners themselves. It is incumbent on the evaluation team, however, to note the views of key interlocutors that the expertise they offer could be more fully utilised. In addition, the nominated representatives of IPPC and Codex who were interviewed reported that they feel marginalised and unclear of their relationship with the STDF, on the one hand being required to contribute as other founding members, but not being treated as founding members.

Most founding partners noted their perception that the STDF is now too influenced by donors in the focus and direction of STDF work, with the risk that the Facility engages in projects and activities that could be undertaken by other agencies, thus potentially not maximising the value-added inherent in the STDF's unique structure. In the view of these founding partners, the STDF should be encouraged to focus on the space not occupied by others, specifically longer-term, innovative and risky projects that might not yield immediate tangible results but would generate new knowledge and value-addition. Some donors do indeed acknowledge that they expect to see short-term, visible impacts and to some extent, this is reflected in STDF's activities. The evaluation team's review of PPGs and PGs, however, shows that this is not the case across the portfolio and the STDF Secretariat notes that the PPG/PGs are demand driven. To ensure that the unique STDF structure continues to deliver maximum value-added, one criterion for decision-making on projects and activities could be whether these could be undertaken by others working on SPS capacity-building or whether the STDF offers something additional that other entities cannot.

The implication here is that there is scope for the Facility to make fuller use of its partnerships and to ensure that all partners feel fully connected to the STDF. It is evident that where the relationships with key partners are working well, this has produced clear value-added. Beneficiaries in the Uganda country case study remarked that the STDF process was unique in that they could get inputs to their project from the IPPC, and that they appreciated the access to the top experts. Some project implementers commented that the inputs from founding partners meant that the PG and PPG design was of a higher quality than those of other donors and meant that the scope and impact of the project were greater (other projects may get to the same point after a costly learning process). The structure for value-added and unique interventions is in place within the STDF, but there is scope for it to be more fully exploited.

> **Conclusion**
>
> The STDF structure is unique in that it has access to expertise from key SPS standards and capacity development institutions, as well as trade and development. Where it utilises these linkages in its deliverables (and there are many examples across knowledge platform, coordination, PPG and PG activities), the STDF offers significant value-added. Managing the complex relationships that this involves is inevitably a challenge. As noted above, however, some key interlocutors also feel that there are cases where the STDF is delivering SPS capacity-building projects that could be delivered by other donors. To ensure that its unique value-added is maximised as more donors are moving into the SPS capacity-building sphere, the STDF needs to focus on maximising its linkages with founding partners and promoting innovation and best practice to ultimate beneficiaries.

A1.3 Deliverables

A1.3.1 All Outputs: Do the outputs match the needs of the beneficiary countries?

This is addressed within A1.1.1 on the response of the STDF to the SPS challenges of developing countries.

A1.3.2 Knowledge platform: To what extent beneficiaries and developing countries use the STDF as a knowledge platform to address their needs?

The STDF knowledge sharing platform aims to support SPS capacity-building in developing countries through identification and dissemination of good practice and results in publications, briefing notes, audio-visual material, joint consultations and other events at the global and/or regional level. These are based on work on thematic topics and lessons from PPGs and PGs.

Communications and outreach of the STDF knowledge platform has developed over recent years, more specifically through the re-launch of the website in 2014 and the implementation of the Communications Plan of 2016. In particular, the new STDF website launched in August 2014 was expected to be "instrumental" and as reported in 2014, *"Major results were achieved in further strengthening the STDF as a knowledge platform for information exchange, sharing experiences and identification and dissemination of good practice. From discussions with partners, donors and other organizations, it was clear that STDF tools, film and/or briefing notes are being used and disseminated, though*

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the extent could not be measured" (STDF Annual Report 2014). However, analysis of the use of the website shows that in 2018, a higher number of users than expected are from Europe and North America with only 19% of website traffic originating from Africa, 14% from Latin America and 20% from Asia/Pacific. Both country case studies found little or no awareness of the knowledge platform, nor any use of it (even when it was discovered that beneficiaries were potentially very interested in the content). The knowledge platform tools such as P-IMA are used, but generally when being applied through or by PPGs or PGs. According to the survey, 80% of project beneficiaries and competent authorities in developing countries stated that they had not accessed lessons or best practice from STDF activities.

Whilst efforts were made to increase the dissemination of knowledge through implementation of the communications strategy, including innovations such as the use of short films and the production of Briefing Notes, most of the activities and communications are informational in nature, reporting STDF activities, results and some lesson learning. They do not deliver knowledge in the sense that the information offered can readily be translated by users into enhanced know-how on the part of the beneficiary (e.g. if a beneficiary wants to develop capacity to engage effectively with stakeholders in a practical way, the communications provide lesson learning and results from STDF activities but do not directly provide practical advice or guidance). The developing country experts noted the limited access of developing country beneficiaries to knowledge and they suggested that more should be done at a regional level. They also said that specific events with diplomatic missions in Geneva should be held (not just SPS side-events but also more targeted events).

Most donors stated that they did not use the knowledge platform at all. Some stated they circulated STDF materials to their respective country offices, but that its use was very dependent on the recipients' interests. Although the Secretariat has sought to mobilise this effort, there is no evidence that headquarters or country offices of any partners actively and systematically promote or encourage the use of materials produced by the STDF.

Conclusion

The knowledge platform provides a broad range of information and materials on best practice (including manuals and training resources) on a range of SPS and trade-related topics based on new research, inputs from partners and learning from PG and PPGs. However, there is no evidence to suggest that this bank of valuable information is yet being actively used by partners or donors, or that it is reaching beneficiaries in developing countries, except through projects. This is partly because beneficiaries are unaware that these materials are available, but also because they are not readily accessible. Partners and donors have a crucial role to play through their networks in enhancing access to, and facilitating the use of, STDF materials.

A1.3.3 PPGs and Project Grants: To what extent are PPGs and project grant applications "owned" by national stakeholders?

The meta-evaluation concluded (p.28) that the STDF should in the future, be more rigorously grounded *"locally, including understanding local contexts and needs, and securing local ownership and participation at all stages of the project"*. Several partners commented that many of the PGs and PPGs originated from founding and other implementing partners but in these cases, the STDF Secretariat checks for adequate support in country. However, the meta-evaluation commented that the efforts to ensure ownership were not sufficient: "*A simple letter of support may not be enough to ensure ownership in a technical assistance project."* Some donors also noted their view that the Secretariat sometimes pushed and advocated and became very invested in the PPGs and PGs they guided.

However, research in the country case studies showed that all the PPGs and PGs were developed and implemented from issues and ideas that originated in the countries. In addition, 100% of beneficiaries in the survey stated they were involved in some way with the development of the grant concept and application (60% to a great or very great extent). Similarly, over 80% of implementers stated that beneficiaries were involved in the concept development and 70% to a great or very great extent.

Conclusion

Ideas for PPGs and PGs originate from a range of sources, but all of those examined by the evaluation were derived from issues raised at country level. Who specifically generates concepts is less important than ensuring that PPGs and PGs have the support of beneficiary governments, and the available evidence shows this to be the case for most, if not all, PPGs and PGs.

Overall assessment of A1

The STDF is working in areas that address the capacity development needs and priorities of developing countries in the areas of food safety, animal and plant health, and trade. More importantly, it is in some cases using its unique structure and linkages to international SPS standards bodies and SPS, trade and development capacity-building organisations to develop and promote best practice in SPS controls to facilitate trade. However, given that more donors and projects are now working in this area, the STDF needs to focus on innovative approaches, leveraging its linkages and structure more, to maintain relevance and value-added, rather than delivering activities that other donors could equally provide.

The STDF topics and development of best practice, as well as project work on the ground, are very targeted at maintaining or opening market access for developing countries through improved SPS measures and controls and the STDF is developing manuals, training, and procedures that aim to improve systems for adapting to new issues in regional and international trade. However, the use of STDF materials by beneficiaries is limited, despite recent efforts to improve communications.

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?

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 SPS standards and capacity-building partners of the STDF are unclear as to how the STDF itself aligns with their own agendas and what the benefits to them are from engaging in the Facility. One partner felt that the Facility was "a burden" and suggested that their staff did not want to be involved as they considered it a distraction from their core work. The founding partners all actively work with the STDF and their staff contributes time and effort, but it is not explicit how the STDF contributes to the institutional strategies and objectives of the founding partners, nor the individual staff plans of those participating. It is obvious from a review of the STDF's activities that there are major synergies and potential value-added between the STDF and these partners. However, none of those interviewed could clearly define or elaborate on this. There is therefore a risk of future disengagement (either formally and/or materially) from the STDF.

The other founding partners have a very different sense of the relationship with the STDF, with the links to their own agendas better understood i.e. in that SPS capacity-building is recognised as a "trade enabler" in line with their trade related objectives.

In general, the donors reported that the STDF is aligned with their development agendas. Many said they used the STDF to deliver SPS-related capacity-building as they did not have bi-lateral programmes of their own and looked for high profile results to report within their overall aid for trade and overseas development portfolios. Other donors are SPS-related agencies themselves, and stated they used the STDF to channel limited funds to achieve the promotion of good practice in developing countries with often a trade interest (enabling agricultural imports from developing country partners). There are also some larger donors that do have their own SPS capacity programmes but very much look to the STDF for innovation and learning - although there is little evidence that they actually use the learning themselves, rather wanting to be associated with and part of innovative approaches.

> The mission: To secure cooperation among nations in protecting global plant resources from the spread and introduction of pests of plants, in order to preserve food security, biodiversity and to facilitate trade (**IPPC** Strategic Plan 2012-19);
>
> To implement this vision, the three strategic objectives of the OIE include: [...] Establish trust between stakeholders and trading partners in cross-border trade of animals and animal-based products and foods" (**OIE** Strategic Plan 2016-20);
>
> Strategic Vision Statement: To be the preeminent international food standards-setting body to protect the health of consumers and ensure fair practices in the food trade (**Codex** Strategic Plan 2014-9);
>
> Strategic Objective 4: In contributing to the development of agricultural and food systems [...] focus will be on enhancing countries' capacities to participate in the formulation of international standards and trade agreements, to design and implement supportive policies and regulations, and in the development of value chain. (**FAO** DG Medium term Plan 2018-21).

Conclusion

The STDF's objectives are clearly aligned with those of its partners but there is a clear disjoint between perceptions and contributions among founding partners (and by extension, international standards-setting bodies). While it is clear that donors see the STDF as a good, effective mechanism to deliver their SPS capacity-building mandates, and the trade and development founding partners see the STDF as an important tool to address developing countries' market access concerns, the main SPS standards and capacity-building partners are not clear how it fits with their agendas, and their perception is that the benefits to them of investing in STDF are uncertain. Whether or not this is an objectively accurate assessment is a moot point. If this perception results in less than full engagement by key partners, the unique structure of the STDF will be at risk.

A2.2 STDF Structure

A2.2.1 How open is the STDF to inputs from beneficiaries/beneficiary countries?

The STDF working group is responsible for preparation and approval of STDF work plans, approving PPGs and PGs and oversight of the STDF Secretariat. It comprises representatives of STDF's founding partners (the FAO, OIE, WB, WHO, WTO), Secretariats of the Codex and IPPC, donors, six developing country experts and observer organisations. The role of the developing country experts is to provide the developing country perspective, which is complemented by observers including from CABI Africa and COLEACP. Although the STDF Secretariat regularly participates in meetings of the SPS Committee, as well as Codex/IPPC/OIE, where the Secretariat listens to SPS and trade issues raised by developing country members, there is no direct representation of developing country beneficiaries in the main discussion platform, STDF Working Group.

Developing country experts noted that the Secretariat consulted with them extensively before each WG meeting so that they had a better perspective from the beneficiary side. Several donors commented that they would appreciate a better understanding of the views from beneficiaries. Some noted that although interventions from developing country experts were sometimes useful in the WG to provide context, this was not always the case. It was also noted by donors that it is also to some extent ad-hoc, in that developing country experts generally bring a national rather than regional or collective perspective, thereby limiting the influence and effectiveness of the developing country expert system.

Conclusion

The STDF is open to inputs from beneficiary countries but its structure and composition mean that it actually has very little direct interaction or discussion with developing countries in the shaping of its agenda or work plan. The STDF has good communications for individual grants but relies on its six developing country experts to provide a developing country perspective and these experts represent personal views rather than any official or widespread regional views. In reality, therefore, developing country beneficiaries have very little input in shaping the direction and focus of the STDF.

A2.3 Deliverables

A2.3.1 Coordination/dialogue: Do members of the STDF use the platform as an international dialogue and coordination mechanism?

According to the SPS standards and capacity-building founding members, the STDF provides an important forum for them to meet and discuss relevant issues during WG meetings. These organisations currently do not have a formal mechanism of coordination and do not meet in any formal arena. Therefore, the STDF facilitates this meeting and exchange of ideas, working programmes and interests. However, it was commented that in the early days of the STDF, the WG was smaller and these organisations enjoyed more intimate and technically-oriented networking opportunities, and a better ability to exchange views on specific topics over time. However, since the WG has substantially expanded, with non-SPS expert participants involved, the networking is considered to be of less value for interaction among SPS bodies, but valuable for understanding donors' activities in SPS in countries where they work.

The donors also reported that the WG was a good dialogue platform to learn about others' activities and avoid duplication of efforts and was easier platform to discuss issues, especially compared to other arenas such as WTO SPS Committee. It was also reported that donors and SPS standards-setting bodies referred to the STDF PG and

PPG listings on the website to review and better understand the scope of SPS activities in either thematic areas or specific countries.[21]

The benefit of coordination was witnessed during the Working Group meeting observed by the evaluation team, where a tabled PG generated discussion from bilateral and multilateral donors and SPS standards-setting bodies regarding plans, activities and previous experiences surrounding government control of cadmium in cocoa. This facilitated the provision of information by the EU on plans to support academic research on the same subject (and the sharing of a concept note), and by Codex on a soon to be proposed standard for MRL of cadmium in chocolate. The US promised to share its previous work on this area, and the Netherlands suggested that it could support and supplement this work in future in Colombia. It is hard to imagine another forum where this exchange of vital information could have taken place.

Conclusion

Partners and donors do use the STDF to learn about different programs and projects in SPS-related coordination and the WG is a good networking and coordination forum (less formal and easier than the WTO SPS committee). However, this area of coordination can be further developed in terms of technical discussions across animal health, plant health, food safety and trade.

A2.3.2 Knowledge platform: 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?

It is generally agreed that the STDF is working in key and often, innovative areas, and gains much knowledge, experience and lessons from its PGs and PPGs. However, all the SPS capacity-building partners (including by extension, the international SPS standards-setting bodies) noted their perception that work already undertaken in these areas by the founding partners is not adequately used by the STDF and is sometimes duplicated. On the other hand, it should be noted that the concept notes prepared by the STDF Secretariat (at the request of the WG) on thematic topics are attempts to ensure that there are linkages to existing work, especially work from partners in these topics. It was beyond the scope of the evaluation to undertake a broad and deep analysis of the content of these concept notes, but a light touch review of a selection of concept notes indicated that the work of founding partners was indeed included and assessed in those cases.

Some founding partners flagged up concerns about the creation of new tools, given that each of the three sisters already has a diagnostic tool, and highlighted a risk that promoting P-IMA risked undermining the STDF's founding partners' tools. On the other hand, one observer of the WG meeting, and a beneficiary interviewed during the country case study noted that the application of the P-IMA tool was better than individual SPS tools. Specifically, it seeks to examine issues and prioritise them across the disciplines, not just list deficiencies in specific areas; and it is considered to work well. Whilst the tools developed by the STDF appear to be complementary rather than duplicatory, there is scope for the STDF to develop mechanisms[22] to align existing tools and integrate them (as suggested by other founding partners and donors), promote the use of founding partners' diagnostic tools (to avoid creating or reinforcing a perception that the STDF is promoting its own tools over those of its partners), and to prepare new tools that could be developed and branded in partnership with the three sisters.

> **STDF Concept Notes Reference Relevant Materials of Founding Partners**
>
> GRP: The concept note on Good Regulatory practice explores the links to previous STDF work (p.6-7), between GRP and the SPS Agreement (p. 7), to discussions on GRP in the SPS and TBT Committees (p.8), to the work of STDF partners (p.9-10), and to work by other international organizations, as well as relevant regional / country level initiatives (p.10-12).
>
> Based on a google search on founding partners and their work on good regulatory practice, most of the top results from the founding partners' websites match with the work that is mentioned in the concept note.
>
> PPP: The concept note on PPP practice explores the links to previous STDF work (p.1-2), and links to relevant previous publications to inform STDF's work (p. 3-5).
>
> Based on a google search on founding partners and their work on good PPP ('founding partner' 'public private partnerships' 'SPS'), most of the top results are from the founding partners' websites.

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[21] It was suggested by several partners and donors that the STDF should build a databank of global SPS projects (collecting data from those submitting project lists to the SPS committee and/or review of A4T reporting based on DAC codes). Whilst this would be a useful source, the collection and maintenance of such a database is likely to be a challenge and costly so the cost of this in relation to benefit is unclear. In fact, in 2004 a PG (STDF/PG/005) tried to do this but failed primarily due to a lack of information provided by partners and donors.
[22] For example, the STDF is leading development of a SPS-TF diagnostic tool based on existing SPS diagnostic tools of FAO/WHO, OIE and IPPC and discussions led by the World Bank within the WTO arena involving STDF Secretariat and founding members was undertaken in October 2018.

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Another criticism of the knowledge platform voiced by a founding member was that thematic areas were not developed "deeply enough", and that more work was needed to develop and expand work in specific areas. Regulatory practice work, for example, is being developed but has not generated specific guidelines and advice that developing country beneficiaries could actually use and apply. The founding members' advice was that the STDF should focus and "go deep." From the review of Public-Private Partnerships (PPP) (See ANNEX 10), it appears that the work has started but not yet been followed through to determine an STDF position or recommendation that can be promulgated or promoted for the benefit of developing countries. Given resource constraints and size of the STDF, it appears that it is trying to do too much and could benefit from a greater focus. This would enable it to concentrate more effort, in-depth follow-up and analysis in fewer areas.

Conclusion

The STDF does use information and knowledge from its partnerships but more could be done to integrate the work of others and explicitly link to it. The value-added potential of the STDF is not only in bringing existing knowledge on trade and SPS together in one place, and in building on and using its partners' knowledge, but also in developing common themes across both thematic areas and multi-disciplines of animal health, plant health and food safety. More in-depth work could be achieved if more resources were made available, but might also require focusing on fewer themes.

A2.3.3 PPG: Do the PPGs play a pivotal role in designing donor interventions?

Founding partners expressed the view that the PPG facility was an important and unique mechanism that allowed project design and needs assessment in SPS and trade to be guided and contributed with inputs from genuine world class experts, making projects of high quality. Donors also reiterated the view that PPGs led to high-quality project design, and although some stated that they sent PPG results to country desks/offices, few examples of donors taking and implementing a follow-up project based on PPG design could be produced. Moreover, examination of the STDF annual reports did not highlight any instance where a PPG had been taken on by other donors.

However, the lack of evidence does not necessarily imply that PPGs do not lead to further work. It is probable that donors (or consultants designing donor projects) build on PPG findings in designing projects and programmes, but attribution is very difficult to ascertain. Moreover, beneficiaries often submit project concepts and funding requests to multiple donors in different formats without reference to the STDF, which makes the origin of project ideas extremely hard to track. It was reported during the country case study in Uganda, for example, that the fruit and vegetable PPG was sent by the Ministry of Agriculture to multiple donors including World Bank and Embassy of the Netherlands (and this resulted in the PG collaboration; see below). The conclusion that the impact of PPGs may be masked is reflected in the survey of STDF-implementing organisations, which suggests 64% of PPGs have led to further activities related directly to PPG findings, including other donor projects.

It should be noted that the STDF Secretariat and other partners commented that often among beneficiaries, there was an expectation that a PPG would be financed by the STDF as a PG. More could be done by STDF partners to promote PPGs to donors as design tools or link PPGs to donor programmes and plans. In relation to the latter point, one of the new STDF donors expressed a desire to have explicit links and feed-in mechanisms.

Conclusion

The PPGs provide a unique opportunity to develop high-quality project designs, defining the needs with the beneficiary country and comments and inputs from global SPS and standards-setting bodies and their experts. However, there is little verifiable evidence to suggest that donors are using these PPGs to inform or design their own SPS interventions, and more specifically, there is often an expectation among beneficiaries that a successful PPG will lead to an STDF PG.

A2.3.4 Projects: Do projects complement or leverage partner donor funds; would projects still have happened without the grants?

There have been a few cases where PGs have been used as leverage for other donor funds. In the most recent case in Uganda, the Embassy of the Netherlands is funding a part of a new STDF project but stated that it would have funded their component anyway. For donors, the major motivation for working with the STDF is cooperation, learning and avoiding duplication rather than financial leverage.

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Conclusion

There is no evidence to suggest that project grants are being used by donor partners to fund SPS projects. Although matching funds are required for STDF PGs, these are usually in-kind contributions and means that there is no verifiable evidence that the STDF is playing a pivotal role in leveraging additional SPS funding.

Overall assessment of A2

The STDF remains directly relevant to the trade and SPS capacity-building agendas of both the founding partners and donors; the objectives of the STDF and its activities clearly align with their respective institutional strategies. However, there is a major disconnect between the STDF and SPS standards and capacity-building institutions in the recognition of exactly how the STDF fits into their work plan. Donor strategies and objectives are also met through the STDF, supporting on-going A4T capacity-building efforts (in some cases, representing the donors' only activities in this area). However, the use of PPGs as high-quality needs assessment and project design mechanism has not been taken up, and STDF PGs do not leverage other monies in any significant way. However, if the STDF's purpose is more about developing best practice and innovation, this may not be a significant issue.

3.2   EFFECTIVENESS

B1. HOW HAVE THE OUTPUTS AND OUTCOME IN THE STDF MEDIUM TERM STRATEGY BEEN ACHIEVED?

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 structure of the STDF is based on bringing together and enabling interaction between the founding partners (including by extension, the SPS standards-setting bodies), donors and other stakeholders; that is all the major global players in SPS standards-setting, capacity-building and trade. The outputs of the STDF are widely considered by stakeholders to have addressed important constraints for developing countries, in terms of market access through building the capacity of developing countries in SPS inspection, certification and control based on international standards. This is further evidenced through the meta-evaluation of projects, the results booklet of the STDF, interviews with all stakeholders, and the survey of WG members who expressed satisfaction with the STDF (Working Group survey 2017 and 2015 based on Survey Monkey documents).

Interviewees representing founding partners, donors and observers to the WG meetings all agreed that the STDF Secretariat worked effectively to deliver outputs, particularly the PPGs and PGs. WG members and stakeholders in case study

> **OUTPUTS DELIVERED BASED ON STDF ANNUAL REPORTS**
>
> **2014 Outputs:** The STDF met its targets and approved six PPGs applications and four PGs-- "5 projects were contracted and started implementation" [...] and "9 PPGs were being implemented." However, some of the planned deliverables were not carried out: Thematic work on safe trade in Southern Africa was delayed: "Due to the unexpected closure of TMSA in 2014" and work "to finalize the draft guide to prioritize SPS investments options for market access, based on multi criteria decision analysis" (p.2) was delayed due to unforeseen circumstances; a briefing note on lessons learned (p.4) was not feasible and; "Due to migration to the new STDF website, traffic statistics were not available. (STDF Annual Report 2014)
>
> **2015 Outputs**: All the planned activities for outputs seem to have been delivered as listed in the Annex 1 Logframe (p.33-34): "STDF members continue to be very satisfied with the performance of the STDF Secretariat, as illustrated by the findings of the survey of STDF members carried out in December 2015 (Figure 8). Respondents were particularly satisfied with the responsiveness and efficiency of the STDF Secretariat in servicing the Working Group, and its role in supporting the review of funding applications." (STDF Annual Report 2015)

countries further recognised that the Secretariat supported the applicants with the development of PPGs and PGs to ensure they are of high quality, and was then heavily engaged in management and guidance during implementation.

In terms of coordination, knowledge platform, PPGs and PGs, having the founding members, donors and observers working and commenting on thematic topics and proposals produces high-quality input to all STDF deliverables. Donors, implementers and beneficiaries during both country case studies reported that inputs and access to these experts from founding partners was an effective method to deliver PPG/PGs.

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The STDF is in a unique position to be an effective convening platform for coordination, with founding partners forming an integral part of the STDF structure itself. For example, in the review of the STDF's thematic work on Public-Private Partnerships (PPP), it was observed that in the beginning of the PPP work, the STDF had both GFSI and COLEACP as panellists at STDF/LNV/World Bank workshop on Public Private Partnerships (2010), which showed private sector interest and commitment, but there is scope to do more, as illustrated by examples of UNIDO working closely with Metro and Coca Cola (see ANNEX 10).

However, a number of partners have raised concerns over STDF's resources, commenting that there is insufficient staff at the STDF Secretariat to continue at the current level of engagement. Therefore, as the STDF Annual Report 2017 notes, this risks undermining continued effectiveness:

Risk matrix (p.66-67) "STDF Secretariat not fully staffed and operational": "Action to mitigate risk: Following internal changes in the STDF team, the WTO hired two temporary staff. In 2017, the STDF benefitted from the contribution of three interns for a total of 11 months. The Secretariat continued to explore effective ways of operating, including to rely on the support of external experts to support ongoing M&E work, and to expand and strengthen the STDF's communications work. The STDF Secretariat was able to secure the services of a WTO Young Professional for a one year period, starting in January 2018."

Some donors also expressed the view that the STDF should have larger funds for PPGs and PGs and that they would be willing to

> **OUTPUTS DELIVERED BASED ON STDF ANNUAL REPORTS**
>
> **2016 Outputs:** All the planned activities for outputs seem to have been delivered as listed in the Annex 1 Logframe (p.33-34) and as listed on p.4 including 22 SPS capacity-building projects from Africa, Asia-Pacific and Latin America and the Caribbean at various stages of implementation, and STDF Secretariat participated in over 55 events worldwide, reaching more than 3,800 public and private sector stakeholders with an interest in SPS issues, promoting dialogue and knowledge transfer. (STDF Annual Report 2016)
>
> **2017 Outputs**: (p.72-73) All planned activities for each Output and Outcome seem to have been delivered and the majority of the targets seem to have been met or exceeded. For example, Outputs three & four – PPGs and PGs: p. 59 "The Working Group also took the lead on the review and approval of new requests for STDF funding. A total of nine new project grants and seven PPGs were approved at both meetings, compared to one project and 11 PPGs approved in 2016; STDF conducted a WG stakeholder survey in December 2017, and one of the areas for improvement was p.58 "streamline the process of reviewing grant applications." (STDF Annual Report 2017)

increase their contributions accordingly. There certainly appears to be "effective" demand for increased STDF funding as examination of recent WG meeting minutes show some approved PGs have not been funded due to lack of resources. However, given the resource-heavy development and monitoring of implementation of PPGs and PGs, this would add further constraints to human resources.

Conclusion

The STDF is an effective structure to deliver key learning, coordination, PPGs and PGs based on significant inputs from STDF Secretariat and partners' staff across all deliverables. As a result, there is a high degree of achievement in outputs, with reported good results and quality across deliverables but the provision of adequate resources to the Secretariat will be required to continue at this level.

B1.2 Deliverables

B1.2.1 Coordination/dialogue: Is the Working Group an effective coordination mechanism?

Participation in the Working Group by the major STDF partners is consistently high, with strong attendance by founding partners, donors and developing country experts. The average number of participants in Working Group meetings between 2014 and 2018 was 46, and there were four information presentations per meeting. Most partners stated that the WG was an effective method of coordination as it allowed for a more informal approach (for example, compared with the WTO SPS Committee), which fostered information exchange that they would otherwise not have had. SPS Standards-setting bodies also remarked that it was a good mechanism for them to exchange ideas and provide interesting insights into others' priorities and activities that they could not get anywhere else (the STDF is filling a coordination gap among SPS standards and capacity-building bodies). However, SPS standards-setting bodies commented that discussions were not technical enough in terms of SPS depth, and that insufficient time was allowed within the WG for developing and exchanging ideas rather than for approvals of PPGs and PGs, issues which they linked to the size of the Working Group and the presence of many members who are not SPS experts. Some donors on the other hand thought that there was *too much* technical SPS discussion and that more concentration on work plan reporting was needed.

Some donors also questioned the effectiveness of time spent on PGs and PPGs. Based on observations of discussions and exchange of information on PGs and PPGs during this time (for example on control of cadmium in

cocoa – see A.2.3.1 above), this process is actually what leads to better coordination and would appear to be necessary investment of time.

However, when establishing the effectiveness of the wider coordination outside the WG itself, coordination seems to be less effective, as there is little evidence that participants liaise or coordinate *within* their own institutions. Donor and founding partner representatives that participate in the WG all described how they reported on each meeting and submitted these reports to their hierarchy. Some even took the initiative and distributed the reports to a wider internal audience. However, most felt that this was not effective in disseminating information and exchange among their own colleagues, as they were too busy to read "yet another" report of an international meeting. Equally, there seemed to be little coordination within founding partners on inputs to thematic topics and information seminars, and partners were simply recipients of this information rather than contributors or disseminators of it. One founding partner commented several times that the onus is on the partners themselves to develop more effective participation, and called upon them to take preparation more seriously. The exception is in reviewing applications for PPGs and PGs, where a more focused comment process was apparent among some partners as they reported comments and contributions from throughout their respective governments.

Inputs from developing countries are through the developing country experts, who provide a beneficiary perspective. However, these experts represent themselves rather than any specific institution, and only some have formal links with their own country SPS infrastructure. Several donors commented that they appreciated inputs from developing country experts but that sometimes the relevance and quality was mixed. Others commented that the inputs and coordination with developing countries needs to be strengthened.

Conclusion

The Working Group is effective as a coordination mechanism, as many founding members do not meet to discuss SPS capacity-building issues for developing countries in any other fora. However, the STDF standards-setting bodies have concerns that the Working Group does allocate sufficient space for more technical SPS work. Moreover, there appears to be a lack of preparation reflecting poor internal coordination by the participating organisations, which means that exchanges in the Working Group meetings are often limited to the individual, rather than institutional level.

B1.2.2 Knowledge platform: Does the target audience of the STDF knowledge platform have access to STDF products (website, external events, thematic topics and publications)?

The STDF states in successive Annual Reports that the Working Group and participation in external events provides widespread access to information and the knowledge platform on SPS capacity-building for developing country beneficiaries and partner organisations, with the STDF members 'increasingly disseminating knowledge and best practice" (STDF Annual Report 2017). This statement assumes that WG members (as individuals) disseminate the information broadly, and many of the donors have reported that the knowledge platform is one of the most valuable assets of the STDF, and is a main motivation for contributing to the trust fund. However, as detailed in A1.3.2, donors and founding partners do not appear to follow through on this and actively disseminate materials.

The STDF (and the STDF Secretariat) participate in a broad range of events that reach out to a large audience. For example, in 2015, the STDF participated in more than 55 key events reaching over 3,800 stakeholders, some organised by STDF partners for key SPS stakeholders, while some were national and regional workshops and training seminars to developing countries' benefit (STDF Annual Report 2015).

The STDF re-launched its website in August 2014 to help with outreach of the knowledge platform and has 713 documents. In 2017, there were over 22,300 login sessions to the STDF website and over 11,618 downloads. Individual visitors have been fairly constant since its re-launch, with 21,209 logins in 2015.

> After the homepage (in English), the e-certification page was the most visited, with 2,165 views. Other top ten pages include: database of approved STDF projects; homepage (in Spanish); database of approved PPGs; homepage (in French), Facilitating safe trade; STDF at a glance brochure, and P-IMA. The Guidance Note for Applicants (in English) was the most downloaded document, followed by the STDF Fact Sheet (in English)."

However, although the overall level of traffic is high, it is not focused on developing country beneficiaries, with only 53% of visitors in 2018 originating in developing countries. Moreover, there are fewer numbers of regular visitors, with only 43% returning visitors in 2015, 41% in 2016 and 38% in 2017. It is therefore unclear how effective the website is as a knowledge platform.

Moreover, the information in the knowledge platform is not presented in a cohesive and accessible way. For example, the deep dive on PPP (ANNEX 10) found that although there were 33 mentions and lessons on public private partnerships in the final project reports, it was not possible to automatically access these references from the interface, nor was there any consolidated analysis of conclusions that partners and beneficiaries could take from these lessons. To gather all available information and experience on PPP, the user would have to go through each section of the website and every project document, and although mining the website in such way offers a good level of experience and knowledge, users (founding partners, donors and beneficiaries) are not likely to do this.

> **Meta-Evaluation Recommendations**
> "[…] STDF as a partnership do more to support the dissemination, learning and follow-up of individual STDF projects in beneficiary countries and regions within the broader STDF Communications Plan and […] STDF increase the sharing of good practice on SPS capacity-building"

In addition, the vast bulk of information provided on the website reports on outputs and successes, rather than actual knowledge that partners and beneficiaries could use in an easily accessible and usable way. For example, the Results Booklet gathers 25 stories of good practice models from STDF projects in food safety, animal and plant health and cross-cutting SPS areas, but lacks practical information on how to replicate those projects or use the best practise.

There is a remarkable volume of content, particularly on projects, on the STDF website, where it is possible to access project background information, results, recommendations and project-specific documents. They also link to other relevant web pages or documents, such as results stories, if applicable. For example, via the web page for PG 436, Strengthening capacity in Latin America to meet pesticide export requirements, it is also possible to access a news release on the project made by the partner organisation. However, some founding partners' view is that the website is mainly informational and promotional, rather than providing true project results assessments and lesson learning. During the Guatemala country case study (ANNEX 9), some implementers commented that results presented on the STDF website usually highlighted only the positive aspects of projects, and lessons learned were not very clear. Given that the STDF tries to work in the innovation space, it should be allowed to accept and learn from failures and less productive outcomes. The "Resources" section on the website also does not actually provide resources but rather a summary of different outreach outputs and communication materials, such as results stories on projects, briefings, events, newsletter, publications, results stories, YouTube channel and working group documents.

Similarly, the thematic topics section of the website provides information on six of the STDF activities around the thematic topics (projects, events, research, workshops) and publications. However, it is static information rather than firm guidance or practical support for partners and implementers.

From the country case studies, none of the PG and PPG beneficiaries, implementing agencies or competent authorities interviewed said they had accessed the knowledge platform. From the survey of beneficiaries, only 20% responded that the STDF Secretariat had reached out to them regarding best practice from the knowledge platform. Although based on limited survey results, combined with country and key stakeholder interviews, this suggests that there is insufficient access from target audiences to the knowledge platform, and more work could be undertaken to make the most of this tool, as also concluded in the meta-evaluation.

Conclusion
The knowledge platform aims to provide new information and know-how to partners for further dissemination and use, and to developing country beneficiaries to improve SPS capacities to enable trade. This is meant to be achieved through outreach by partners in the WG, and through events and website access. However, widespread use and dissemination of STDF's knowledge is limited among both partners (restricted mostly to WG participants) and beneficiaries in developing countries (with some of those participating in events). While STDF's communications have improved, it raises the awareness and highlights the availability of materials but does not directly promote the use of, or access to the know-how generated by the STDF.

B1.2.3: PPGs: What is the conversion rate between PPGs implemented and follow-up projects? What is the leverage rate?

See A2.3.3 in section 3.1.

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Conclusion

There is little verifiable evidence to show that PPGs result in follow-up projects from other donors; that is, donors are not using the PPGs in any significant ways as needs assessment or project design mechanisms for their interventions.

B1.2.4: Projects: Do the STDF projects contribute to enhanced SPS capacity in beneficiary countries?

PGs are used to build capacity of developing countries to address SPS issues and unlock or enable trade. In the majority of cases, the overall objectives of these projects (as evidenced from a review of the 25 projects in the STDF Results booklet) were to enhance SPS capacity linked to trade with four out of 11 projects implemented in years 2014-2017, reporting concrete results in terms of gaining or maintaining market access.

Country case study reports showed high levels of impact and sustainability across the projects implemented in Uganda and Guatemala, and greatly improved SPS capacities in specific sectors. In the opinion of some founding partners, however, the STDF should be focused more on projects that have learning in a regional or global context, rather than those that have a focus on a sector/market or specific beneficiary. Based on the assessment of the results of the PGs, STDF activities have generated very positive results, contributing successfully to SPS capacity-building in beneficiary countries.

Conclusion

Projects have been certainly shown to improve SPS capacity-building in beneficiary countries, so as a tool they appear to be effective; but the scale of the projects means that the overall impact, although positive, will be relatively small.

Overall assessment of B1

The STDF has contributed to "increased capacity of developing countries to implement international SPS standards, guidelines and recommendations and hence ability to gain and maintain market access" but there is no verifiable evidence that this goes beyond countries and markets where its projects are focused. Furthermore, although the STDF undertakes coordination work and produces useful materials, the Facility is currently not very effective in communicating or disseminating these materials to a wider, global set of beneficiaries which would facilitate a much greater impact.

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?

Most Working Group members agree that the STDF has significantly improved its M&E activities and communications over recent years, but that this is only a step in the right direction and much more needs to be done. Donors particularly want better assessment and communications of results, rather than reporting on outputs. Much of the motivation from donors is that they themselves need to report on results levels and they desire to have results from the STDF in order to report and justify engagement with the STDF, so in terms of the STDF funding, this is a necessary step to keep donors engaged. However, some founding partners have cautioned against over-simplifying results and outcome level indicators, as they are difficult to measure and quantify in SPS capacity-building, and attribution is even more difficult: "The STDF is meant to be innovative and so results are not simply measuring increase in employment."

Following the previous evaluation, the STDF engaged a part-time external expert to guide the STDF monitoring and evaluation process with ex-post evaluations of PGs. However, little or no evaluations of knowledge platform or coordination activities have been undertaken.

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Again, most stakeholders believe that there have been significant improvements in the way that the STDF reports results, through both annual reporting and results booklet, but with the caveat noted above that there is scope to continue to improve. In this regard, the meta-evaluation noted that *"STDF projects produce robust results at different results levels", but asked "are these results effectively integrated into the current results reporting of the STDF and in line with the expectations of STDF's partners, donors and beneficiary countries?"*

The results booklet also shows that the STDF projects have been successful, but again more at the output level, for example listing number of inspectors trained in Latin America or creation of a manual in Uganda. The STDF should be reporting on the results where possible. For example, during the country case study in Uganda, it was reported that as a result of developing the manual and of training inspectors and flower producers, the number of SPS interceptions in the EU had reduced significantly. Assessing the situation before and after in such cases would provide a more robust and useful basis on which to measure and report on SPS capacity-building for trade.

> **STDF results booklet Example Results**
>
> "PARTNERSHIPS IN SENEGAL BOOST SAFE CABBAGE PRODUCTION AND REGIONAL EXPORTS" (PG 302) p.32: "Increased farmer productivity – from 15 to 30 tonnes per hectare; improved quality – pesticide residues dropped reassuring customers of non-toxic products, with benefits for public health and the environment; more competitive prices – processing costs fell by 42%."
>
> "STRONGER PHYTOSANITARY CONTROLS HELP UGANDA'S FLOWER EXPORTS TO GROW" (PG 335) p.35: "A streamlined inspection and export certification system was set up, together with a surveillance, monitoring and traceability system. A manual with 12 Standard Operating Procedures"
>
> "BUILDING CONFIDENCE IN REGIONAL TRADE THROUGH FOOD INSPECTION IN CENTRAL AMERICA" (PG 344) p.23: "Over 470 inspectors from Central America and the Dominican Republic were successfully trained, creating a cadre of inspectors with the latest skills and knowledge on modern food safety inspection techniques. SME producers also learned about Good Agricultural Practices based on effective inspections during primary production"

It should however be noted that the communications strategy has been developed and implemented with a part-time external expert and that this is insufficient to deliver the expected communications.

Conclusion
Both the M&E and communications functions of the STDF have much improved over the evaluation period. However, these critical tasks are still not sufficiently addressed or resourced within the current STDF structure and need to be strengthened, to ensure that important learning and knowledge is widely promoted and disseminated to beneficiaries.

B2.1.2. How effectively does the STDF engage with the findings generated through the results measurement?

The STDF Secretariat reported that they often use learning from the M&E to adapt and change other PPG and PG applications. Most notably, the STDF places an increasingly greater emphasis on project level logframes and the linkages to the higher level logframe of the STDF itself.

From the assessment of project documents and STDF annual reports, there are clear examples where the learning from STDF deliverables has been used to enhance other activities, but this is ad-hoc (due largely to current time and resource constraints and lack of an adequate M&E framework – see 2.1.3 below). The fact that these examples need to be gathered from reports supports a judgement impression that the STDF needs a more systematic approach to lesson learning.

Founding partners expressed the view that there is insufficient lesson learning from activities and that with growing time-pressure on the STDF Secretariat, this is not likely to improve without specific focus and action.

One founding partner said that the STDF was meant to be about innovative approaches and lesson learning but that in practice, the gathering and use of results and lessons was "disappointing". Moreover, several founding partners, project implementers and a

> **Examples of STDF Utilisation of lessons from M&E**
>
> "In March 2017, experiences and lessons from STDF's work on facilitating and strengthening PPPs to build SPS capacity and promote trade were shared during a breakout session at the Global Food Safety Conference in Houston." (based on an STDF project in Thailand and Viet Nam). The training modules developed during the project continue to be updated and used today. GFSI published a leaflet about the project" (STDF Annual Report 2017)

few donors stated that they would welcome more on lesson learning from PGs and would themselves use these results if they were gathered and presented in a more useful way.

Conclusion
While there are ad hoc efforts within the current structure to communicate and disseminate learning from STDF activities, this is not undertaken in a systematic way whereby learning is gathered, assessed, synthesised and used to inform either other work, or to share with STDF partners and beneficiaries to improve their own work in SPS and trade.

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B2.1.3 Has the RBM and results reporting functioned sufficiently well?

In so far as the STDF is reporting based on its existing logframe, it is reporting adequately against this framework. It is generally agreed by all stakeholders that the STDF structure is delivering good outputs and this was confirmed by the meta-evaluation: "*STDF projects produce robust results at different results levels*".

Most donors and founding partners however, are very critical of the logframe[23], which, it is felt, contains targets and indicators which do not reflect adequately the overall goals of the programme. Although improvements have been made in recent years to develop a better framework for M&E, there is a clear need to take this further and improve both the logical framework, and the reporting against it. For example, under outputs of delivering good practice, SPS capacity-building (output 2) is only measured by number of topics, number of visitors to the website, number of external events and number of publications.

This does not indicate whether or not new "good practice" guidelines have been developed or the extent to which they are fit for purpose and can be used by developing country beneficiaries. We believe that the outcome indicators are even weaker. For example, "perceived value by WG members of STDF activities" is too reliant on the subjective views of people who are closely involved in the STDF. This does not link at all to the actual STDF goal: *to promote the increased capacity of developing countries to implement international sanitary and phytosanitary (SPS) standards, guidelines and recommendations and hence improve their ability to gain and maintain access to markets.*

Donors call for a stronger theory of change to be delivered, backed up by good indicators that reflect the ambitions and objectives of the STDF and are clearly attributable. A strong results-based management framework is required to monitor and evaluate the STDF against its overall goals in a structured and more straightforward way. This would allow the STDF to draw results, lessons and learning from all activities to feed back into its future activities and provide a stronger platform for communicating results to its constituents.

STDF Logical Framework

Outcome Indicators

− Outcome Indicators 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

−. Information exchange and dialogue amo−. Information exchange and dialogue among providers of SPS capacity-building donors, observer organizations, beneficiaries)

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

−. Good practice to support −. Good practice to support SPS capacity-building identified and disseminatedts

−sNumber of external events attended by the STDF Secretariat

−umber of external events attended by the STDF Se3. 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)

Conclusion

Although the STDF is effective in achieving its outputs and outcomes against the agreed logframe, this logframe itself is weak and does not show clear attributable linkages from outputs to results and outcomes to the wider programme goal of increasing capacity in SPS in developing countries to enable trade.

B2.2 Deliverables

B2.2.1 All Outputs: Does the STDF monitor all outputs as per its logframe?

Since 2016, the annual reports have detailed the measurement of outputs against the logframe of the STDF, and these are presented in B1.1.1 above. However, the output and higher-level indicators are not strong in measuring or attributing the outputs to the achievement of the overall programme goal.

Conclusion

Both M&E and annual reports of the STDF show indicators and progress for outputs. However, there is little higher-level measurement of performance in terms of results and outcomes of activities. Although there is anecdotal evidence from some deliverables, it is not presented within a strong analytical framework.

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[23] Although it should be noted that as part of the Working Group, donors and partners were integral in developing the existing Logframe.

B2.2.2 All Outputs: Are results communicated effectively?

See B2.1.1 above for the assessment.

In addition, most founding partners' staff interviewed stated that although they commented on proposals and briefings, the results were not communicated back to them. For example, when a founding partner staff member had helped to shape a PG application, they often did not know if the application was successful, and if it was, what the results were in the end. Whilst this may be attributed to internal communications within these organisations, if the STDF wants to continue to benefit from the "good will" and valuable SPS expertise of these staff members, it should seek to ensure, however possible, that there is more effective and direct feedback to key staff. In addition, several donors asked for more presentations on PPG and PG progress and results to be made by implementers and beneficiaries at Working Group level.

Conclusion

STDF communications at a results and higher indicator level need to be stronger so that the overall progress towards STDF's goals is better understood, as well as the contribution of individual deliverables.

Overall assessment of B2

The STDF is measuring and presenting outputs of its deliverables, but a much stronger theory of change and logframe need to be developed with a focus on the linkages between outputs and results/outcomes. These then need to be measured more robustly and presented and communicated in a structured way. In addition, the M&E needs to be embedded into a wider lesson learning mechanism so that effective results and outcomes can be fed back to ensure replication and better dissemination of best practice (and its use) among beneficiaries.

3.3 EFFICIENCY

C1. HAS THE STDF MADE EFFICIENT USE OF TIME AND RESOURCES TOWARDS ACHIEVING THE OUTPUTS?

C1.1 STDF Structure

C1.1.1 How efficient is the STDF in delivering outputs?

According to the WG surveys carried out by the Secretariat in 2015 and 2017,[24] most members of the STDF WG were satisfied with the efficiency of the platform; 100% of 2017 survey respondents and 95% in 2015 were satisfied or fully satisfied on "Responsiveness and efficiency of the STDF Secretariat in servicing the Working Group". Many comments in the same survey pointed out that the Secretariat achieved much, albeit with limited human and budgetary resources. However, some donors and founding partners remarked that although the Secretariat was efficiently delivering on outputs, it was over-stretched and would need more staff if it was to continue to deliver at this level (see C1.1.2 below).

Working Group Member Survey Assessment

"Respondents were particularly satisfied with the responsiveness and efficiency of the STDF Secretariat in servicing the Working Group, and its role in supporting the review of funding applications." (STDF Annual Report 2015).

"The Secretariat encouraged and facilitated a good working environment, encouraged members to provide timely input for the draft agenda, and circulated all documents for meetings well in advance to ensure transparency and encourage discussion and participation. The Secretariat discussed agendas for Working Group meetings with the Chairperson in advance, and introduced changes to the agenda and format of meetings in an effort to improve the quality and outcomes". (STDF Annual Report 2017).

The Secretariat is reported to be highly efficient in organising and preparing for WG meetings with all founding partners, donors and observers reporting that they provide documents well in advance to enable adequate preparation and effective contribution to the meetings. This is also supported by responses from the STDF WG surveys. However, there are some divergent views on the structure of the Working Group meeting itself. On one hand, some donors who do not have expertise in SPS issues are more interested in having a general picture of the STDF results, outcomes, and work plan and in discussing strategic decisions rather than reviewing and approving PGs and PPGs. Some felt that the STDF Secretariat should be delegated to select and approve PPGs and PGs, and that the WG's time should be better used in setting project priorities at a more strategic level, with possibly a more technical sub-group appointed

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[24] Access to 2017's survey Report: http://www.standardsfacility.org/sites/default/files/Andersson_WGSurvey_WGMar18.pdf

to look at projects in detail. On the other hand, some founding partners and donors (multilateral and/or with SPS expertise) believe that projects should be discussed individually, as is currently the case.

With regard to presentations and technical knowledge shared during the WG meetings, while some donors pointed out that they did not have a particular interest in the technical content, other donors and founding partners considered the presentations to be an important tool of STDF's knowledge platform. A number of Working Group members expressed the view that WG sessions should be clearly divided into separate days, one covering technical (SPS and trade) knowledge and another covering PG/PPG discussions as well as strategic and operational discussions (e.g. on work plan). These members could then choose which sessions to participate in (especially as STDF WG meetings generally keep to schedule).

Conclusion

The STDF is very effective in delivering current outputs, but to continue to deliver, it will be necessary to build certain capacities and expand resources of the Secretariat to adequately support the Facility. WG meetings convene a diverse group of interests and expertise and so not all parts of the WG agenda are considered relevant by all participants. This may be unavoidable, however, to ensure coherent and joined-up oversight and adequately deliver learning and coordination.

C1.1.2 How efficient is the STDF Secretariat in delivering outputs and responding to the different objectives of the Facility?

The Secretariat and its staff are efficient, with a core staff of one head, five professional staff and one support staff members (with some support from interns at some points in time) delivering across all four STDF outputs.

Furthermore, the majority of those interviewed (founding partners, donors and other stakeholders) commented they thought that the Secretariat was effective and efficient, responsive to queries and delivered more efficiently than other programmes they dealt with. In addition, no one interviewed provided any adverse comments on the efficiency or the work ethic of the Secretariat.[25]

However, some donors expressed a view that if more staff were made available, improvements in M&E and communications could be made, as well as expanding on other activities such as coordination and knowledge platform.

STDF Secretariat activities 2018

• Currently managing 32 active PGs and PPGs;
• In the process of contracting 11 new PGs and PPGs;
• Concluded seven PGs and PPGs in 2018;
• Engaging in monitoring and evaluation activities, including five evaluations (including this one) and five field monitoring missions to STDF PGs;
• Organisation and preparation for 18 STDF coordination events and networking in 2018 and participation by STDF staff in further 47 external events and meetings;
• Developing learning platform content, preparing 10 STDF briefs and contributed to a further 10 publications;
• Communications activities including publishing three reports, two briefing notes, 10 e-news items and one film;
• Reviewing 70 PG and PPG applications foe 2018, including full examination and support to the preparation of 19 potentially eligible applications, providing guidance to applicants, and presentation at two Working Group meetings;
• General management and reporting, including preparation of the annual report.

Conclusion

The Secretariat is efficient and delivers quality outputs across its four areas, with a core staff of six currently managing 50 PPG and PGs, undertaking or participating in 55 coordination activities in 2018, 10 knowledge platform activities and supporting the preparation of 70 PPGs and PGs in 2018. In addition, with support of communications and M&E consultants, it manages evaluations and general management. Given this level and quality of outputs, the STDF Secretariat can be considered excellent value for money, which is a view supported by all main STDF stakeholders interviewed. However, the Secretariat staff is over-stretched, and to continue to deliver at this level, more staff resources will be required to support existing activities, as well as to deliver desired improvements in communications and monitoring and evaluation.[26]

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[25] Even those critical of the focus of the STDF recognised the efficient and effective work of the Secretariat.
[26] This excludes any resource requirements to deliver additional activities that arise from our recommendations.

C1.2 Deliverables

C1.2.1 Coordination and knowledge platform: Does the STDF receive and regularly submit relevant information to its members and do members use this information and for which purpose?

Members have stated that prior to WG the STDF Secretariat submits information and circulates documents in advance. All the documents are well organized on STDF's website and available on the members' homepage.

According to donors and partners interviewed, this information is often redistributed within their own organisations and local offices/representations, depending on the content. However, during the country case studies in Guatemala and Uganda, local offices and delegations of donors and founding partners said they had never heard of the STDF's work, even though the Facility has supported a lot of different projects in those countries. This implies that distribution of information on STDF activities by partners and donors is not as efficient as it should be and STDF lacks visibility in some cases. Some suggested that the STDF could achieve more widespread dissemination if the information were circulated during the WG, but this seems impractical given the volume of information and knowledge involved.

As previously reported, most partners are unsure to what extent information is used within their organisations and stated they were not using or accessing information through the STDF website (see B1.2.2 above). During the field mission to Guatemala and Uganda, local beneficiaries did not know about or use thematic information and mainly used the platform to learn about PG/PPG's rules and application processes.

Conclusion

There is efficient exchange of information among WG members and wider exchange of information and accessing PG data that avoids duplication or informs on STDF project activities on the ground. However, this exchange is limited to individuals and information does not appear to be more widely disseminated throughout partner organisations or beneficiaries in developing countries.

C1.2.2 Projects and PPGs: Are Grants approved and implemented effectively?

With regard to PG/PPG discussions, some founding partners' experts stated that they found the rules on reviewing the grants applications to be unclear, with no particular guidance from STDF on the focus, priorities or overall objectives. Also, some partners and donors said it was unclear why some of the proposals were not tabled or discussed in the WG, as they seemed to meet all the requirements. Although the STDF Secretariat provides full details of these in the WG pre-meeting information, some partners would like to have a more detailed discussion on the PG/PPGs during the WG, suggesting that selection is not always clear.

Most donors, however, believed it was quite unusual that discussions of the WG should be held at the project level. Many said they would prefer to pass the task of approving PGs and PPGs to the Secretariat and partner organisations, who were more interested in the technical discussions. If the STDF fund was a trust fund, members should be able to trust it, according to some donors.

With regard to the application process and implementation of grants, project implementers and beneficiaries in both country case studies (Guatemala and Uganda) stated that STDF Secretariat was very efficient, responding quickly and providing inputs that had been essential support to successful applications. Moreover, the inputs provided by the Secretariat and partners meant the project design was better and implementation more efficient.

STDF is reported to be flexible and adaptive in project management, as reported in the meta-evaluation report, which noted the "general value of allowing for flexibility, innovation and adaptive management in project design and implementation". However, the time-lag in approving some projects was emphasized. These were due to the WG's meetings (only twice per year), the lack of staff at the Secretariat and the time taken to identify and contract implementers. A number of beneficiaries and implementers noted that these delays caused problems in the implementation of some projects.

Conclusion

STDF's PG and PPG applications are processed and approved is a relatively short time, but the selection and prioritisation process is unclear to some partners and beneficiaries. There are issues with implementation delays in sub-contracting and establishing payment arrangements, but in terms of management and inputs during implementation, the STDF Secretariat is very effective in assisting beneficiaries, responding in a timely manner and often being adaptive and allowing flexibility.

> ### Overall assessment of C1
>
> The STDF is a relatively efficient platform, delivering a large number of activities with a limited number of resources, particularly in PG and PPGs. However, the Secretariat is operating at the limit of its capacity. In addition, greater clarity on priorities and objectives need to be provided to all partner staff engaged to allow for more efficient input on review of PG and PPG applications from partners, especially to address concerns of some donors on time spent approving projects at the Working Group meetings. Moreover, the Facility is not making the best use of its partnership to disseminate information and learning to a wider audience of beneficiaries (requiring more specific efforts from WG members to engage and communicate STDF knowledge within their organisations and to their stakeholders).

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?

> **STDF's Mid-Term Review 2014 – recommendations**
>
> 1. Review the Medium-Term Strategy and strengthen the Results Based Management Framework (RBMF) to guide STDF's activities and become a useful tool for the Secretariat when managing the facility.
>
> 2. Increase and improve cooperation with regional and global players.
>
> 3. Strengthen the STDF Secretariat's capacity and ensure effective management of the facility.

The last Mid-Term Review (MTR) of the STDF for the period 2009 to 2013, covering the 2007-11 and 2012-16 Medium-Term Strategy, concluded with three main recommendations.

The first recommendation was to review and strengthen the Results Based Management Framework (RBMF) with a detailed problem identification exercise, and to develop a clear intervention logic to frame problems and respective solutions. It also suggested that this should be carried out with the support of an external consultant: *"Significant attention and resources went to strengthening the STDF's monitoring and evaluation framework in 2015. Measuring and also effectively communicating the results of the STDF is crucial to learn how STDF can improve, keep members engaged and ensure adequate resources in the STDF Trust Fund. An external expert provided guidance and practical support to monitor and report on implementation of the STDF Medium-Term Strategy (2015-2019), based on the biannual STDF work plan and the STDF Monitoring and Evaluation Framework."* (STDF Annual Report 2015, p.31). In 2017, the M&E expert continued to provide support and guidance to monitor the STDF's progress and performance, including support to develop the biennial Working Group survey and to carry out a meta-evaluation of 22 externally evaluated STDF projects.

Regarding the second recommendation, increasing regional cooperation, many PGs are regional in nature, and as discovered during the country case studies in Guatemala and Uganda, implementers of many projects are regional organisations: Organismo Internacional Regional de Sanidad Agropecuaria (OIRSA), Instituto Interamericano de Cooperación para la Agricultura (IICA) and CABI. While the STDF was able to deliver a regional component to projects through working with regional organisations as implementers of PGs in Central America and East Africa, it is evident that regional cooperation remains limited.

Concerning the One Health Initiative, during the Working Group of October 2016, different presentations were given by FAO, WHO and OIE to provide the partners' different perspectives on the subject. There are also some examples of cooperation in the EIF/STDF partnership, such as the joint publication Analysis of consideration given to SPS issues in DTIS, in October 2016. However, there is not much evidence of STDF's effort to strengthen its voice in the global Aid for Trade Initiative, or of increased cooperation with the GFSP. There have been a few presentations but nothing substantial on really advocating the increasing importance or share of SPS capacity-building in A4T allocations.

The third recommendation, to strengthen the STDF Secretariat's capacity and ensure effective management of the Facility, has been addressed through the recruitment for an additional post at grade six (entry level) in 2015. Also, two external consultants were hired to strengthen management capacity: a communications officer and an M&E specialist.

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Conclusion

The STDF has refined most of its objectives, strategies and priorities to respond to the MTR of 2014. The platform has invested a lot of effort to develop its M&E framework and strengthen its Results Based Management Framework (RBMF). Also, the Secretariat has hired additional full-time staff members to address the current heavy workload and improved its Operational Rules. On the regional and global cooperation, the Secretariat has also made an effort to improve its work in this area, although there is not much evidence on some of the recommended partnerships.

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 been developing a more systematic approach to adaptively manage and mitigate risks to the implementation of its work plan and activities. The Mid-Term Strategy document includes a logframe that has sections on risks and assumptions for each Output, but these are assumptions rather than risks, and there is no information on adaptive management or how learning leads to adaptations.

Over the evaluation period, 2014 to 2018, the STDF had two Work Plans, one covering 2015-2016 and another covering 2017-2018. Both documents have a section on risk assessment and mitigation, in which the Secretariat outlines the risks and their planned mitigation processes. However, it is not clear how the STDF structure responds to new information, changes and risks, such as realising project risks despite them being assessed during the review process. Again, there is no information on adaptive management and how learning leads to adaptations.

Although the 2015 and 2016 Annual Reports do not include any risk framework or assessment, they reported and emphasised the close cooperation with STDF partners in developing and delivering STDF's bi-annual work plans, which contributed in some way to mitigating risks.

The STDF M&E Framework and Communications Plan do not refer to risks, apart from the logframe requirement for projects outlined in the M&E Framework, and again there is also no information on adaptive management and how learning leads to adaptations.

In the implementation of PPG and PGS, the STDF appears to be adaptive to risks, and all projects are required to have a risk matrix that the STDF implementers and Secretariat can monitor. According to the STDF's meta-evaluation, based on the assessment of 22 completed external evaluations of STDF projects, these evaluations have identified several external risks to project implementation (meta-evaluation, p.14): "Many evaluation reports discuss external factors that affected negatively the implementation of projects. Most of these factors, such as lack of political will and local capacity, are not surprising, but taken together they give concrete examples of the type of risks and conditions STDF projects need to deal with".

STDF Annual Reporting on Workplan Delivery

"In 2015, the STDF Secretariat worked closely with STDF partners and other organisations to deliver the STDF bi-annual work plan. This focused on facilitating a range of coordination activities, organising Policy Committee and Working Group meetings, outreach and participation in selected events and training workshops, project preparation, review, implementation and evaluation and website and film development." (Annual Report 2015).

"In 2016, the STDF Secretariat **worked closely with STDF partners and other organisations to deliver the STDF bi-annual Work Plan**. This focused on facilitating a range of coordination activities, organising Working Group meetings, outreach and participation in selected events and training workshops, project preparation, review, implementation and evaluation and website and film development. Working Group members also discussed and agreed on a new bi-annual Work Plan for 2017-2018." (Annual Report 2016).

In the 2017 Annual Report, the STDF introduced a risk framework with risks identified, impact and likelihood estimated, and mitigation actions outlined and taken, such as:

• STDF Secretariat's preparatory work in advance of WG meetings to mitigate against the risk of "Insufficient active participation in Working Group";

• Knowledge and information sharing, participation in external events, targeted guidance provided by the Secretariat, and dissemination of information by STDF members, to mitigate against the risk of "Insufficient number of high-quality PPG and project applications received by STDF";

• Active engagement with existing and potential donors and development partners by the Secretariat to mitigate against "Insufficient funding available in STDF Trust Fund";

• The hiring of temporary staff as a result of internal changes, the possibility of benefitting from inputs from interns and young professionals in 2017, and use of external experts on M&E and communications, to mitigate against "STDF Secretariat not fully staffed and operational" and;

• Risk assessment of individual project risks during the project application review and a section on risk identification and mitigation is included in the application, to mitigate against the risk of "Implementation of STDF projects influenced by external conditions" (Annual Report 2017, p.65-66).

STDF project management is adaptive and according to the meta-evaluation report "general value of allowing for flexibility, innovation and adaptive management in project design and implementation." This is also illustrated by flexibility during implementation of PGs, as detailed in C1.2.2 above.

Conclusion

The STDF Secretariat has made increased efforts to determine and mitigate risk in delivery of its work plan, including project grants. The Secretariat seems to be adaptive to learning in relation to PPG/PGs (although there is little evidence of responsiveness to learning on other deliverables, specifically relating to coordination and knowledge).The learning/feedback loop needs to be reinforced with a formal review or mechanism that would gather lesson learning in a structured way and integrate this into the future activities and procedures of the Secretariat.

C2.3 Deliverables

C2.3.1 PPG: Did PPGs support increase in Aid for Trade (A4T) activities in beneficiary countries (that has led to more than would have been expected without STDF support)?

Donors were unable to provide any comment or information on the importance and spending of SPS capacity-building in the overall Aid for Trade (A4T) framework. Developing country experts commented that SPS capacity in general got little attention nationally and with much of the donor funding agreed between donor and beneficiary country, SPS capacity-building was generally not prioritised. This was also verified with donors and beneficiaries in the country case study in Uganda, where SPS capacity-building was not seen as a priority for donor funding (or government budget) despite Uganda being reliant on agricultural development and exports. The STDF therefore, does not appear to have elevated SPS issues nationally or globally at a donor/A4T level, beyond raising issues at WTO SPS Committee, which does not involve donor decision-makers or influencers. The only relevant activities have been occasional participation in and presentations at A4T events and WTO Trade and Development Committee.

Conclusion

There is little data available (current or historical) to suggest that SPS capacity-building activities enjoy a larger share in A4T or that many PPGs (or other STDF activities) have led to significant increases in A4T funding.

C2.3.2 Projects: How does the STDF monitor and manage project implementation to ensure delivery and risk management?

The STDF Secretariat monitors and manages project implementation closely. According to the evaluation survey (ANNEX 7), 16.7% of implementers communicate with the STDF Secretariat on a monthly basis, and a further 40.7% on a quarterly basis, which shows a relatively high level of monitoring by the STDF Secretariat. While some partners felt that the level of monitoring risked becoming too high and might be inefficient, the STDF Secretariat has responsibility not only for risk management but also for learning and feedback, which does require the high level of engagement that takes place. The meta-evaluation concluded that: "*Frequent reporting to STDF was considered a very effective way of solving problems in a timely manner".* The evaluation of a project in Nicaragua (STDF/PG/155) also concluded that: "*Thorough initial planning in combination with revision of plans to accommodate unexpected changes was a key success factor in the MOTSSA project."*

Also, according to some project implementers and some project beneficiaries, this frequent exchange of information and guidance from the STDF Secretariat often provides very positive reviews and impact on outputs and deliverables. Therefore, the STDF Secretariat not only constantly communicates with implementers to manage project implementation, but is also able to solve problems and accommodate change.

Conclusion

The STDF is very efficient in the monitoring and risk management of PGs and PPGS, although this is necessarily resource heavy, as all projects are tracked and managed by the STDF Secretariat and guided to keep on track. The communication between the STDF and the implementers may vary depending on the project implementer, being more or less real time.

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Overall assessment of C2

The close management and communication between the STDF Secretariat and both project implementers and beneficiaries in developing countries has contributed to effective implementation and management of risks for these projects, although it is therefore necessarily resource heavy. This is especially important where the STDF works in more innovative areas, as these are by nature more risky. Recommendations from the mid-term evaluation have been seriously considered and generally, implemented. However, there is less formal consideration or assessment of project level evaluations, and risks related to the knowledge platform and coordination mechanism need more attention.

3.4 SUSTAINABILITY

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 Knowledge platform: Is learning (including project and PPG results and good practices) being shared in the STDF knowledge platform?

The main mechanisms through which the knowledge platform is delivered are the STDF website and other communication media, events and thematic topic activities. The STDF website is the main repository for documentation on PGs and PPGs, where it is possible to find a vast array of information on different pages. However, it is not consolidated or assessed in any constructive or accessible way. Developing country experts and donors commented that more work on gathering and presenting lessons across activities was needed to guide partners and beneficiaries to use this knowledge (see B.1.2.2. for more details).

Finally, most stakeholders interviewed (partners, donors, implementers and beneficiaries) agree that the STDF must communicate better the *learning and good practices* from projects and how to promote more outcomes than outputs, if the results are to be sustainable. During both country case studies, none of the beneficiaries, competent authorities, founding partners' local offices or donors were aware of, or used STDF knowledge platform or best practice guidelines. The absence of using STDF knowledge on the ground constitutes a missed opportunity and therefore this knowledge risks being lost.

Conclusion

The STDF has accumulated a great deal of lessons and best practice, and practical knowledge for SPS capacity-building across all its deliverables. However, the knowledge is not being analysed and presented in a way that can be readily used by partners and beneficiaries to improve their own work in a real and practical way. Further work is needed to explore how to best package this to make sure it is not only relevant, but can be used in the future in order to make the STDF knowledge platform the "go to" resources for SPS capacity building for trade.

D1.1.2 PPGs: Does the STDF have a mechanism/plan to follow up on results of PPGs?

PPGs are intended to be used for needs assessment to inform policy nationally or develop new SPS capacity-building projects but based on analysis of documents and interviews with partners and in-country, the extent to which PPGs are nationally owned is uncertain, as is their lasting impact. In the Annual Reports from 2014 to 2017, there is not much detail on PPG follow-up, but rather generic descriptions about beneficiary participation or consultation. Based on these descriptions it is difficult to gauge the depth of this engagement, and more importantly, ownership.

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During the country case study in Uganda, donors commented that following a PPG, the beneficiary government would use it to tout a project to all donors, and also to the STDF itself, but if this failed, the PPG would be forgotten.

In the Annual Reports from 2014 to 2017 there is no information on conversion rates between PPGs and PGs. There is also a time lag between PPGs and PGs, and when reference is made to projects, there is no mention of whether they follow on from a successful PPG. However, in the section on "Results of selected PPGs" in Annual Reports 2014-2015, there are several examples of PPGs that led to PG proposals. The Annual Report 2017 differs from the previous reports in terms of structure, but it still refers to seven PPGs that have led to PGs or are expected to lead to PG proposals (Annual Report 2017, p.30-32, 34, 46 and 56). However, there is no description as to how these PPGs have led to PGs or other activities, or what the STDF's role was in this process.

> **Examples of National Engagement in PPGs**
>
> The Annual Report 2016 describes progress and results of five selected PPGs. All these descriptions include general references to engagement. For example, PPG 447 in Tajikistan "enabled stakeholders from the public and private sector in Tajikistan to identify priorities to improve the export competitiveness of SMEs based on the National Food Safety Strategy, and to develop a project to address them." (Annual Report 2016, p.31-32).
>
> The Annual Report 2017 likewise highlights involvement of local stakeholders in PPGs. For example: "In Guinea, weaknesses in phytosanitary controls, regulatory gaps and plant pests challenge agricultural production and trade. An STDF PPG approved in March 2017 is allowing the Ministry of Agriculture to follow up on the findings of the IPPC's PCE Tool and develop a new project that improves the country's phytosanitary system." (Annual report 2017, p. 34).
>
> According to the risk register in Annual Report 2017: "Results from STDF projects and PPGs (as evidenced from project reports and evaluations) show that understanding local contexts and local ownership are central for success." (Annual Report 2017, p. 64).

Conclusion

It is uncertain the extent to which PPGs are owned and the extent to which findings are embedded into the national structures or used to develop follow up projects over the long-term. The STDF acknowledges that understanding local contexts and local ownership are central for success of PPGs, but in reality, apart from projects that are funded under the STDF, there is little information on the contribution of these to follow up activities (either government actions or other donor projects).

D1.1.3 Projects: What does the STDF do to follow up after end of project?

Most of the projects are highly successful during implementation, with high levels of inputs and guidance from both project implementers and the STDF Secretariat. However, post project, there is little follow-up. According to STDF's 2018 meta-evaluation report "*In terms of performance, STDF projects score very highly on relevance, effectiveness, efficiency, but lower on impact and sustainability*" and that projects focused on sector development (working through a whole value chain) demonstrate a higher contribution to impact and sustainability than projects on technical

> **Sustainability of Projects**
>
> There is no mention of sustainability in the 2014 Annual Report. In the 2015, 2016 and 2017 Annual Reports, some selected descriptions of project progress and results outline sustainability issues; for example the PG328, "Beyond Compliance: Integrated Systems Approach for Pest Risk Management in Southeast Asia" of the 2016 Annual Report, where: "*Elements that promoted sustainability under the project included an improved understanding of how to apply the systems approach among government and industry, the NPPO's active engagement and support to farmers and the level of understanding and compliance by selected producers and exporters.*" (Annual Report 2016, p. 45).

assistance (projects targeting specific governmental groups) and institution-building projects (engaging wider public and private sector groups).

The Results Booklet published by the STDF attempts to highlight the 'sustaining impact' in each of the 22 PGs and three PPGs, in the areas of food safety, plant health, animal health and cross-cutting SPS issues. It is not clear, however, how the STDF monitors this, or whether results from previous projects have been embedded into projects designed since, and what the process is for this to happen. Follow-up largely depends on the commitment and ability of the national stakeholder implementing the project. Even where there is strong ownership, however, national entities may not be able to follow up without some external support and opportunities to embed capacity may be lost.

Conclusion

Some STDF projects may continue to have impact after they end, although it is unclear whether this is a result of embedding sustainability into the PPGs or STDF Secretariat follow up; or whether it hinges on the commitment and capacity of the local stakeholder. While there is some monitoring (and evaluation) post-project completion, there is no systematic follow-up by the STDF to ensure sustainability, with the focus on results gathering rather than on embedding capacity.

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> **Overall assessment of D1**
>
> Sustainability is considered in project design, but there is little evidence that processes to sustain impact are actually built in to STDF activities, with lesson learning and best practice distributed widely across many documents and activities that are not brought together and appropriately packaged for future use. Sustaining the impact of STDF PGs and PPGs depends mostly on the extent of national ownership and capacity, and on the STDF. There is scope to integrate sustainability considerations more thoroughly into all STDF activities and ensure that lesson learning, particularly relating to new and innovative practices, are readily utilisable and are being used to enhance knowledge.

D2. WHAT ARE MAJOR FACTORS THAT INFLUENCE THE ACHIEVEMENT OR NON-ACHIEVEMENT OF SUSTAINABILITY?

D2.1 Deliverables

D2.1.1 and D2.1.2 Coordination/ Dialogue / Knowledge platform: Does the STDF encourage uptake of good practices, emerging from projects, among beneficiaries, donors and partners?

This is addressed in D1.1.1 above.

D2.1.3 PPGs: Are the STDF's partnerships and role with international agencies pivotal in decisions for follow-up/implementation of recommendations/findings?

There is not much evidence that the STDF is using its partnerships and facilities to leverage uptake of good practice, follow-up to ensure sustainability or funding of new projects resulting from PPGs. In the case of funding, the leverage quoted in STDF annual reports is largely "in-kind" contributions from beneficiaries and project implementers.

> **Project Leveraging**
>
> According to the STDF 2017 Annual Report, *"STDF funds for PPGs and projects approved in 2017 - totalling US$ 4,656,513 - generated an estimated US$1,764,044 in additional resources. This included budgeted in-kind contributions as well as funds, from national governments, other donors and development partners, and the private sector. From 2004 until the end of 2017, STDF funds for projects and PPGs had mobilised resources worth an estimated US$25.3 million for beneficiaries in developing countries."* (Annual Report 2017, p. 66).

Regarding the co-funding of the new project in Uganda, the country case study revealed that this was more about coincidence of objectives than any use of the STDF partnership. This is also backed up by Annual Report 2017, which seems to suggest this happens through the STDF network: *"STDF experiences show how mobilizing resources is an on-going process that requires extensive time and efforts. From the project design stage, cooperation and synergies with donors, development partners and the private sector is key"*.

The 2018 meta-evaluation also highlights the STDF Secretariat's role in leveraging resources to projects: *"Another remedy to resource constraints is obviously to leverage resources from partners and other donors. In recent years, this has been a recurrent feature of STDF projects and monitored by the STDF Secretariat. The evaluation reports are, however, relatively silent on this issue, except for the cattle project in Costa Rica (STDF/PG/116), where this was done successfully"* (Meta-evaluation, p.10).

The STDF seems to have recognised this issue, requesting PPG beneficiaries to consider preparing project concepts and designs in other donor application templates. For example, during the country case study in Guatemala, it was found that a condition to PPG 539 approval had been to write the application in the format required for other donor funding applications, to be able to easily find funds after its conclusion. One of the main objectives of the consultant implementing the PPG was to find potential donors to the project. The success of this approach is not yet known.

In terms of wider project and knowledge platform follow-up, STDF donors and partners do not appear to exploit the potential of the Facility structure to encourage sustainability. In the country case study in Uganda, the founding partners' country officers were totally unaware of the past STDF projects and learning, although they expressed a desire to be more closely involved in STDF activities (even if not directly involved in implementation) as it aligned with their thinking and strategies nationally.

> **Conclusion**
>
> STDF partners and donors do not take sufficient advantage of the Facility's connections and network to significantly increase the chances of implementation of projects/recommendations from PPGs, nor do they make sufficient use of the STDF structure to drive the use of knowledge or best practice.

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D2.1.4 Projects: Are the results of projects sustainable?

This is addressed in D1.1.3 above, which covers the STDF's follow-up of projects.

Overall assessment of D2

Sustainability of STDF activities largely depends on the extent of national ownership and capacity, which by themselves may not be sufficient to sustain impact without STDF follow-up. STDF partners do not actively follow up on projects, despite a local presence. There is clear scope for STDF partners in-country to engage actively in follow up rather than relying on the STDF Secretariat, which is constrained by its location in Geneva and by tight resources. Active local follow-up by partners could help to generate the traction needed to facilitate longer-term sustainability.

3.5   IMPACT

E1. HOW DO STDF ACTIVITIES AND PROJECTS CONTRIBUTE TO OBSERVED CHANGES IN BENEFICIARY COUNTRIES?

E1.1 Deliverables

E1.1 All Outputs: Have activities led to observed changes in SPS and market access in beneficiary countries?

At an impact level, the goal of the STDF is to promote the increased capacity of developing countries to implement international sanitary and phytosanitary (SPS) standards, guidelines and recommendations, and hence improve their ability to gain and maintain access to markets. The issues surrounding a sound theory of change, appropriate logframe and indicators, and depth and breadth of M&E (which have been assessed in the previous sections) necessarily limit the amount of evidence available on impact. For the PPGs and PGs, there is widespread

> **Examples of STDF improving market access**
>
> According to the 2015 Annual Report, the thematic work on P-IMA and safe trade changes have led to market access improvements: "SPS authorities in some countries, including Lao PDR, the Philippines and Zambia, have already implemented some of the recommendations to improve the implementation of SPS measures to facilitate safe trade. Similarly, there is growing evidence of positive, spill-over effects of the work of STDF on the development and use of a framework to prioritize SPS investments for market access." (Annual Report 2015, p.10-11)

evidence in the STDF annual reports between 2014 and 2017 of improvement in market access for agri- and agri-processed trade from developing countries. For example, in the 2017 STDF Annual Report, of the 49 PPG and PGs reported on, there are ten that specify having contributed to improved market access. Although this may seem low, many of the projects will be immature, with no results or impact realised. Similarly, and perhaps with a more realistic overview, in the recently published Results Booklet, 40% of project results mentioned improved market access.

The meta-evaluation states STDF projects score lower on "impact and sustainability", but better when focused on sector development (refer D.1.1.3 above) and was corroborated by country level case studies, with ample evidence of market access improvements as a result of PPGs and PGs. In Guatemala, the "Improving veterinary legislation" project (STDF/PG/358), which had the object to support OIRSA countries in establishing an animal disease program by improving legislation, has clearly improved SPS regulations in Guatemala. According to the Guatemalan competent authorities, the legislation is aiding Guatemala's trade negotiations with Mexico, and will be essential for accessing Mexican meat markets as a direct result. In Uganda, it was reported across the PGs that the number of interceptions and rejections in targeted sectors and markets (flowers in EU and maize, fish and dairy in Kenya) had substantially reduced. This is directly attributable to several specific projects, and provides Uganda with improved market access and trade. However, this is not to suggest the other PPGs and PGs have not, or will not contribute to the overall goal of the STDF and help open up or maintain market access; it is just not apparent yet, or they are not visible or attributable. For example, a project on collecting data for MRLS to allow approvals for use at Codex and thus improve market access has led to submissions at Codex in Africa, Asia and Latin America, and the process of agreeing international pesticide MRLs for tropical products is well under way and will eventually lead to opening markets for many minor crops in developing countries.

Similarly, the knowledge platform and coordination activities of the STDF appear to have substantial potential to improve market access as well as promote and lead to capacity-building in SPS for market access and trade beyond STDF project activities. However, there is no framework to assess the impact of these activities at all, so in the absence of any tangible evidence, no further assessment can be made.

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Overall assessment of E1

There are clear and tangible examples of how the STDF has improved market access for beneficiary countries, particularly through its work in PPGs and more especially in PGs. However, these impacts are limited by the number of successful projects in the STDF, which is related to the scale of its funding disbursements. Although the success rate (especially considering longer-term impacts) may be high, the overall impact on developing countries as a whole is small. While theoretically its work on coordination and knowledge platform would, or rather should, have had much bigger and sustained impact on developing country beneficiaries, it is unclear to what extent this has actually occurred.

E2. HOW HAS THE STDF HAD AN INFLUENCE ON THE SPS AND AID FOR TRADE POLICIES AND PRIORITIES?

E2.1 Deliverables

E2.1.1 All Outputs: Has the STDF increased prioritization of SPS issues in Aid for Trade (A4T)?

Donors interviewed at the WG and during the country case studies all reported that they had not seen any increase in SPS capacity-building, either in general or as a result of STDF activities. The STDF has made efforts to raise SPS issues through participation in a diverse range of fora including the WTO Trade and Development Committee, working with EIF, and reporting at conferences and events on A4T. The STDF reports several of these activities in its annual reports.

However, with the overall A4T commitments from WTO members being US$ 55 billion per annum (2015 A4T Review), this kind of leveraging is not significant. Nevertheless, the STDF has been increasingly participating in trade-related areas, to influence and prioritise SPS within other structures, such as the trade facilitation agreement (TFA).

Some founding members reported this had had a positive effect within national TFA Committees to seek out and include SPS competent authorities in discussions, and work with the TFAF itself to prioritise (or at least include) SPS-related border issues (e.g. when designing single window operations).

The 2017 STDF Annual Report, for example, points out how the STDF has informed EU's Aid for Trade Strategy 2017 on key SPS issues: *"The STDF's work provided valuable input in the development of the EU updated "Aid for Trade" Strategy 2017, which builds on 10 years of EU Aid for Trade assistance. Good practices to strengthen SPS capacity - identified through the STDF's work on facilitating safe trade and other topics - will be very useful as this Strategy rolls out. Globally, the EU and its Member States are the biggest provider of Aid for Trade, and the 2017 Strategy aims to improve and better target this assistance, with a strong focus on fighting poverty and creating more and better jobs through trade and investment, particularly in Least Developed Countries and fragile situations"* (Annual Report 2017, p. 57).

Also, according to the STDF's Results Booklet, one out of eleven completed projects that were in implementation between 2014 and 2017, have been successful in securing follow-up from donors. The project grants that supported Africa, Latin America and Southeast Asia to meet pesticide standards for export (STDF/PG/337, STDF/PG/359, STDF/PG/436) have led to further investment of over US$550,000 to expand low-risk pesticide options for tropical produce from the USDA and the private sector.

Overall assessment of E2

Although the STDF has worked to raise the awareness of the importance of SPS capacity-building to enable trade, and particularly within the context of the Geneva processes, there is no verifiable evidence that this has resulted in increased prioritisation of SPS issues in the overall A4T agenda or donor partners' activities. However, anecdotal evidence suggest that STDF may have had greater leverage in putting SPS issues into the agenda of related trade activities, such as the WTO Trade Facilitation Agreement, with an indirect impact on the prioritisation of SPS within both policy and A4T agenda.

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3.6 CROSS-CUTTING ISSUES

F1. TO WHAT EXTENT HAVE CROSS-CUTTING ISSUES (GENDER, ENVIRONMENT AND POVERTY ALLEVIATION) BEEN MAINSTREAMED IN THE STDF?

F1.1 Overall Objectives

F1.1.1 Is the STDF Secretariat aware of major gender, environmental and poverty issues relevant to SPS?

In 2015, the STDF Working Group decided that cross-cutting issues (gender and environment) should, where possible and relevant, be addressed more systematically in STDF projects. PG/PPG and guidance notes for applicants were revised to include these aspects. A key recommendation from the 2018 STDF meta-evaluation was also to further integrate cross-cutting issues into project design and implementation. Since then the STDF has tried to actively address and integrate cross-cutting issues in its project applications and knowledge platform.

> **Cross-cutting Issues in STDF's work:**
>
> *"Following discussions in the Working Group, the STDF project and PPG application forms and the Guidance Note for Applicants were revised to encourage applicants to consider and address pertinent cross-cutting issues. These include: (i) gender-specific needs and opportunities, equality effects of proposed interventions and gender-disaggregated impacts; and (ii) positive/negative environmental consequences and/or expected higher-level environmental impacts. Some examples of the gender and environmental benefits of selected STDF projects are illustrated in Box 9." (Annual Report 2015, p. 20)*

Climate and the environment seem to be much more aligned to STDF activities and SPS in general, particularly regarding the use of chemicals and their effects on the environment, and the effects of climate change on disease and pests. The STDF has prepared a briefing paper on climate change, and has participated in many related events. Moreover, climate and environment have appeared as key integrated subjects in many of the PPGs and PGs including:

- "The STDF-funded project reduced the excessive use and misuse of pesticides and increased farmer productivity from 15 to 30 tonnes per hectare. Producers gained new market shares in the region and exports went from 1,900 tonnes in 2008 to 6,000 tonnes in 2014. As pesticide residues dropped, customers were reassured of non-toxic products, with benefits for the environment in protecting biodiversity and conserving water and soil resources. Following the project, AUMN have been involved in wider development projects to transfer good phytosanitary practices to manage environmental security in the Niayes region, as well as to strengthen land and ecosystem management in the context of climate change" (2017 STDF Annual Report).

- "An STDF regional project, approved in October 2017, will help COMESA member states to use P-IMA to prioritise and integrate SPS investments into CAADP and other policy and financing plans for trade, climate change and the environment"(2017 STDF Annual Report).

Integration of gender in projects seems to be more about identifying women beneficiaries or participants rather than integration of gender issues into SPS activities. For example, the projects on flower markets in Uganda (STDF/PG/335) and onion cooperative training in Vietnam (STDF/PG/326) where gender has been addressed through benefitting women in project-specific value chains (See Annual Report 2015).

The STDF published a Briefing Note in 2016 on "Inclusive Trade Solutions: women in SPS capacity-building", which explains how and why the STDF addresses gender-related issues in its projects and thematic work. Also, STDF's Annual Report 2017 was re-structured to accommodate for reporting results against the Sustainable Development Goals, including poverty reduction, gender equality and environmental issues: "*STDF's project cycle looks at the impact on women and the environment, from application to project review and evaluation, capturing the benefits in project logframes. Throughout 2017, good practice lessons on how STDF projects have built women's skills and know-how to meet SPS measures, and benefitted the environment, were shared through multi-media, news, events and publications.*" Some donors, however, believe that the STDF should do more on cross-cutting issues without losing the interest in the SPS topics.. One of the feedback points from the WG member survey conducted in December 2017 and reported in the report was to "develop more evidence and visibility on how the STDF's work supports the Sustainable Development Goals, including on poverty reduction and gender". Therefore, the STDF should target more on the Sustainable Development Goals (SDGs) framework, as most donors and partners can relate to this framework.

Some founding partners and observers interviewed, nevertheless, think that over-focusing on cross-cutting issues may dilute the STDF's attention to SPS issues, especially since the issues are not well defined. They stated it might be a major problem for the STDF to try to force cross-cutting issues to be addressed in all projects for presentation or statistics on women affected or benefitting from a project. However, other founding members and donors stated they would like to better understand whether gender is actually an issue within SPS capacity-building and not just have

projects reporting on number of women trained as inspectors. Therefore, STDF has a role in better defining and understanding the role and importance of these cross cutting issues in SPS capacity building and trade.

Overall assessment of F1

The issue of climate change and environment was the subject of a thematic topic, and therefore in some of the STDF knowledge platform and coordination activities. The issue of climate is understood and addressed, although it is not visible within PPGs and PGs. Conversely, gender has not yet been a real topic in the knowledge platform or coordination activities in specific relation to SPS capacity-building. Within projects, however, gender is highlighted but addressed more broadly as "impact on women" rather than as gender-related SPS issues. A recent presentation by ICTSD and Australia at the STDF WG on the role of gender in SPS capacity-building highlighted gaps in knowledge and understanding worldwide, and perhaps this could be a future thematic area for the STDF to explore.

F1.2 Deliverables

F1.2.1 All Outputs: Are there any cross-cutting issues addressed in STDF activities?

This is partly addressed within F1.1 above. However, although cross cutting-issues are observed in STDF activities both in planning and implementation (particularly SDGs), they are not explicitly targeted within the M&E process.

In 2016, the STDF revised its Guidance Note for Applicants, to encourage applicants to consider pertinent cross-cutting issues. The STDF explicitly highlighted gender-specific needs and opportunities as well as positive and negative environmental consequences. Also, the Annual Report 2017 was structured around SDGs and the STDF's work. The report also includes case studies of PPGs and PGs that address cross-cutting issues of gender and environment in addition to other objectives. However, there is no evidence of explicit monitoring of those activities. The 2017 Annual Report explicitly says that more can be done to improve communications on how the platform contributes to the UN's 2030 agenda, and that the next strategy is to focus on that matter.

Overall assessment of F2

As part of STDF PPGs and PGs, gender is currently being included (or advocated) within applications. In the new format of the annual report, the STDF has reported about its operations against sustainable development goals, so that cross-cutting issues are not only observed in the planning and implementation of STDF activities, but are also being reported against.

SECTION 4. CONCLUSIONS AND RECOMMENDATIONS

4.1 OVERALL CONCLUSIONS

In general, the evidence shows that the STDF and the STDF Secretariat have delivered outputs and results to a greater extent than expected given their budget and resources. There has also been steady evolution and improvement in the STDF's core operations, based on recommendations in previous evaluations, suggestions from within the WG and initiatives from the Secretariat itself, such as on M&E and communications.

4.1.1 Overall objectives

Is the STDF delivering and responding to the needs of the intended beneficiaries?

The STDF is responding to the capacity needs of developing countries in building SPS capacities to enable and unlock trade. SPS capacity and application of standards are a major market access constraint, as both private sector and governments in developing countries struggle to adopt and implement necessary control measures acceptable to their target markets. Moreover, SPS capacity-building is not mainstreamed by donors, and is often a subsidiary activity of a wider agricultural development programme.

4.1.2 STDF structure

Is the way the STDF is organised (i.e. its governance structure and structure of the secretariat), the best and most appropriate structure for delivering outcomes?

The STDF has a somewhat unique structure, with a global partnership of SPS standards-setting and capacity-building organisations, combined with donors and some private sector partners that produce high-quality content. It does, however, need to build on these partnerships in order to better deliver and disseminate its learning to a wider audience.

4.1.3 Deliverables

Do the activities and outputs match the objectives and intended outcomes?

STDF outputs across its deliverables (coordination, knowledge, needs assessment and capacity-building projects) match the overall needs and goals of the programme. However, these are too broad and therefore it should be more focused. Moreover, it needs to consolidate its learning and present strong positions and recommendations for how all its partners (SPS capacity-building organisations, donors and beneficiaries in developing countries) should build capacity and address the on-going and emerging challenges in SPS, to make it the "go to" reference point for the latest information and know-how.

4.2 SUMMARY OF RECOMMENDATIONS

The STDF has a stong track record of support to building trade-enabling SPS capacity, but its global impact has been constrained, in part by its size. However, as its activities and achievements identified in this evaluation have shown, the STDF has the potential and opportunity to have a much greater impact as a global thought leader and innovator, if it can better harness and use its unique structure and position, and concentrate on its strengths and use its relationships to its full extent. This will require some active reorientation of the existing structures that guide the Secretariat's work, in order to position the STDF even more clearly as a leader in SPS capacity-building and trade development. In order to do this, the evaluators have provided a number of recommendations arising from the evaluation results, together with a menu of actions that could be undertaken (though not exclusively) to achieve each recommendation. These are summarised below, with further details provided in the following sub-sections. It is understood that not all recommendations would necessarily be adopted and for those that are, they could be gradually implemented over the short to medium-term. In deciding on the implementation, the STDF should prioritise the activities and be mindful that full impact of the changes may be affected by sequencing and for sure, a change management plan will need to be developed for implementing the recommendations.

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Recommendation 1. Focus all deliverables on the same key issues.

Given its relatively small budget and its global leadership position in trade and SPS, all deliverables should be innovative, and not "routine" or able to be implemented by others. To achieve this, the following should be considered:

(i) Thematic topics should be used as the over-riding guide for all STDF activities where the STDF selects thematic topics that are current, relevant and important SPS topics that are trade enablers;

(ii) Calls for proposals for all PPGs and PGs should only be in the agreed thematic areas, and should contribute to learning around the topic, i.e. they should be innovative, testing theories and ideas so as to contribute to existing knowledge in trade-related SPS issues;

(iii) In addition to calls for proposals, partners and the Secretariat should be able to develop PGs and PPGs as a test bed for innovative ideas (although as with implementation, those organisations proposing PPGs and PGs should not be included in the approval process);

(iv) Since PGs and PPGs will be learning tools, the results and impact do not end when the project ends, and therefore the STDF should build in mechanisms for concrete monitoring and follow-up of PPGs and PGs, to examine long-term effects and sustainability;

(v) Learning from all deliverables should be embedded into best practice and guidance for developing country beneficiaries and partners, including taking the global lead in thematic topics and actively promoting learning.

Recommendation 2. Re-engagement and commitment of real resources and inputs from founding partners.

The unique feature of the STDF is that its founding partners are the international SPS standards-setting bodies, international capacity-building institutions and a trade body. Therefore, the STDF needs to better use this to maximise the impact on innovation and global leadership. To achieve better engagement, the following should be considered:

(i) Establish clarity of purpose of the STDF and the relationships and responsibilities of the different partners, so that each fully understands (and institutionally commits to) its role. (Consider using a memorandum of understanding approach which would raise awareness to highest institutional levels);

(ii) Ensure that the future STDF strategy and work plans explicitly link to elements within founding partners' own strategies and plans, so each founding partner (and its staff) can see the link to its own agenda and feed into institutional objectives and staff performance (ensuring better buy in and commitment);

(iii) Establish a mechanism for the founding partners to guide the Secretariat in technical direction, approving the thematic topics and providing an SPS expert forum for discussion and exchanges on direction and scope of selected thematic topics;

(iv) Assign Codex and IPPC as "founding members" in their own right, as these are required to be fully engaged and contribute important knowledge to STDF;

(v) Provide secondment (funded by the STDF) to the STDF Secretariat from each of the founding partners to both engage better with headquarters and build technical capacity of the Secretariat. Secondees should be selected by the Secretariat through a competitive, open process in each organisation to ensure that high-performing staff is seconded to the STDF.

Recommendation 3. Further improve communications and monitoring & evaluation

Communicating lessons, results and impact should be core to the STDF - if the STDF is the innovator and global leader, lessons and best practice should be widely disseminated. While there have been significant improvements over recent years in terms of reporting by the STDF and communications to ultimate beneficiaries, many of the very important lessons are not yet reaching (or only inconsistently) the ultimate beneficiaries of knowledge in developing countries. To improve communications, the following should be considered:

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(i) More emphasis on measuring results and impacts (not just outputs) across all STDF activities should be made, especially when this is needed for learning. (Care should be taken not to simply target impact on e.g. the poor in the short-term, but the lesson learning that could benefit the poor longer-term);

(ii) Explicitly define a theory of change and improved logical framework based on innovation and lesson learning for SPS issues in unlocking trade;

(iii) Make better use of learning from all deliverables, including from PGs/PPGs, knowledge platform research and coordination efforts among partners; and make better use of existing research, especially from the founding partners, to enhance knowledge in selected thematic areas;

(iv) Improve the provision of knowledge to ultimate beneficiaries (in developing countries) through promotion of learning to developing country governments, authorities and business organisations through, inter alia, communication multipliers (e.g. country offices of partners), interactive webinars, WG learning sessions, training courses, podcasts etc.

(v) Make better use of lessons and best practice by partners (especially donors) in their SPS capacity-building work by strengthening interaction and promotion of STDF's work to trade and SPS capacity-building units within partners and their country and regional offices.

> **Recommendation 4. Build the STDF's required operational capacity.**
>
> In order that the STDF can deliver on more focused and ambitious activities (in terms of dissemination of learning), its capacities and resources need to reflect its increased workload. Without this, the STDF will not be able to deliver the desired results. To develop the functional and operational capacity of the STDF, the following should be considered:

(i) Increase STDF Secretariat's resources, including increased staff and budgets associated with this capacity (not significant increases in PPG or PG budgets);

(ii) Strengthen accessibility of knowledge platform so that all the good work and best practice is more easily searchable and available to beneficiaries. This will require redesigning this part of the STDF website, with clearer cross-referencing to external resources and project outcomes. It will, however, also require content that clearly guides users, possibly including online training and other media;

(iii) Allocate staff and resources within partner organisations to work with the STDF and STDF activities to ensure that this is a core part of their jobs and not an add-on. (This also relates to the recommendation on identifying explicit links to founding partner agendas);

(iv) Provide training and awareness for partners' staff on STDF structure and objectives and the roles of founding partners, so that engagement with their staff is more productive, efficient and fruitful, including contributions to coordination and communications activities, assessment of PGs and PPGs and contributions to knowledge platform development;

(v) Increase participation by developing countries at Working Group level for better developing country context and potential for knowledge multipliers with RECs SPS Unit membership (resourced).

4.3   ELABORATION OF RECOMMENDATIONS

RECOMMENDATION 1: FOCUS ALL DELIVERABLES ON KEY ISSUES

In order to lead thinking and innovation in SPS and control to unlock trade, the STDF should focus on new and innovative thematic issues which can be applied throughout developing countries. All its activities should focus on these few but pivotal issues, so that it can maximise learning and knowledge in these specific areas. The number of thematic issues should not be too many, given the limited resources, and should be very relevant to unlocking trade. It may be tempting to include a larger number of issues, but this would dilute its efforts. It is therefore suggested that a maximum of five thematic topics be identified, and work concentrated in those areas.

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To achieve this, the STDF could consider the following:

(i) Thematic topics should be used as the over-riding guide for all STDF activities

The scope of thematic topics should be periodically reviewed and evaluated (for example on an annual basis), with some issues falling off the list when work is complete or no longer considered a priority or relevant, and new topics replacing them as they arise. The specific topics for the STDF to focus on should be decided through a clear mechanism of selection and approval, open to inputs and debate against set ambitions: that they address widespread issues and constraints in SPS in developing countries; that the issues are trade enablers; that the existing body of knowledge is lacking; and that there is potential for replicability (so learning can be applied to all or many developing countries).

To facilitate and maximise the use of expert knowledge within the Working Group, each thematic topic could be the focus of a thematic task force, comprising relevant individual experts from partner organisations (not focal points but experts in the thematic topic), donors (especially where they are national competent authorities) and beneficiaries (and outside organisations as appropriate), and driven by a member of the STDF Secretariat. This thematic task force would establish a work plan and members' research activity, and would contribute to the outputs, including briefing papers, recommendations for PGs/PPGs, manuals and guidelines for beneficiaries. There are examples where PGs are or have become thematic topics in the knowledge platform, e.g. the e-phyto project.

(ii) Calls for proposal for all PPGs and PGs should only be in the agreed thematic areas

While some activities in the past have been innovative, other activities (particularly PGs) have been more "traditional" in the sense that the method, procedure and results are well understood. For example, some activities have been aimed at immediate trade results, and could have been implemented by any donor (such as many of the value chain projects on the honey trade, which respond to increased EU demand for honey) rather than focused on fundamental issues. While these have had an impact at a project level, there is no "value addition" for the STDF to be engaged in such activities. By comparison, some project activities have been highly innovative, such as the development and implementation of the P-IMA tool (developed out of thematic work on economic analysis to inform SPS decision-making and piloted by COMESA, USDA and USAID) that provides a unique ability to prioritise SPS investments or the MRL data collection projects (STDF PGs 337, 359, 436) that enable countries and regions to participate actively in international SPS standards-setting, and really unlock trade by providing market access for minor crops.

Given the limited resources of the STDF, and the need to develop and add to learning around the thematic topics, all PGs should be restricted to areas concerning these topics. (In a situation where only five or six new projects are approved annually, under selected five thematic topics, the amount of new work on these subjects should not be diluted by other projects, even well-formulated ones). In the published calls for proposals for PGs, the thematic topics would be explicitly defined. Selection of projects would be based on innovation, contribution to learning, and the degree to which PGs test theories and ideas that can contribute to leading knowledge in trade-related SPS issues. This would require applicants to review and research the current tools and thinking to see how they can contribute, and this in itself could encourage knowledge-sharing. (During the country case study, several PG beneficiaries were unaware of manuals/tools available from the STDF that could support their own work). The ability to catalyse, clearly attribute and measure impact with smaller budgets has been demonstrated by the Africa Enterprise Challenge Fund (AECF), in which "windows" are clearly communicated and are wholly thematic – often with a geographic sub-filter.[27]

For PPGs, which have a broader function, consideration could be given to those in thematic areas (such as the case for the P-IMA tool applied in new situations), but also other factors such as leveraging funding, developing national plans for SPS, and other criteria.

(iii) STDF could be allowed to develop project concepts

In addition to issuing calls for proposals, partners and the Secretariat should themselves be able to develop projects and PPGs as a test bed for innovative ideas (although, as with implementation, those who are developing ideas should not be part of the approval process). These ideas would arise from the thematic task force, which could propose concepts and ideas to be developed by appropriate partners, as assigned by the task force itself. They could either come from the general project budget or be a discreet contracting process (e.g. to take lesson learning and

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[27] https://www.aecfafrica.org/index.php/portfolio/competitions

develop a manual or training for beneficiaries). A similar approach is used by Green Growth Knowledge Platform (GGKP), for example. As part of the benchmarking research, it was seen that GGKP organises its research programme around expert working groups led by external experts and partner organisations. The working groups meet regularly, may pursue their own funding and are neutral knowledge spaces.

(iv) Effective Follow up for lesson learning

Since PGs and PPGs are learning tools, the results and impact do not end when the project ends, as often learning and impact occur a long time after project completion (especially trade impacts). This means that the STDF Secretariat and/or thematic task force will be required to actively follow up on all projects and provide low level mentoring to ensure sustainability, tracking implementation, impact and sustainability of results and outputs that can be used to inform and add knowledge to the thematic area. This should be in addition to the normal evaluation process.

(v) Embed learning from all deliverables

While the STDF has developed and used some of its learning and developed best practice and guidance (e.g. the STDF Results Booklet, published in 2018), there needs to be a more consistent approach to this. The thematic task forces should be cognisant of directing research and better understanding of a thematic topic, with the aim of providing widespread support for developing country beneficiaries and partners, to enable them to address these issues globally. Therefore, a "solution-oriented" approach should be taken. Even if the resulting actions are simply raising awareness or increasing understanding of the thematic topic itself, this may be sufficient to have a wider impact.

RECOMMENDATION 2: RE-ENGAGE AND SEEK COMMITMENT OF REAL RESOURCES AND INPUTS FROM FOUNDING PARTNERS

The unique feature of the STDF is that its founding partners are the international SPS standards-setting bodies, international capacity-building institutions and a trade body. However, during the evaluation (and the previous evaluation), it was apparent that there were varying levels of engagement among founding partners. In most cases, although there was good will to participate, the relevance of the STDF to the partners' overall work was not well understood. Without any relevance, there is a general lack of institutional commitment beyond a wider political agenda, and therefore no real resources or inputs are available in a consistent way. To continue to capitalise on the strengths of its founding partners, the STDF needs to be clearer as to how it is mutually supportive of their agendas.

To achieve better engagement, the following should be considered:

(i) Establish clarity in STDF purpose, relationships and responsibilities of founding partners

The STDF has now been established for over 15 years, and has grown and evolved over that time. Therefore, the purpose and objectives of the facility need to be made more explicit, including synergies and overlap with founding partners, so that each is fully aware of the scope and direction of activities. (This may also clarify issues such as the relationship between national SPS infrastructure and trade orientation). Once the "visioning" has been completed, each founding partner's commitment should be reaffirmed at its most senior level. To cement and formalise these crucial alliances, founding partners should be asked to negotiate and sign a memorandum of understanding which will provide explicit commitment and raise awareness at the highest levels of each institution and raise awareness among middle and lower management.[28] While it is desirable that the MOU should be a common document, it may be necessary to adapt and amend individual agreements to the requirements of each partner. (It is better to have limited scope, but full commitment).

(ii) Ensure STDF strategy and work plans explicitly link to founding partners own strategies

Many of the issues and the challenges set out above around limited inputs by founding partners to the STDF have been a result of founding partner staff not understanding how the STDF contributes to the institutions' (or their own) work plans and strategies. This means that contributions to the STDF are largely seen as additional to the mainstream activities of the partner and its staff. This necessarily limits those inputs. To strengthen and enhance the founding partners' inputs into the STDF, the STDF must contribute tangibly to their workstreams and objectives. Moreover, once these links have been made, each founding partner can assign individual staff members, and the STDF can become

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[28] It is strongly recommended that these MOUs be restricted to founding partners, as they are integral to the STDF. While other partners and donors may come and go, the essence of the STDF is based around its founding partners.

part of their mainstream work. To do this, founding partners need to bring their own work plans, strategies and ideas for synergies and complementary activities to STDF strategic planning sessions. The STDF strategy and work plan should then explicitly detail and reference the link to the founding partner's own plans. This will institutionalise inputs from staff members and ensure better and more consistent buy-in, and, hopefully, increased inputs (especially on development of thematic understanding).

(iii) Establish a mechanism for the founding partners to guide the Secretariat in technical issues

The founding partners are technical experts in the SPS arena, and should be more involved in detailed technical issues outside the working group environment. This could be a light structure, but should carry some weight, so that the founding partners can, for example, be afforded the opportunity to debate and discuss technical issues over a period of time, to ensure that decisions are not taken in haste in the working group (or on the basis of who shouts loudest). This mechanism should, at a minimum, discuss the annual selection of thematic topics and perhaps also undertake a technical review and pre-approval of PGs/PPGs prior to working group meetings. The mechanism should meet more frequently than the working group (e.g. three times per year, in line with WTO SPS committee meetings), and in the form of an executive committee of founding partners to guide the Secretariat in technical direction. Alternatively, lessons from the Green Growth Knowledge Platform[29] could be replicated to establish a focal point group of technical coordinators from each partner organisation that would work on a regular basis with the STDF, advising on the technical direction and informing the STDF about new projects and priorities from each organisation.

The founding partners (including SPS standards-setting bodies) should drive the thematic and wider STDF agenda as the focus, the uniqueness and the original STDF mandate is based on their expertise. Whilst this risks some differences with some donors (who may have specific priorities), the STDF itself is now mature enough to set out its agenda clearly, with goals, targeted outcomes and impact across thematic interventions and accept some donors may choose not to fund this, whilst others will agree. So long as a more transparent approach is taken, the STDF is robust enough with a good reputation to enable it to sell its ideas.

(iv) Assign Codex and IPPC as "founding members"

The position of Codex and IPPC is unclear due, in part, to their "being housed" at FAO. However, these are separate entities (membership organisations) in their own right, with independent viewpoints. The three international standards bodies (the so-called three sisters) are the backbone of the STDF and therefore, it is a vital message to all these bodies that they are equal and contribute in their own right.

(v) Provide secondment (funded by the STDF) to the STDF Secretariat from each of the founding partners

To facilitate closer engagement between STDF and the headquarters of each founding partner, it is suggested that a reserved position or secondment to the STDF Secretariat from each founding partner is established, running for a fixed term. This would not only create technical linkages, but it would also enhance the capacity of the Secretariat itself and ameliorate the resourcing issues highlighted in this evaluation, which are the subject of Recommendation 4. To avoid this being an administrative burden to the respective partners, the STDF should fund these secondments under a contract with each partner (so staff would continue to be employed by their own organisation, and enjoy benefits of employment with it). These secondees would be "employed" within the STDF Secretariat and report directly to its Head. Secondees should be selected by the Secretariat through a competitive open process in each organisation to ensure that only high-performing staff is seconded to the STDF.

RECOMMENDATION 3: FURTHER IMPROVE COMMUNICATIONS AND MONITORING & EVALUATION

These activities are intrinsically linked, as it is important that effective lesson learning and results are monitored and measured, and that these lessons and results are effectively communicated to relevant stakeholders. While there have been significant improvements over recent years in terms of reporting of activities and communications, much of the very important lessons coming out of STDF activities are not yet reaching (or only inconsistently) the ultimate beneficiaries.

To improve communications, the following should be considered:

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[29] For further information, access: http://www.greengrowthknowledge.org

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(i) More emphasis on measuring results and impacts (not just outputs) across all STDF activities

Measuring results and impact are not only vital for monitoring and evaluating the overall facility, but also for assessing the effectiveness of specific activities and lesson learning. Recent improvements in reporting against objectives have been widely praised among STDF partners, especially donors, but reporting is largely on activities rather than results or impact. This in part is due to the long-term nature of the objectives, so the only short-term indicators are outputs. However, if the STDF is to focus more on innovation and lesson learning, a more systematic and comprehensive assessment framework is needed that demonstrates success and equally highlights failures (which is important for lesson learning). Therefore, in defining the results, an overall theory of change targeting innovative approaches to unlocking trade in SPS infrastructure in developing countries is needed.

(ii) Explicitly define a theory of change and improved logical framework

In order to provide a clear results framework for innovation and lesson learning across all deliverables, a theory of change should be developed that clearly defines how the STDF will contribute to improving SPS issues in order to unlock trade and improve market access. Accompanying this, a logframe with clear results indicators should be created, based on this theory, to enable effective M&E of the facility. While it is important that the facility moves to a more results-management-based approach, care has to be taken in the selection of meaningful indicators. Trade indicators are notoriously difficult to assign in any meaningful way within the short or even medium-term, and are even more difficult to attribute given the wide range of other factors. This is especially the case when considering SPS frameworks. For example, without compliance a business cannot export, but simply by enabling an exporter to have access to compliance does not mean that the business will actually undertake the necessary control procedures to enable to it export. Moreover, this is only one part of export competitiveness that determines ultimate trade impact.[30] Therefore, the fact that SPS infrastructure issues are addressed effectively does not guarantee increases in trade, and vice versa. Time and effort are needed to determine proxy results and impact indicators that reflect the specific results desired, through innovative approaches to unlocking market access (market access being the impact, rather than assumed trade).

(iii) Better use of learning from all deliverables

There have been examples of really good learning from all deliverables in STDF, including from PGs/PPGs. However, the use of lesson learning has been inconsistent. The Zimbabwe PPG, which was not carried forward, is a case in point. The technical aspect of commodity-based trade (CBT) as a theory was proved to be possible, but the enablers around it, such as animal quality, an animal movement permit system and the administrative capacity required, were missing. The learning point was about sector-wide transformation, and this was lost from the PPG outcome.

Lessons need to be consistently extracted from deliverables and used in building knowledge. (To some extent, this currently only occurs on an ad-hoc basis, as PPGs/PGs do not align with all thematic topics). With a more strategic approach and focus, the STDF should "mine" lessons from all deliverables, particularly PGs and PPGs but also coordination and events, to feed back into the knowledge platform on selected thematic topics.

(iv) Improvement in the provision of knowledge to developing country beneficiaries

The ultimate beneficiaries of the STDF's work should be developing countries. However, with the exception of PPGs and PGs, there is very little evidence that developing countries (companies, competent authorities or government policy-makers) either access or are able to access the wealth of information made available through the STDF. For example, during the country case study in Uganda, it emerged that existing PG beneficiaries were unaware of plant inspection manuals developed by the STDF with IPPC (STDF/PG/350). Not only were they interested in using these nationally, but they had also been involved in discussions at EAC to develop common plant protection guides. Despite this, no EAC governments had mentioned the available resource. This implies a need for improved promotion of learning to developing country governments, authorities and business organisations through, inter alia, communication multipliers (e.g. country offices of partners), interactive webinars, working group learning sessions, training courses and podcasts etc.

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[30] Other competitiveness factors include material costs, internal costs control, product design, outbound logistics, export marketing (and luck) in order to export.

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(v) Better use of lessons and best practise by partners (especially donors)

Developing country beneficiaries are not the only ones targeted. Development of SPS diagnostic tools, best practice and trends in emerging critical, trade-enabling issues, and STDF findings are of interest to other STDF partners, including founding partners and donors. Many donors fund value chain and SPS capacity programmes themselves, and it should be hoped that they would utilise tools, findings and best practice developed by the STDF. However, there is no evidence that they use the knowledge or the project preparations generated by the STDF. This is also true of founding partners. During the country case study mission in Uganda, neither founding partners, nor most donor partners, were aware of any of the current or previous STDF activities in that country. When the extent and areas of support were highlighted, several of them indicated that the activities were closely aligned with their objectives, and they would have been interested in tracking these products, analysing lesson learning and even following up on activities. The STDF needs to develop internal systems of communications that provide access to STDF knowledge and activities that may be relevant. However, this needs to be done in a consistent and meaningful way. Whether it can be undertaken directly through the STDF Secretariat or through founding partner focal points should be explored, to determine the most efficient method.

RECOMMENDATION 4: BUILDING THE REQUIRED OPERATIONAL CAPACITY OF STDF

The evaluation concluded that the STDF is delivering successfully, in large part due to the efficient and effective operations of its Secretariat. This recommendation is about enabling the STDF and the Secretariat to be more selective, coherent and consistent in its activities, focusing on a set of thematic areas. However, to deliver such innovative programmes with effective lesson learning, coordination, knowledge and adequate dissemination requires intensive resources. For the STDF to deliver more focused and ambitious objectives, its capacities and resources need to reflect the increased work load.

To develop the STDF's functional and operational capacity, the following is recommended:

(i) Increase STDF Secretariat resources

The STDF Secretariat is currently under-resourced for its current workload; continuing at this level is unsustainable. There is therefore an urgent need for it to be adequately resourced, including increasing staff numbers, increasing the level and seniority of staff to reflect its high-level tasks, and providing the associated budget. This does not imply significant increases in PPG or PG budgets. No more than a 50% increase in PPG/PG allocations would be sustainable, given the support in preparation and required follow-up. It is clear that an increase in staff is needed, including the recommended secondees from founding partners and at least one dedicated communications expert and one M&E expert as part of staff. This would represent expanding the Secretariat to 16 full time staff, comprising the six existing positions, seven secondees and three additional positions (M&E, learning and communications). It should be noted that expanding the remit of the STDF and its staffing would require more senior staff, especially at management level, as well as staff seniority and skills development. Moreover, if some or all of our recommendations are adopted, then the role and status of the STDF Secretariat would be elevated and therefore, there is a case for raising the grade levels of all existing staff, and especially those of the head and deputy head whose grades should not only match the responsibilities, but also be senior enough to enable coordination, discussion and liaison with STDF partners at an equally senior level.

In addition, funding for small consultancies and external advice would be needed for the Secretariat to access specific skills needed, e.g. in gathering or synthesising learning for thematic work, or developing new tools, guidelines or manuals.

(ii) Strengthen accessibility of knowledge platform

The STDF knowledge platform is a key resource and value of the STDF itself. However, it does not exist in any "branded" form, so that when discussing the platform with stakeholders, it was not well understood. Specific sections of the STDF website should therefore be called a knowledge platform, with a searchable function. This needs to be user-friendly so that beneficiaries can quickly access the know–how they want and need and best practice manuals, briefings, trainings and links to other sources on SPS topics can be easily retrieved. For example, the STDF project on Capacity-Building Tools for IPPC Standards (STDF/PG/350) produced seven manuals, but to access these, the beneficiary must first know about the project, then find the reference, and only then they can gain access to these documents. These manuals should be easier to access via the STDF knowledge platform, referenced by topic, not project. A user interface is required that allows the user to define the point of interest at the early entry point, rather

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than try to second-guess a solution and search for that. For example, the ITC Standards map[31] is a good example of a tool with a simple entry point interface that could be reviewed.

However, to do this requires resources to organise and promote this work, and as mentioned in staffing, a learning expert is required to consider how all information and know-how from STDF deliverables can be made more accessible and useable to ultimate beneficiaries. Note this should become easier to do if the STDF was focused on specific core thematic topics.

(iii) Allocation of staff and resources within partner organisations

The STDF is a partnership, so in addition to adequate resources being allocated within the STDF Secretariat, staff and resources need to be allocated within partners, in order to maximise the relationships and promote the STDF. A specific commitment is needed from all partners to allocate staff time linked to STDF work plan implementation. The STDF would no longer be just the STDF Secretariat staff, but also a wider network of partner staff, allowing it to draw on wider expertise and capacity as necessary (e.g. partner staff attending meetings/conferences/seminars on behalf of/representing the STDF, although in these circumstances, costs should be borne by the STDF). For clarity and easy access, a directory of STDF experts within partner organisations could be developed, giving STDF Secretariat direct access/contact to them (while always, of course, informing/copying in the focal points for the purpose of information and coordination).

(iv) Undertake training and awareness for partners' staff

Within the working of the STDF, the Secretariat relies on inputs from partners, particularly founding partners. With the adoption of the above recommendations, this would increase. However, in general founding partners' staff is often not aware of or engaged with the STDF, and are not fully aware of its objectives or the role of the activity they are being asked to comment on or provide inputs to (e.g. the validity of a PG or information for a thematic policy brief). To improve this engagement, core founding partner staff needs to be trained so their contributions are more productive, efficient and fruitful, including contributions to coordination and communications activities, assessment of PGs/PPGs and contributions to knowledge platform development. The STDF Secretariat should therefore plan (at least) annual workshops for founding partner staff, to raise awareness and clarify roles and intentions of the STDF workstreams.

(v) Increased participation of developing countries at the working group level

Currently, developing country interests and beneficiaries are represented at STDF working groups and other fora by "developing country experts" from each region. Selection of these experts is based on nominations from working group members, and although contributions from these experts have in many cases been valuable, there is a lack of effective representation and limited scope for multiplying knowledge or information. Therefore, it is suggested that these experts are either replaced or supplemented by SPS officials from regional organisations, with a mandate to develop members' SPS capacity and with direct links to beneficiaries in most developing countries. There is then the potential for contributions from these regional representatives to be based on inputs previously gathered from their constituents, and for a channel through which the STDF can reach out to ultimate beneficiaries to be established. This would require additional costs to finance the participation of 13 Regional Organisations (either an additional 13 members joining the working group if developing country experts are retained, or an additional seven if they are replaced). To make sure that Regional Organisation participation is effective (including preparations and post-workstream dissemination to member countries), Regional Organisation participants will need capacity-building and guidance (and perhaps mentoring), as well as some resources for regional activities. Given the resource limitations of the STDF Secretariat, training and capacity-building of these Regional Organisations should be contracted out, for example to CABI. To provide outreach resources for regional organisations, a contract could be drawn up between the STDF and each Regional Organisation, in the form of a kind of contribution agreement whereby staff time is provided by the organisation, and travel and regional outreach expenses provided by the STDF.

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[31] http://www.standardsmap.org/identify

Table 2. Regional Organisations

Africa	Americas	Asia Pacific
1. Common Market for Eastern and Southern Africa (COMESA) 2. Community of Sahel-Saharan States (CEN-SAD) 3. East African Community (EAC) 4. Economic Community of Central African States (ECCAS) 5. Economic Community of West African States (ECOWAS) 6. Intergovernmental Authority on Development (IGAD) 7. Southern African Development Community (SADC)	8. MERCOSUR 9. Andean Community 10. CARICOM	11. ASEAN 12. SAARC 13. Pacific Island Forum

There have been discussions regarding the expansion of the STDF to including technical barriers to trade (TBT) or the establishment of a parallel organisation based on the STDF. Following the 8th Triennial review of the WTO TBT Agreement, it was recorded that *"WTO members agreed on almost thirty recommendations that will improve the way members deal with standards, regulations and trade in the TBT committee. The triennial review recommendations are contained in G/TBT/41 […] Technical assistance: Members agreed to explore the feasibility of either expanding the present Standards and Trade Development Facility (STDF) to encompass measures covered by the TBT Agreement, or setting up a separate and dedicated TBT development facility."*

Although there are many similarities and indeed overlap between SPS and TBT, there are also many significant differences. Moreover, the current challenges of the STDF and the scope of recommendations mean that the STDF is not the appropriate vehicle for TBT capacity-building activities targeting developing countries. However, any organisation developed to coordinate TBT capacity building would need to work closely with the STDF in those areas.

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]

<p style="text-align:center;">**Table 3. STDF Governance Structure**</p>

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.

- 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).

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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

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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.

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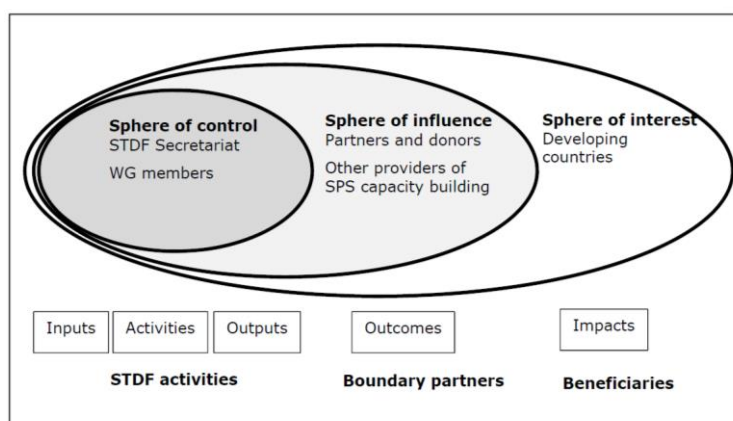
[51] https://www.wto.org/english/thewto_e/procurement_e/procurement_e.htm;
https://www.wto.org/english/thewto_e/procurement_e/terms_conditions_e.pdf
https://www.wto.org/english/thewto_e/vacan_e/vacan_e.htm
[52] See Work Plan 2017-2018 for the current logframe.
[53] See p.2 of the STDF M&E Framework (STDF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

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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:

– Internet and communication technologies;

– events; and

– thematic topics.

Figure 4. User access to STDF website by region

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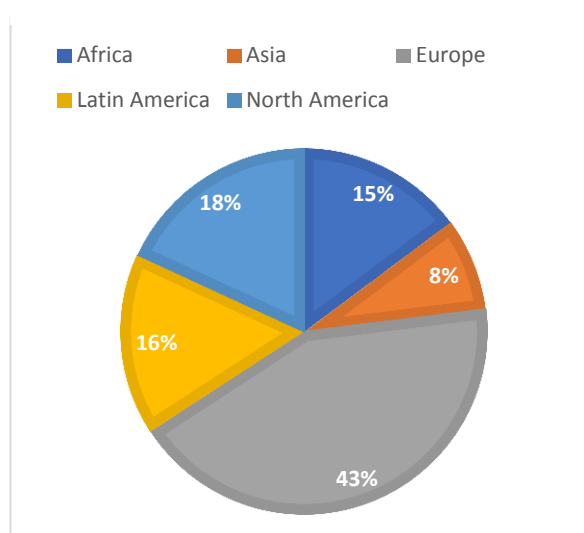
[59] See STDF Guidance Note on:
http://www.standardsfacility.org/sites/default/files/STDFGuidanceNote_English_FINAL_2015.pdf

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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.

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

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.

STDF projects in leveraging resources (million US$)
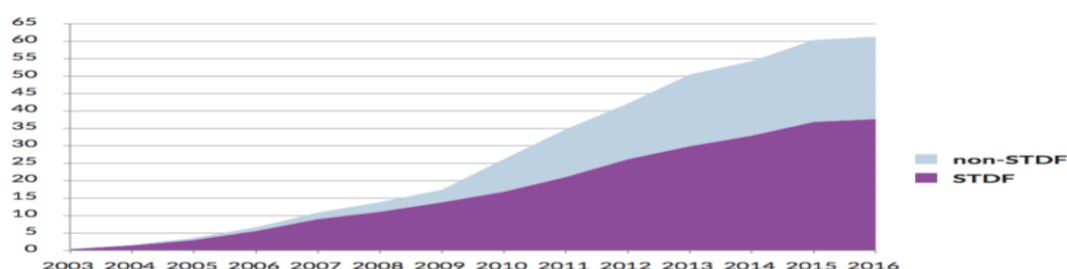
The 2018 meta-evaluation of STDF projects[66] found that 126 lessons learned were identified in the evaluation reports relating to project design and implementation, involvement of public and private sector actors, the sector context and the wider enabling environment of STDF projects.

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. <u>Quality of evaluations</u>. 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. <u>Timing and coverage of evaluations</u>. 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. <u>Project quality</u>. 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. <u>Development focus</u>. 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. <u>Lessons learned</u>. 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				

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 <u>All Outputs</u>: 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 Projects and PPGs: 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 PPG: 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 Projects: 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 Knowledge platform: 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 PPGs: 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 Projects: 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 Coordination/ Dialogue / Knowledge platform: 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 PPGs: 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 Projects: 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

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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

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

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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

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

- 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
- Not applicable
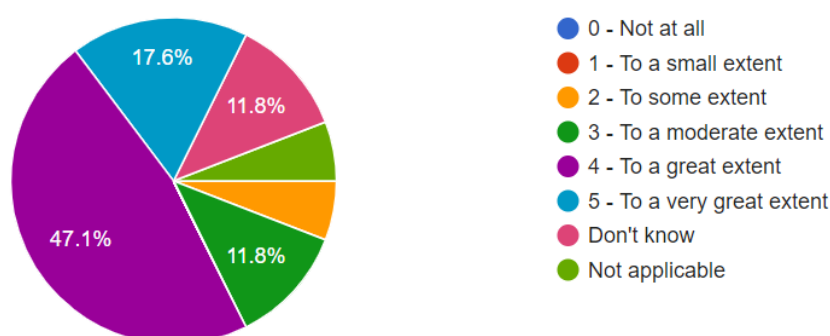
Also, according to the survey of implementers (Figure 6) regional stakeholders and/or beneficiaries have been involved to a very great and great extent in the PPG/PG concept development and application process, totalling 70.5% of the survey answers.

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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
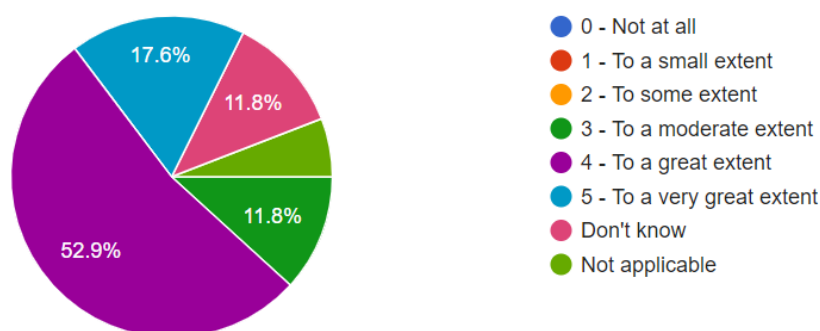

Considering the follow-up and sustainability of projects, 70.6% of implementers have indicated measuring the project's progress and communicated this to the STDT Secretariat. From those who answered having communicated with STDF Secretariat, 40.7% communicate every quarter with the Secretariat, 16.7% 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
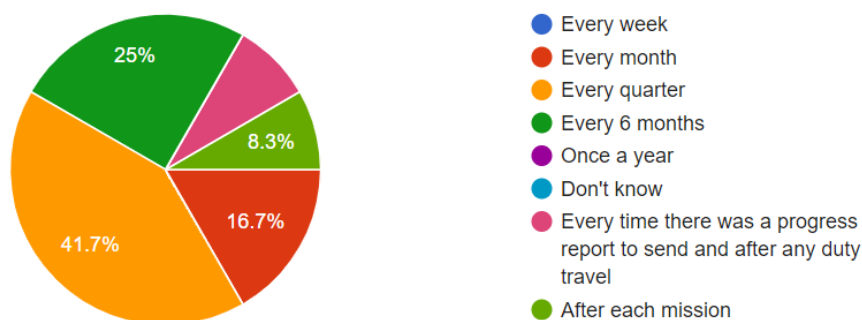
Concerning PPGs, 47.1% of implementers have declared the grants led to any other activities related directly to PPG findings, including other donor projects. From those 47.1%, 63.6% of implementers believed that the STDF facilitated or had been involved in any of these activities following from the PPG (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.
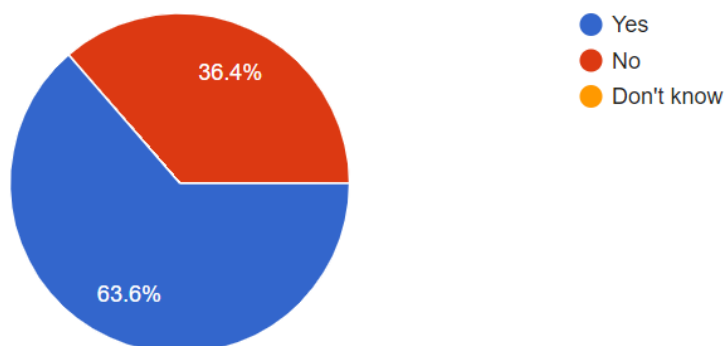
According to the survey, 100% of implementers have declared receiving relevant information on SPS from the STDF Secretariat, such as information on other STDF activities, good practices and/or lessons learned from PPGs/PGs. Most information was useful to a great and very great extent, as stated in Figure 9 below:

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

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
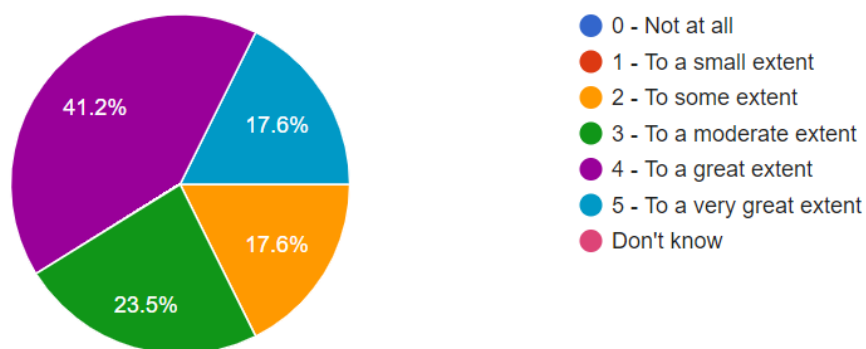
Ultimate beneficiaries – survey results

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)

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
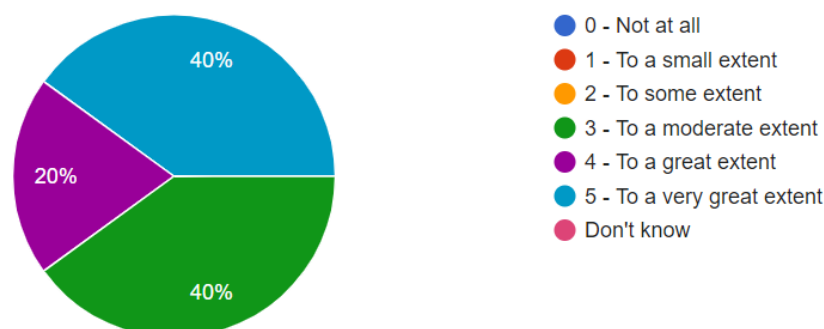
From ultimate beneficiaries, 60% had the possibility to be involved in in the PPG/PG concept development and application process. Differently from implementers, most ultimate beneficiaries haven't been reached out to on matters related to SPS capacity-building and STDF's work by the Secretariat, as stated 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?

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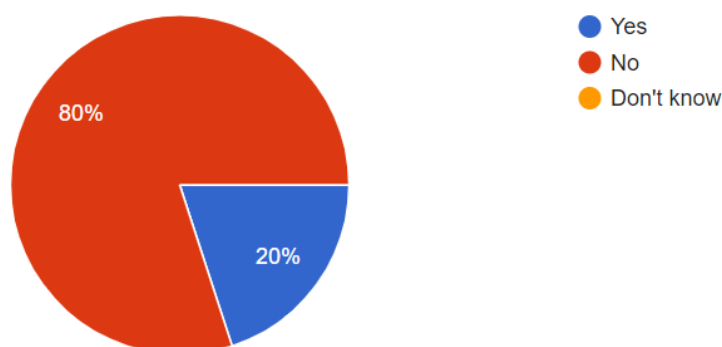
Concerning the extension of the STDF in contributing to increasing the capacity of the countries to implement international SPS standards, guidelines and recommendations and gain and maintain market access,
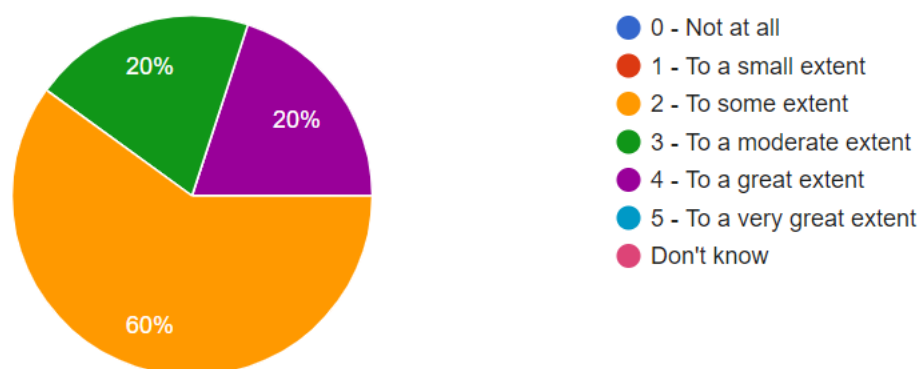
answers were quite diverse, with each ultimate beneficiary indicating a different answer, from small extent to very great extent, according to Figure 12 below:

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
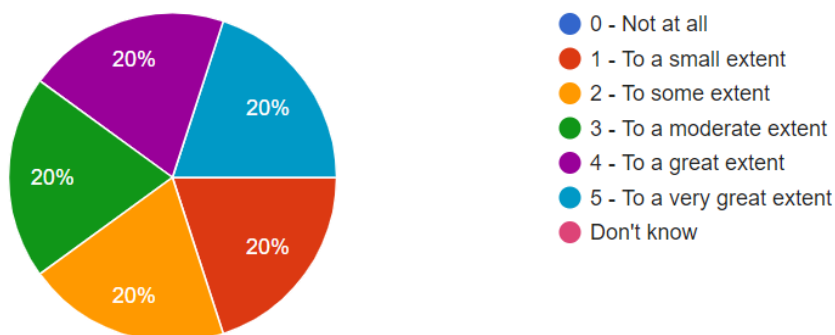
Competent authorities – survey results

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?
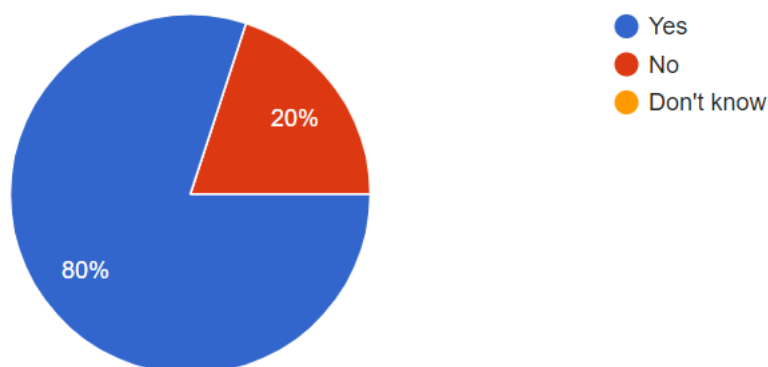
Among the answers, some competent authorities have declared receiving technical assistance on project grants from the STDF Secretariat, participating in SPS advanced courses at the WTO and receiving STDF's newsletters with relevant information.

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
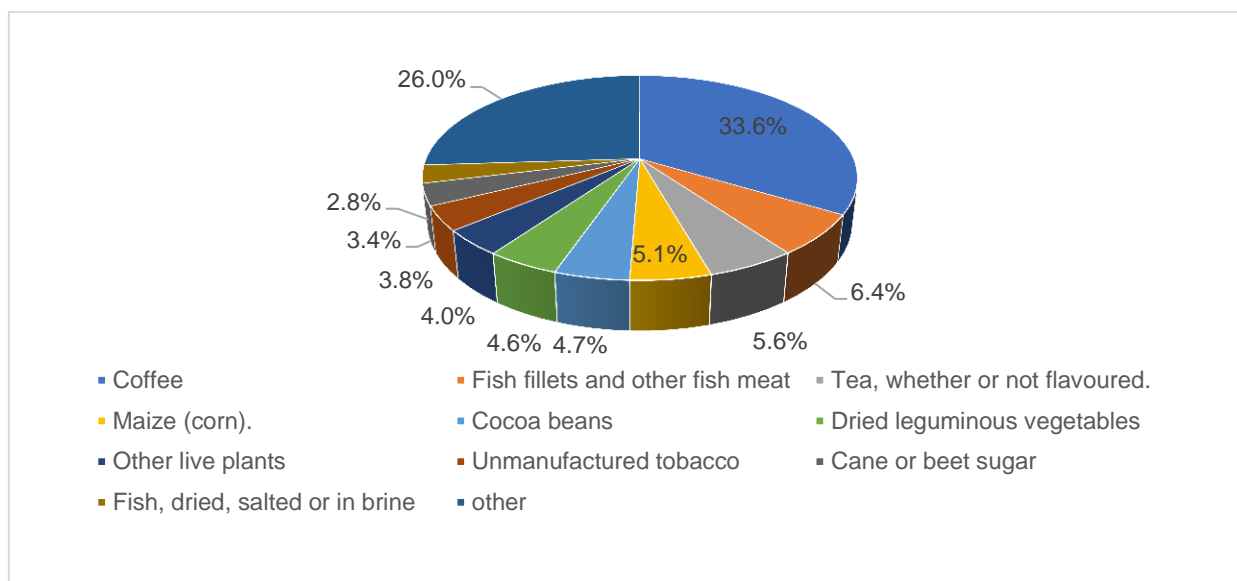
Uganda's largest export market for agricultural and food products is Kenya, valued at US$ 335,247,800 and accounting for 25.81% of all exports, followed by Italy (7.51%), South Sudan (6.67%), Netherlands (6.17%) and Germany (6.02%). Other major export destinations are Rwanda, Belgium and Sudan, each 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
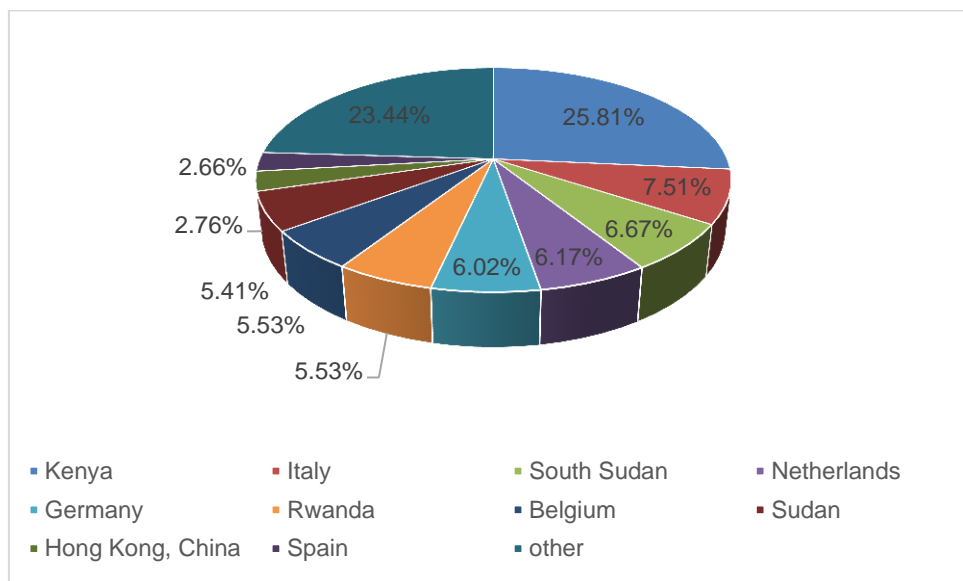
Figure 17. Main markets for Uganda's top-10 Exports

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
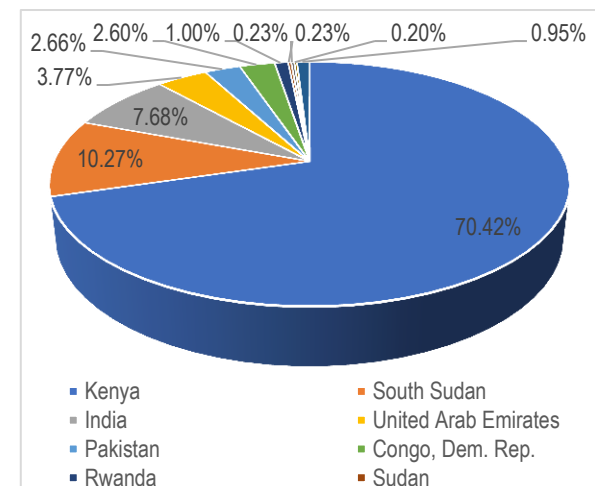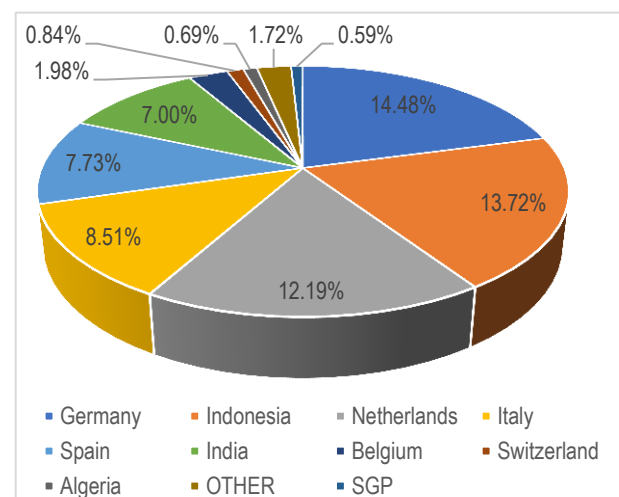
7. Other live plants (including their roots), cuttings and slips; mushroom spawn US$ 53,367,620	**8. Unmanufactured tobacco; tobacco refuse** US$ 50,387,700

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Pie chart (top left): Netherlands 83.15%, Germany 2.98%, USA 0.78%, United Kingdom 1.11%, United Arab Emirates 0.98%, Italy 1.19%, Kenya 1.16%, China 1.34%, Norway 1.88%, South Africa 2.20%, other 3.22%

Pie chart (top right): Tanzania 8.88%, Burundi 5.17%, Mauritania 0.52%, Belgium 0.33%, Rwanda 0.09%, South Sudan 0.03%, Congo, Dem. Rep. 0.02%, Egypt, Arab Rep. 0.01%, ITA 0.00%

| 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 |

Pie chart (bottom left): Kenya 60.76%, Rwanda 24.61%, South Sudan 13.07%, Congo, Dem. Rep. 1.41%, Sudan 0.08%, Central African Republic 0.06%, Burundi 0.01%

Pie chart (bottom right): Hong Kong, China 95.07%, Rwanda 2.32%, Vietnam 0.13%, Congo, Dem. Rep.) 0.85%, Kenya 0.01%, United Arab Emirates 1.01%, South Sudan 0.01%, China 0.57%, Burundi 0.02%

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.

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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

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
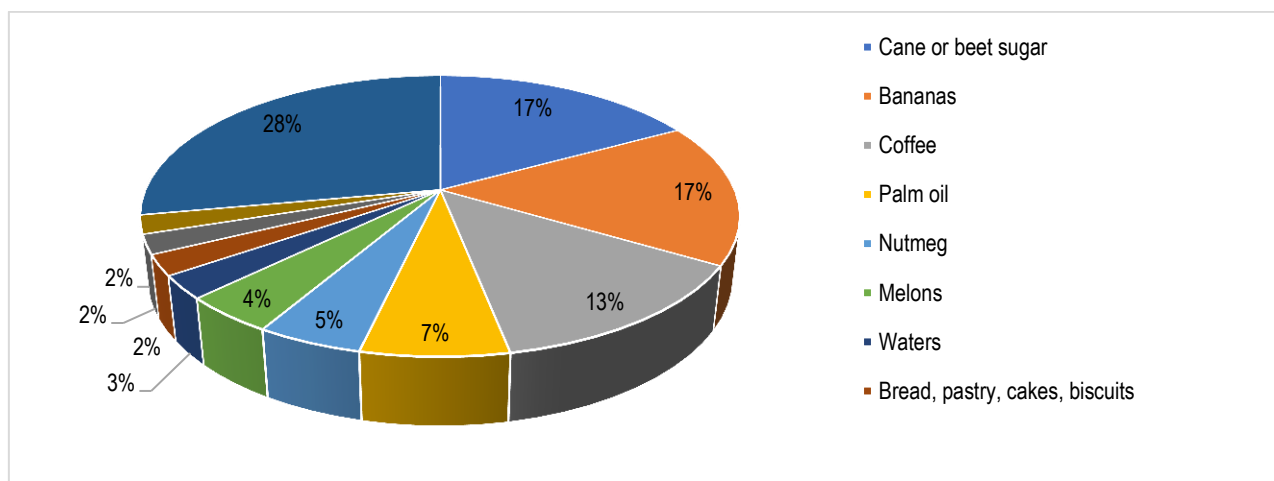
Guatemala's largest export market for agricultural and food products was the United States of America, valued at US$ 1,174,413,000 from 2015 to 2017 and accounting for 35.6% of all exports, followed by El Salvador (6.7%), Netherlands (5.5%), Honduras (4.4%), Mexico (4.1%), Japan (3.2%) and Canada (3.1%). 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.
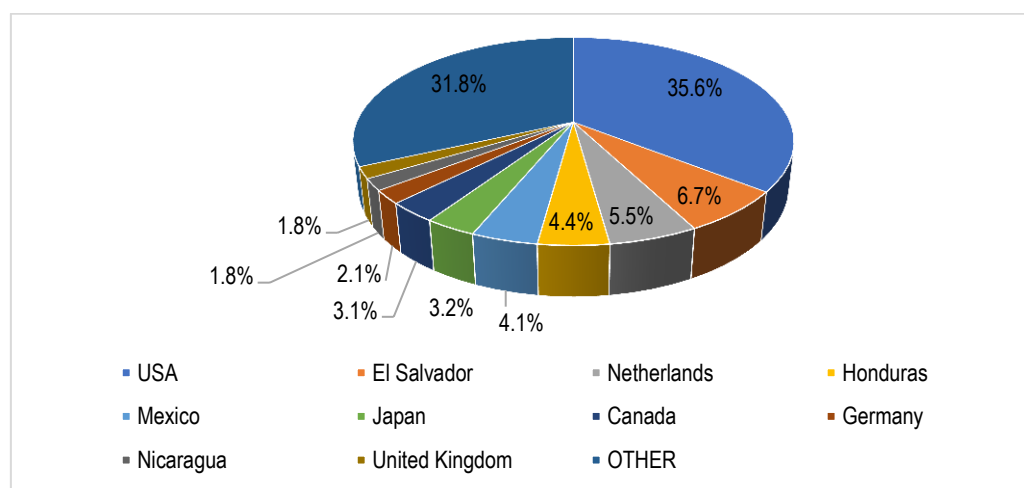
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Figure 20. Main markets for Guatemala's top-10 Exports 2015-2017 (COMTRADE)

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

US$ 557,695,400

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.

US$ 537,233,100

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.

US$ 438,387,300

1.76% 1.30% 1.78% 2.83% 8.82% 35.97% 4.40% 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.

US$ 220,132,400

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

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

5. Nutmeg, mace and cardamoms.

US$ 157,749,800

6. Melons (including watermelons) and papaws (papayas), fresh.

US$ 140,513,900

Legend (top-left chart):
- United Kingom
- Saudi Arabia
- United Arab Emirates
- India
- Kuwait
- Israel
- Bangladesh
- USA
- Netherlands
- Syrian Arab Republic
- Other

Legend (top-right chart):
- El Salvador
- USA
- Other

| 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.
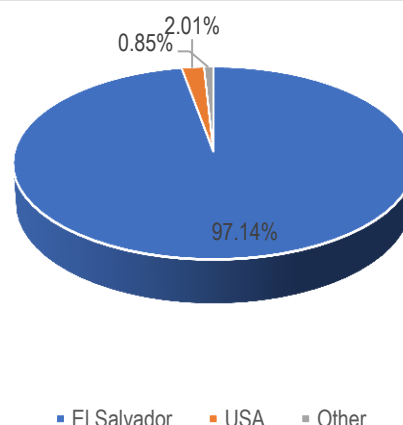
US$ 87,093,140 | 8. Bread, pastry, cakes, biscuits and other bakers' wares, whether or not containing cocoa; communion wafers, empty cachets of a kind suitable for pharmaceutical use, sealing wafers, rice paper and similar products.

US$ 77,454,790 |

Legend (bottom-left chart):
- USA
- Nicaragua
- Panama
- Costa Rica
- El Salvador
- Dominican Republic
- Honduras
- Trinidad and Tobago
- Cuba
- Ecuador
- Other

Legend (bottom-right chart):
- Costa Rica
- Cuba
- Dominican Republic
- Honduras
- Mexico
- Nicaragua
- Panama
- El Salvador
- USA
- France
- Other
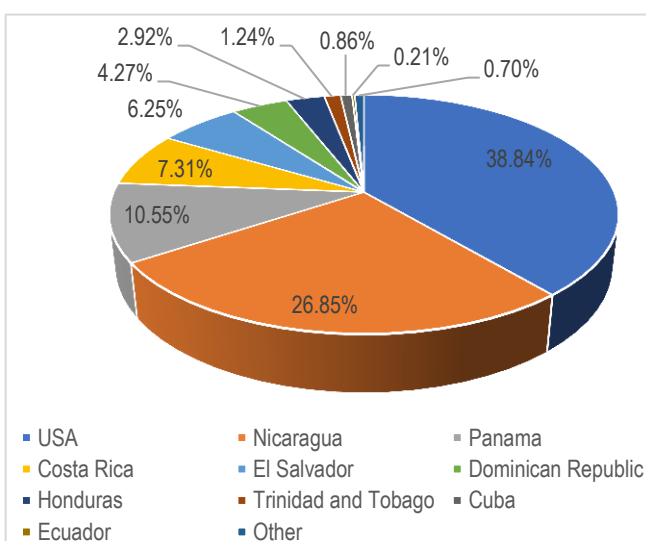
| 9. Undenatured ethyl alcohol of an alcoholic strength by volume of 80 % vol. or higher; ethyl alcohol and other spirits, denatured, of any strength.
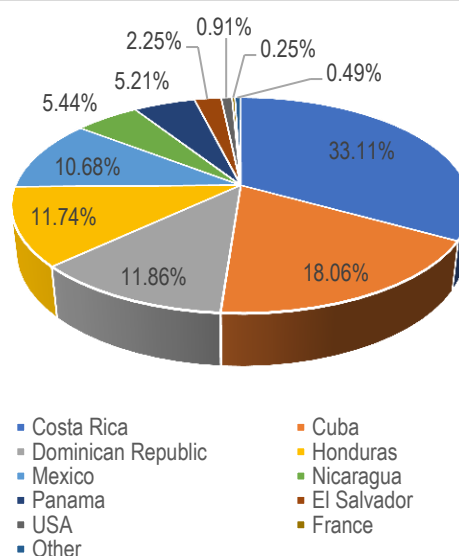
US$ 72,736,040 | 10. Leguminous vegetables, shelled or unshelled, fresh or chilled.

US$ 70,084,790 |

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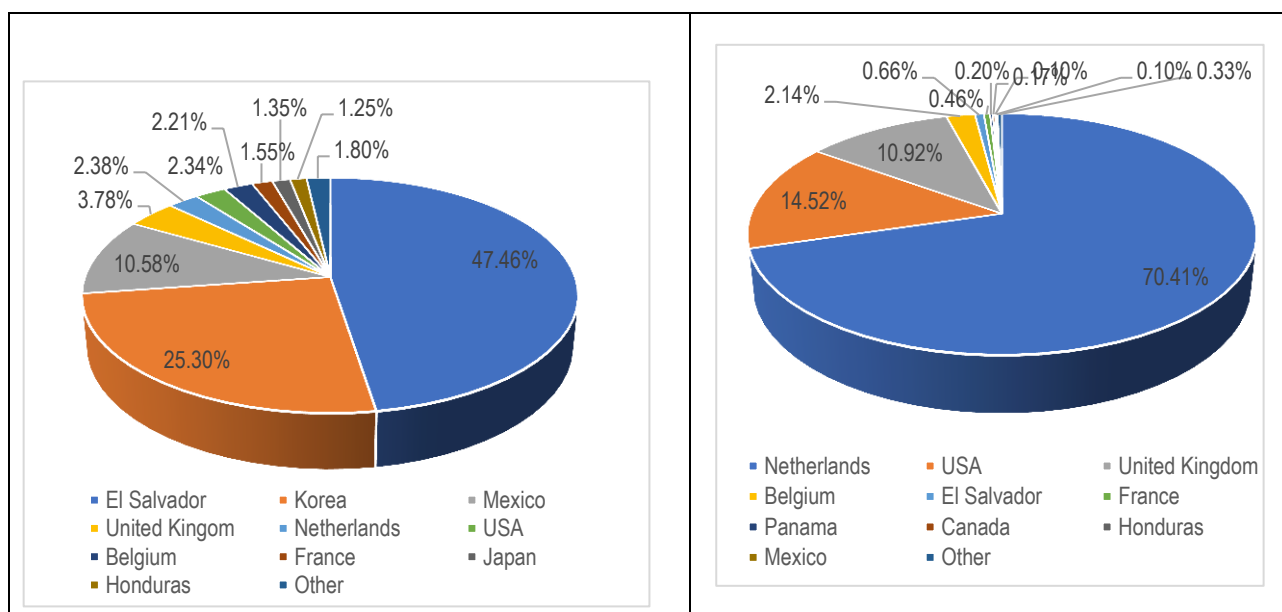
STDF activities in Guatemala

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.\n\nRegional 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.

- **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

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

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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

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
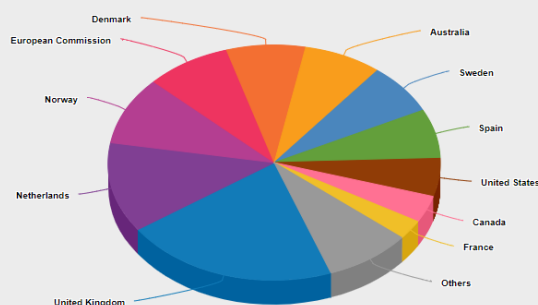
The following donors contribute less than 2%:

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

Board of Directors (BD): 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).

Board Committees: 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.

Secretariat: 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.

Monitoring & Evaluation:

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. This would be similar to STDF's PPGs.

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. This would be similar to STDF's PPGs.

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

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

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.
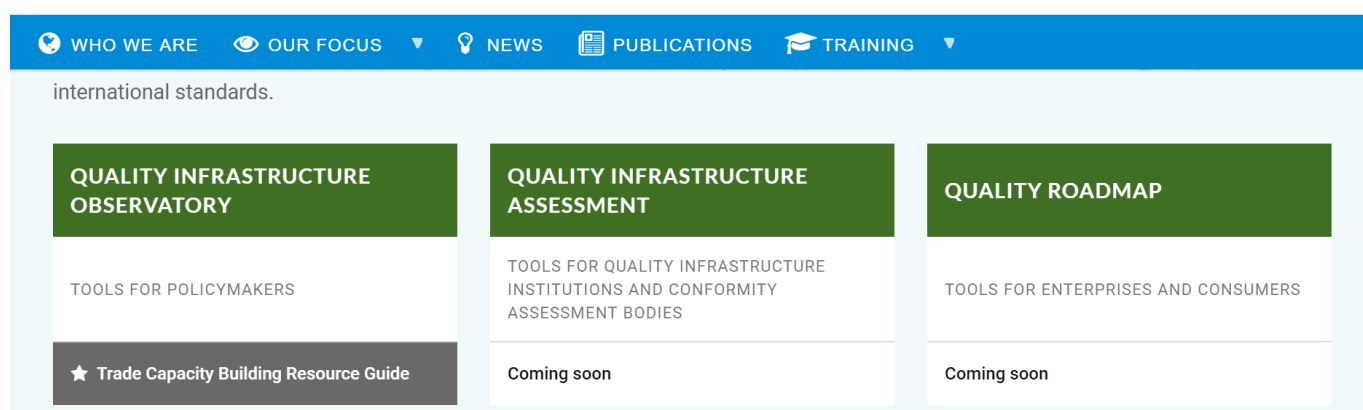
Training: on the trade section, the platform has two main trainings – ecommerce and quality infrastructure and trade. Both courses have access after a login and password. They have also physical trainings. GQSP organise a quality infrastructure course with 10 different technical organisations. They disseminate 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

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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.

Website address: https://www.unido.org/
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.

Audience targeting (online platform): 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.

Website address: https://www.donorplatform.org/
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

Funded by: 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.

Website address: http://www.greengrowthknowledge.org
Contact: bsimmons@ggkp.org

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