

CODEX ALIMENTARIUS COMMISSION



Food and Agriculture
Organization of the
United Nations



World Health
Organization

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JOINT FAO/WHO FOOD STANDARDS PROGRAMME CODEX ALIMENTARIUS COMMISSION

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FAO/WHO PROJECT AND TRUST FUND FOR ENHANCED PARTICIPATION IN CODEX (STATUS REPORT OF THE SUCCESSOR INITIATIVE STARTED IN JANUARY 2016)

FAO/WHO CODEX TRUST FUND-2

1ST Progress Report
(January-June 2016)

A. INTRODUCTION

This is the first Progress Report on the new Codex Trust Fund and covers the first five months of 2016.

The successor initiative to the FAO/WHO Codex Trust Fund (CTF2) came into being on 1 January 2016. The new Codex Trust Fund shifts the focus from widening participation in Codex, to focusing on building strong, solid and sustainable national capacity to engage in Codex. Over a 12 year lifespan the Codex Trust Fund will support:

- 1) Multi-year projects in individual countries or groups of countries tailored to meet specific needs of countries;
- 2) Tailored capacity development activities carried out by FAO/WHO at global, regional and sub-regional level.

The founding Project Document for the new Codex Trust Fund can be found in six languages on the CTF2 website at http://www.who.int/foodsafety/areas_work/food-standard/codextrustfund/en/.

There are currently 103 eligible countries and the list will be subject to change as new countries join the Codex Alimentarius Commission.

The criteria for inclusion in as an eligible country is as follows:

- All least developed countries;
- All low income countries;
- All countries with low and medium human development status
- All Small Island Developing States and landlocked developing countries with high human development status (but excluding countries with high income status).

Countries eligible for support under CTF2 as at October 2015 are contained in Annex 1.

B. TECHNICAL SECTION

Activities in preparation for the first application round

Diagnostic Tool for Assessing Status of National Codex Programmes

In August 2015 FAO, WHO, the Secretariat of the Codex Alimentarius Commission and the Codex Trust Fund Secretariat, with support from an external consultant, began preparation of the "Diagnostic Tool for Assessing Status of National Codex Programmes". This tool, also referred to as the "Codex Diagnostic Tool", was finalized in February 2016 and made available to all Codex member countries through the Codex-L listserv and on the Codex Trust Fund website. The purpose of the tool is to provide a framework for countries to carry out a self-assessment of the current status of the national Codex programme.

The tool provides for an assessment of the capacity to effectively plan and participate in Codex sessions, to contribute scientific and technical input, to use Codex texts as a basis for national regulation and standards as appropriate, and to ensure that Codex related activities and management of the programme are integral parts of the food safety control system. Upon completion, the results can be used to identify areas in need of strengthening and capacity development. While the tool was developed to assist countries eligible for support under CTF2 to use as the basis for preparing and submitting applications for support to the Codex Trust Fund, it is seen as a useful tool for all countries interested in assessing the current level of development of Codex activities in the country.

The Diagnostic Tool for Assessing Status of National Codex Programmes can be accessed in five languages at http://www.who.int/foodsafety/areas_work/food-standard/codextrustfund/en/index1.html.

Application materials

Materials to help countries in preparing and submitting applications to the Codex Trust Fund were developed by FAO/WHO and the CTF Secretariat in late 2015 and early 2016. These application materials consisted of:

- An application form for individual country applications;
- An application form for group applications;
- Guidelines on the application process.

All these materials were made available to all Codex member countries through the Codex-L listserv and the Codex Trust Fund website in February 2016.

The materials can be accessed in five languages at http://www.who.int/foodsafety/areas_work/food-standard/codextrustfund/en/index1.html.

Activities related to governance of the Codex Trust Fund

The governance and management arrangements of the new Codex Trust Fund as set out in the founding Project Document consist of four bodies:

- 1) The *Steering Committee* which makes decisions on matters related to the core activities of CTF for implementation by the CTF Secretariat, makes decisions on funding of applications, discusses strategic issues and refers them as necessary to FAO/WHO senior management for guidance, and provides information as appropriate to Codex members and relevant Codex bodies, through the CTF Secretariat.

The Steering Committee was established in January 2016 and held its first meeting on 3 February 2016. At the time of writing seven meetings of the Steering Committee had been held. Summary notes of all meetings can be accessed at http://www.who.int/foodsafety/areas_work/food-standard/codextrustfund/en/index2.html.

- 2) The *Technical Review Group* which assesses the applications that have passed initial screening by the CTF Secretariat, applies the prioritization scoring table if required, makes recommendations to the Steering Committee on applications considered robust enough to be supported and monitors the implementation status of CTF projects and activities.

The Technical Review Group (TRG) was established in April 2016 in anticipation of receipt of applications from the first round. The TRG held their first preparatory meeting on 9 May 2016. Individual members began the work of assessing pre-screened applications from the first application round on 10 May. Assessment criteria include:

- Evidence of intersectoral collaboration in the preparation of the application;
- Use of the results from the Codex Diagnosis Tool for project design and rationale;
- Clear project goals;
- Clear, measurable and relevant project outputs that are adequate for achieving project goals;
- Clear, specific, achievable, relevant project activities that are relevant for achieving outputs;
- Clear indication of timelines and responsibility for delivery of activities;
- Identification of how sustainability of outcomes will be ensured after the end of project support;
- Identification of risks and risks mitigation strategies;
- Detailed, realistic and acceptable budget that is commensurate with project action plan;
- Assessment of the overall quality of the proposal.

The TRG will have a virtual meeting in June 2016 to discuss individual assessments and come to agreement on a common assessment of applications considered robust enough to be supported using standardized assessment tables. Should the total (global) budget of all applications considered robust exceed \$500,000 (total amount budgeted by the Steering Committee for support to applications in 2016), the TRG will use the prioritization scoring table (see Annex 2) to prioritize applications for support. The recommendations on applications for support, along with the results of the prioritization process if required, will be sent to the CTF Secretariat on 10 June 2016 for on-forwarding to the Steering Committee for consideration and decision.

- 3) The *Advisory Group* which operates at a strategic level to ensure that the view of key stakeholders can be taken into consideration in the operations of the Codex Trust Fund;

A lottery was held on 12 April 2016 on the margins of the Codex Committee on General Principles to designate the three donor countries/organizations that would serve on the Advisory Group for a two year term. The countries that were designated as a result of this lottery were:

India (donor representative for the Codex Asian region);

European Union (represented by the European Commission for the Codex European region);

Canada (donor representative for the Codex North America and South-west Pacific region).

Countries/organizations designated by lottery had one week to confirm or decline their membership on the Advisory Group. Canada and the European Commission confirmed membership while India declined. In subsequent discussions among eligible donors in the Codex Asian region, Japan declined. Malaysia as the remaining eligible donor was designated and accepted membership.

The Advisory Group is being established at the time of writing and will hold its first meeting on Wednesday 22 June 2016 at FAO Headquarters in Rome.

- 4) The *CTF Secretariat* which is responsible for the day to day management and administrative functions associated with the Codex Trust Fund.

The CTF Secretariat made a seamless transition from CTF1 to CTF2 and continues to ensure all management and administrative tasks to guarantee the smooth functioning of the programme in addition to: organizing and acting as secretary to meetings of the Steering Committee, Technical Review Group, Advisory Group and other meetings with stakeholders; undertaking donor relations, fundraising, communications, monitoring and evaluation activities, and reporting.

Full terms of reference and composition of the different bodies can be found in the CTF2 Project Document.

Communication activities

Communication on the modalities of, and eligibility for the new Codex Trust Fund began in the last quarter of 2015.

In October 2015 all Codex member countries were notified of the new list of countries eligible for support through the Codex-L listserve.

In January 2016 an announcement was sent out to Codex member countries through the Codex-L listserve in all languages to inform countries of the new focus of the Codex Trust Fund, and to give them information on how to begin to prepare for the application process in countries.

A pre-announcement was sent to all CTF2-eligible countries on 1 March through the same mechanism to alert Codex Contact Points in eligible countries to the imminent opening of the first round of applications. This was followed by the announcement of the opening of the first round of applications on 9 March 2016 and included all information necessary to prepare and submit applications with links to all application materials.

Frequently Asked Questions (FAQs) were prepared by the CTF Secretariat and posted on the CTF2 website in April 2016. These will be added to as the Secretariat becomes aware of additional needs for information. The FAQs can be accessed at http://www.who.int/foodsafety/areas_work/food-standard/CTF2-FAQs.pdf?ua=1.

Within the framework of the Codex communications strategy, a visual identity and communications materials are being developed for the Codex Trust Fund to assist in marketing, advocacy and fundraising. A fundraising brochure is currently being finalized and will be available in English for the 39th Session of the CAC. French and Spanish versions will follow.

As a follow up to the discussions at the first Codex Trust Fund Financing Dialogue, talking points, briefing notes, presentation templates and other materials will be developed that can be used carry out advocacy, awareness-raising and fundraising for the Codex Trust Fund.

First round of applications to the new Codex Trust Fund – process and results

As outlined in the founding Project Document, a visual representation of the steps in the CTF2 application process is attached in Annex 3.

In the first application round 41 applications were received in the on-line system by the deadline of 3 May 2016. Of these, 38 applications met the pre-screening criteria which are as follows:

- Application submitted on time
- Application submitted by official CCP in country or in lead country (for group applications)
- All contact information for submitting CCP given
- Fully completed and signed application form uploaded
- Fully completed action plan uploaded
- Fully completed budget uploaded
- Summary tables 5.1 and 5.2 from Diagnostic Tool uploaded

The other three countries did not meet the pre-screening criteria as additional documents required were not submitted in the on-line system.

38 applications were sent to FAO/WHO regional food safety advisers for comment and made available to the Technical Review Group for assessment. The regional breakdown of completed applications is as follows:

- 24 from Codex African region
- 4 from Codex Asian region (including one group application)
- 2 from Codex European region
- 2 from Codex Latin American and Caribbean region
- 3 from Codex Near East region
- 3 from Codex Southwest Pacific region.

Countries/groups of countries that have been successful in the first application round will be announced at the 39th Session of the Codex Alimentarius Commission.

Monitoring and evaluation activities

In February 2016 work was initiated on developing a comprehensive monitoring and evaluation framework for the new Codex Trust Fund in order to support a results-oriented focus. The framework is based on best practice in M&E frameworks and lessons learned from other organizations and literature. It builds on experiences from developing and implementing the M&E framework for CTF1 with a view to ensuring continuity, while adapting the framework to the design of CTF2 and the new focus on supporting country capacity-building, rather than supporting physical participation in Codex meetings.

The draft framework is being developed throughout the first year of operation of CTF2. Before having gone through at least one application and selection cycle, which is at the heart of how CTF2 works, there is considerable uncertainty as to the number, type, content and quality of the applications, as well as the management processes and procedures of the programme needed to respond to this. As a consequence, monitoring activities in the first year of operations will focus on learning from implementation. A set of key questions are being developed that will guide monitoring efforts in the first year. They will be designed to pull out the learning from:

- The application process (character of applications, quality of applications, usefulness of application tools, FAO/WHO involvement in the application process...);
- The selection process (functioning of the Technical Review Group, criteria used for assessment, results obtained, decisions taken by the Steering Committee...);
- Governance structures (functioning of the different governance structures, results, transparency of work...)
- Contracting and disbursement process (functioning, results, strengths and weaknesses...)
- Funding (receipt of sufficient funding, increase in funding levels, increase in visibility of funding...)
- Effectiveness of communication and efficiency of work between and with the Codex Trust Fund and FAO/WHO at headquarters, regional office and country levels.

The M&E framework will be revised in the first half of 2017 to take into account the experiences of the first round of applications and the roll-out of implementation in the first countries/groups of countries to be supported under CTF2. The framework will be continuously revised as needs arise to stay relevant, effective and efficient.

FAO/WHO project on food consumption data – surveys and harmonization of data

The FAO/WHO project to conduct a food consumption survey in Lao People's Democratic Republic and to harmonize existing data from individual food consumption data in Myanmar, Thailand, the Philippines, Indonesia, Vietnam, Cambodia, Singapore and Malaysia began as planned in 2016. In December 2015, and following WHO procurement policies and procedures, a worldwide "Request for Proposals" was issued to identify an external consultant company to manage the project on behalf of FAO/WHO. The terms of reference were as follows:

Increase the available data in FAO/WHO Chronic Individual Food Consumption Database – Summary Statistics (CIFOCOss) and the FAO/WHO Global Individual Food consumption data Tool (FAO/WHO GIFT) from ASEAN countries by:

- 1) conducting an individual food consumption survey in Lao PDR,
- 2) supporting Institutions owning individual food consumption data from recent surveys in an additional 6-8 ASEAN countries in order to allow the provision to FAO and WHO of microdata to be used for nutrition and food safety through harmonizing of existing data in a consistent format. This harmonization activity will consist of:
 - a. Training national teams to perform preliminary categorizing based on the classification of foods using the global categorization system (FoodEx2) developed by the European Food Safety Authority (EFSA);
 - b. The preparation of data in the format needed (variable types, standard codifications, anonymization... etc.), so that both summary statistics and microdata can be made publicly available through FAO and WHO websites

On completion of the procurement process in April 2016, AETS, a French company with experience in managing food safety, public health, and agricultural projects, was contracted to manage the project with technical guidance and support from FAO/WHO officers. Preparation for the start of activities in all nine countries is now underway, and the start of activities is anticipated in the coming months.

C. FINANCIAL SECTION

2016-2018 Financial Projections

The balance of funds carried forward to 2016 was US\$ 1,084,131. Contributions that have been recorded as received in WHO during the period from 1 January to 15 May 2016 and contributions expected between May and December 2016 (based on firm written pledges or completed paperwork for contributions) appear in Table 2 below.

Table 2

Contributions received as at 15 May 2016 and expected during May to December 2016

Donor	Amount expected/received	Amount expected/received	Agreement period
	(in contribution currency)	(in US\$)	
Canada	CDN\$ 200,000	144,404	2016
Japan	US\$ 51,860	51,860	2015-2016
Malaysia	US\$ 10,000	10,000	2016-2027
Germany	EUR 50,000	56,686	Confirmed pledge for 2016
Total approximate funds received or expected		260,494	

The carryover to 2016, together with the recorded and expected contributions in the table above will total approximately US\$ 1,317,833 (net of PSC)

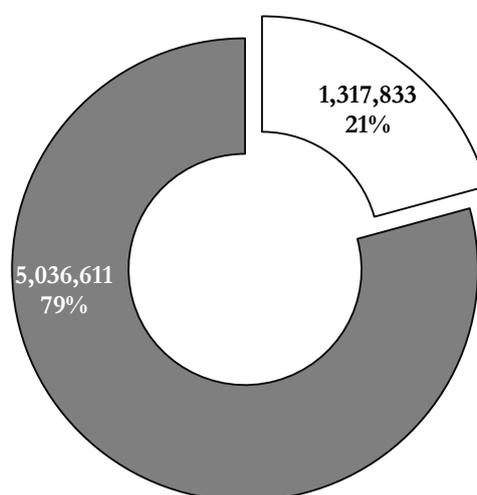
The provisional budget for the Codex Trust Fund for 2016, agreed by the Steering Committee at its 2nd meeting held by teleconference on 9 February 2016, was established at US\$ 1,436,513. The breakdown of expected expenditures for 2016 appears below. Expected expenditures may be modified as a function of funding available and/or decisions of the Steering Committee to revise budgetary lines:

- \$500,000 for support to countries/groups of countries whose applications have been successful in the first application round.
- \$613,513 for staff costs of the Codex Trust Fund Secretariat (including one additional technical staff for 6 months).
- \$5,000 to cover the costs of publication in an open source journal of an FAO/WHO article on the results of the mycotoxins in sorghum project.
- \$150,000 to support the first activities carried out under the FAO/WHO project on food consumption surveys.
- \$53,000 to support administrative costs of the CTF Secretariat and consultancy contracts for short-term assistance with specific activities.
- \$100,000 to support technical assistance provided by FAO/WHO to CTF eligible countries and/or countries whose applications were successful in the first application round.
- \$15,000 to cover costs associated with Monitoring and Evaluation activities of the Codex Trust Fund, including the design and development of an M&E framework.

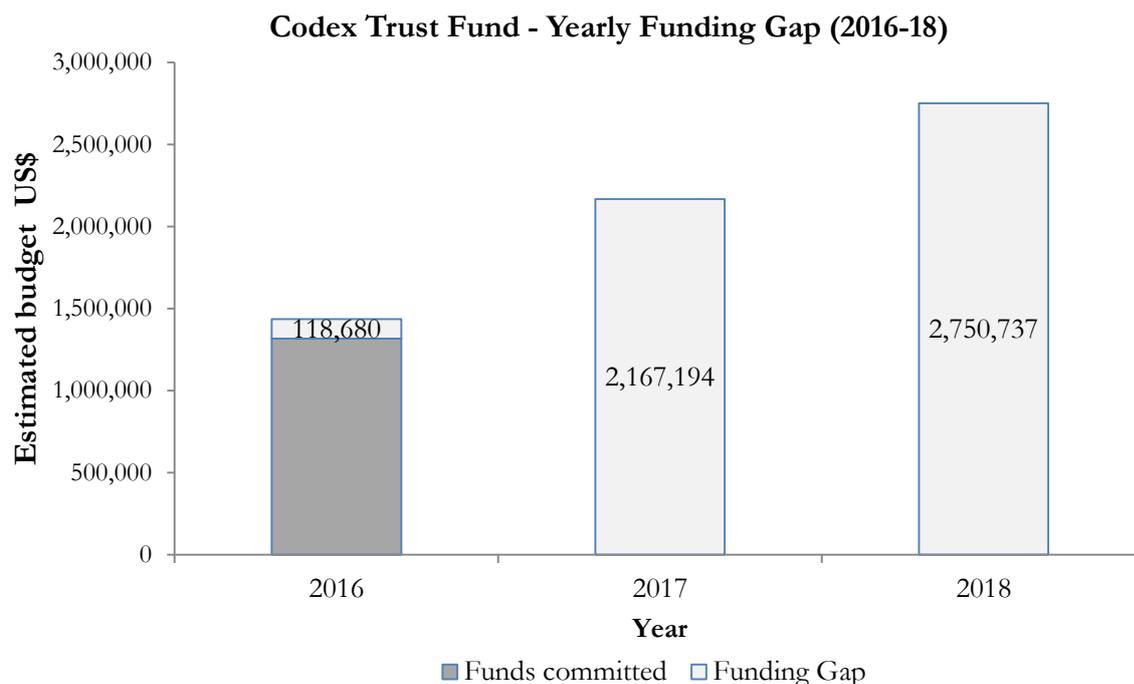
It should be noted that engagement with countries/groups of countries that have been successful in the first round of applications implies multi-year support. It is essential that the Codex Trust Fund have visibility on contributions beyond 2016 to ensure that funding is available for all activities to be supported by the Codex Trust Fund, in addition to the staffing that will be needed to strengthen technically the Codex Trust Fund Secretariat.

The updated funding gap showing the situation to 15 May 2016 is shown below.

**Estimated Total Required 2016-2018
(US\$ 6,354,444)**



□ Funds committed ■ Funding Gap



Fundraising activities

Donor relations and fundraising has been an intensive area of activity in the first five months of CTF2's existence. Individual contact has been made with all past and present donors to highlight the importance of continuing to support the Trust Fund and to increase contributions to meet the new resource needs. Many contacts have been made with potential new donors to elicit their interest in supporting the Trust Fund.

Building on the momentum of the "Call for Action" event held in Geneva in November 2015, FAO, WHO, the Secretariat of the Codex Alimentarius Commission and the CTF Secretariat organized the first Codex Trust Fund Financing Dialogue on 12 April 2016 on the margins of the Codex Committee on General Principles in Paris.

The Financing Dialogue was attended by over 45 countries and organizations. Its aims were to:

- 1) Highlight the current funding gap facing the Codex Trust Fund and consequences for the entry into force of the operational phase of CTF2 (e.g. providing support to successful applications in countries/groups of countries).
- 2) Exchange with Codex member countries on how to increase predictability and sustainability of funding over 3-5 year time lines.

The funding gap facing the Codex Trust Fund for the period 2016-2018 was presented and the risks and consequences of not filling this funding gap were highlighted. Codex member countries engaged in a dialogue on key questions including:

- What are the key arguments that can be used with different sectors to secure support for the Codex Trust Fund?
- How can the amounts given in contributions be increased?
- How can the visibility of funding over a 3-5 year timeline be increased through pluri-annual contributions?
- How can the donor base be widened?

In the final session participants mapped out some key actions that could be taken in the coming months to secure funding for CTF. The full report of the Financing Dialogue will be posted soon on the Codex Trust Fund website. Information on the funding gap is included in the financial section of this report.

Codex Trust Fund-2 (CTF2) table of eligible countries**Provisional list of countries eligible for support from CTF2 (as at 30 October 2015)**

Currently 103 eligible countries, subject to change with new Codex members
Includes all countries with low & medium HDI, other low or middle income SIDS and LLDCs with high HDI
LDCs & LICs are indicated in **bold font**

Codex region					
Africa (49)	Asia (14)	Europe (9)	Latin American & Caribbean (16)	Near East (5)	South-West Pacific (10)
Angola, Benin, Botswana, Burkina Faso, Burundi, Cabo Verde, Cameroon, Central African Republic, Chad, Comoros, Congo Rep., Côte d'Ivoire, DR Congo, Djibouti, Eritrea, Ethiopia, Equatorial Guinea, Gabon, Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Lesotho, Liberia, Madagascar, Malawi, Maldives, Mali, Mauritania, Mauritius, Morocco, Mozambique, Namibia, Niger, Nigeria, Rwanda, Sao Tome and Principe, Senegal, Sierra Leone, Somalia, South Africa, South Sudan, Swaziland, Togo, Uganda, United Rep. of Tanzania, Zambia, Zimbabwe	Afghanistan, Bangladesh, Bhutan, Cambodia, DPR Korea, India, Indonesia, Lao PDR, Mongolia, Myanmar, Nepal, Pakistan, Philippines, Vietnam	Armenia, Azerbaijan, Kazakhstan, Kyrgyzstan, FYR of Macedonia, Republic of Moldova, Tajikistan, Turkmenistan, Uzbekistan	Belize, Bolivia, Dominica, Dominican Rep., El Salvador, Grenada, Guatemala, Guyana, Haiti , Honduras, Jamaica, Nicaragua, Paraguay, St. Lucia, St Vincent & the Grenadines, Suriname,	Egypt, Iraq, Sudan , Syrian Arab Rep., Yemen	Cook Islands, Fiji, Kiribati , Micronesia (FS of), Nauru, Papua New Guinea, Samoa, Solomon Islands, Tonga, Vanuatu

Abbreviations:

LDC – least developed country
LIC – low income country
HDI – human development index
SIDS – small island developing state
LLDC – landlocked developing country

Sources of information:

For human development status – <http://hdr.undp.org/en/content/table-1-human-development-index-and-its-components>
For income status - <http://data.worldbank.org/about/country-and-lending-groups>
For lists of SIDS and LLDCs - <http://unohrlls.org/about-sids/country-profiles/> and <http://unohrlls.org/about-llsdc/country-profiles/>
For list of LDCs - <http://unctad.org/en/Pages/ALDC/Least%20Developed%20Countries/UN-list-of-Least-Developed-Countries.aspx>

Annex 2

Prioritization scoring table

	+5	+3	+1	0	Rationale
LDC status	Yes		Mixed group application (LDC & non-LDC)	No	LDCs should receive priority.
Codex membership (for the group application, the average of the two youngest members)		Less than 5 years since accession	5 to 10 years since accession	10 years or more since accession	Young Codex members are yet to develop national Codex structures
Group application	4 countries or more	3 countries	2 countries	Single country	Group application encourages networking and saves resources through joint activities
Population (for group applications, the average of the two largest members)		1 million inhabitants or less	1 to 5 million inhabitants	5 million inhabitants or more	National Codex structure has a fixed cost regardless of the size of country
Other support on Codex received by FAO, WHO or other donors in the last 5 years			No	Yes	Overlapping support should be avoided for better equity.

Annex 3

Application process steps

