

CODEX ALIMENTARIUS COMMISSION



Food and Agriculture
Organization of
the United Nations



World Health
Organization

Viale delle Terme di Caracalla, 00153 Rome, Italy - Tel: (+39) 06 57051 - Fax: (+39) 06 5705 4593 - E-mail: codex@fao.org - www.codexalimentarius.net

Agenda Item 14

CX/CAC 11/34/14-Add.2

JOINT FAO/WHO FOOD STANDARDS PROGRAMME

CODEX ALIMENTARIUS COMMISSION

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Codex Trust Fund proposals to respond to Mid-term Review recommendations

(and taking into account discussions on the Mid-term Review held at the CCEXEC, CAC and the FAO/WHO Regional Coordinating Committees that had been held at the time of writing)

Objective 1 - Widening participation in Codex

A number of ideas and suggestions were put forward in CCEXEC, CAC and the Regional Coordinating Committees and these were discussed in the Consultative Group of the Trust Fund (CGTF). The CGTF felt that it was important to respect three major principles of the Codex Trust Fund.

The first of these is that the Codex Trust Fund should act as a catalyst to participation in Codex to allow countries to be involved in the international food standards setting process (for many countries this had meant attending Codex meetings for the first time and occupying a seat at the Codex table that had been empty prior to the establishment of the Codex Trust Fund), to understand the process and the importance of Codex standards for their country, to build up gradually the experience and knowledge to participate fully in the setting and implementation of standards for the protection of public health and facilitation of trade.

The second of these principles is the objectivity and transparency of the criteria that are used to allocate resources to countries in the country sub-groupings¹. The least developed countries as established by UNCTAD form one country sub-grouping to take into account the whole set of characteristics of these countries. For the other country sub-groupings the criteria used combine income status and human development status with equal weighting to allocate support to participations equally within the country sub-grouping. These country sub-groupings are reviewed annually to ensure that any changes in a country's status are taken into consideration.

The third principle is that progressing through the matched funding mechanism of the Codex Trust Fund should enable countries to progressively become financially independent of the Codex Trust Fund. The matched funding requirement is aimed at giving countries the time and encouragement to establish the conditions for continued participation in Codex, using national or other sources of funding, after they "graduate" from the Codex Trust Fund.

¹ Group 1a=least developed countries. Group 1b=low income and low or medium human development status. Group 2=lower middle income and medium or high human development status. Group 3a=upper middle income and medium human development status. Group 3b=upper middle income and high human development status.

In response to Recommendations 2, 4 and 5 of the Mid-term Review and taking into consideration discussions and inputs from CCEXEC, CAC and Regional Coordinating Committees with regards to: 1) a possible new layer of criteria for countries still eligible for support from the Codex Trust Fund; 2) countries who have graduated from the Codex Trust Fund but are not able to sustain a sufficient level of participation in Codex, the following proposals are being tabled for further discussion by Member States.

This document should be read in conjunction with CX/CAC 11/34/14 Add.1 which contains the FAO/WHO management response to the Mid-term Review and provides background to the position of the parent organizations with regard to the recommendations of the Mid-term Review.

1) Treatment of countries who are still eligible for support from the Codex Trust Fund.

In light of the discussions on the Mid-term Review, and given the need to respect the above principles, the Codex Trust Fund is tabling the following options for treatment of countries which are still eligible for support from the Codex Trust Fund for discussion at CCEXEC and CAC:

Option 1- status quo with follow up action by parent organizations

No change to the current criteria used. Follow up will be undertaken by the Codex Trust Fund with countries who are not meeting their matched funding requirement with possible action by actors other than the Codex Trust Fund (e.g. FAO and/or WHO) at country level to identify causes of the non-compliance and define possible courses of action that the country may take (that may include tailored support from the parent organizations).

Option 2 - additional support for Least Developed Countries (LDCs) and Small Island Developing States (SIDS)

Procedure:

- 1) All countries in Group 1a (least developed countries) would move through the 50% matched funding stages as per the current procedures of the Codex Trust Fund (please refer to matched funding status table which appears in Annex 1). This would give least developed countries 100% support for 5 years followed by 50% support for two years.
- 2) At the end of the normal matched funding period all LDCs would get two additional years of support whereby the CTF would support 1 participant to their top two priority Codex meetings and they "match" by supporting an additional participant to these two meetings, or by supporting participants to two other priority meetings or a combination of these.
- 3) Countries during the entire matched funding period (which will now be 2 years longer) would have to show how they are taking action to secure funding for continued participation in Codex after graduation (e.g. this could be added as a new section to the application form for all countries on 50% matched funding status) so that progress in securing funding for continued participation in Codex can be reviewed from one year to the next, as well as reasons that may have led to a country not being able to comply with matched funding requirements.
- 4) The same procedure would be applicable to eligible countries recognized by the UN² as "small island developing states" (SIDS) who is not LDCs (i.e. SIDS in country sub-groupings 2, 3a and 3b). Currently all countries with populations of less than 1 million are given an extra year at 50%. The proposal would give all countries classified as SIDS two additional years at 50%. Countries with populations of less than 1 million who have already had one year additional support, fall under the SIDS classification, and who have already graduated from the Codex Trust Fund would be brought back in to the CTF for an additional year of support in the second half of 2011 or 2012 (choice of year to be made by the country).

The above option(s) would be accompanied by a change to the matched funding requirement to put a cap at three matched participations that have to be supported by a country using national or other resources in a calendar year.

² See <http://www.un.org/special-rep/ohrlls/sid/list.htm> and <http://www.un.org/esa/sustdev/sids/sidlist.htm>

2) Treatment of countries who have graduated from the Codex Trust Fund.

The Codex Trust Fund is proposing to provide additional support to countries who have graduated from the Trust Fund but who have not demonstrated a capacity to sustain their participation in Codex using government or other sources of funds.

Elements of a the proposed mechanism would be as follows:

Step 1 - Identify graduates who have not been able to sustain participation in Codex using the Codex Trust Fund Database 2 (provides details on participants attending Codex meetings who have not been supported by the Codex Trust Fund).

Step 2 - Dialogue between the Codex Trust Fund and graduate countries who have not been able to sustain participation in 1-2 priority Codex meetings in the year(s) following graduation to ascertain reasons for non-participation (to determine whether these are amenable to being changed by further CTF support or not) and, based on this dialogue, the CTF will establish a list of graduates who will be invited to come back into the Codex Trust Fund.

Step 3 - CTF to invite those countries who have been identified to submit an application for support in the following calendar year (deadlines for applications could be the same as current application deadlines - 31 October).

Step 4 - Application process. It is proposed that the mechanism to treat "graduates" should be based on an application process that would be completely separate from the application process currently being used for countries who are still eligible.

The application would have *inter alia* the following stringent criteria (in addition to the normal criteria that are assessed on all applications³):

- Evidence of an effectively functioning CCP and NCC;
- Continuous participation in meetings (prioritization of Codex activities and build-up of human resource capacity and appropriate expertise);
- Evidence of benefit gained from participation;
- Evidence of action taken to secure national funding.

The country application would be accompanied by a proposed annual national action plan for enhanced participation in Codex (will include actions at national, regional and international levels).

In their application, the country would make a proposal for:

- how many additional years of support they would need (1-3);
- how many participants per year (range to be determined) would be supported by CTF;
- how many participants would be supported by government or other sources (continuation of principle of matched funding).

Step 5 - Applications from graduate countries would be reviewed and decisions on support taken by technical staff in FAO and WHO at Headquarters and/or Regional levels. The Codex Trust Fund would communicate these decisions to applicant countries in late December-early January of the calendar year for which support is being sought.

Step 6 - New reporting requirement would be designed for graduates and would include a review by FAO/WHO in November/December of each year of achievements and progress in meeting the annual national action plan for enhanced participation in Codex. Satisfactory progress in meeting the annual national action plan would be a condition for further support where a country is applying for more than one year of additional support.

³ Viz evidence of coordination between at the very least health and agricultural sectors, sign-off from all sectors involved, sign-off from FAO & WHO country reps, coordination of application procedure by official CCP...

Objective 2 - Strengthening participation in Codex

In considering a shift in resources to Objective 2 of the Codex Trust Fund, the Consultative Group for the Trust Fund agreed that Codex training and capacity development activities supported by the CTF will be:

- a) driven by a strategic planning process in FAO and WHO;
- b) be designed to complement or add to FAO and WHO (and possibly other) ongoing or planned activities in Codex capacity development;
- c) be planned on a two year cycle (with adjustments being made on a yearly basis during the annual scenario planning of the CTF);
- d) concentrate on activities at inter-regional, regional and sub-regional level;
- e) Complement Objective 1 by focusing on enhancing the quality of participation in Codex through better preparation for meetings, better participation during meetings and better follow up through knowledge management upon return to country.

The CGTF further agreed that the design of Codex trainings will put the emphasis on interaction, learning from best practices and from others, real life situations, putting what has been learned to practice in actual Codex sessions and in country situations, and possibly using mentoring/twinning as an instrument to implement and/or reinforce capacity development.

In light of the discussions in CAC, CCEXEC and the Regional Coordinating Committees, and following consideration by the CGTF, some possible activities to be considered within the context of Codex training based on identified needs and adapted to the region that would be organized and run by FAO/WHO and supported by the Codex Trust Fund could include:

- Organize trainings related to specific Codex committees aimed at building capacity among countries who have prioritized the committee to participate effectively (benefits of training will be reaped in the next meeting of the specific Codex committee but will depend on continuity of participation).
- Use a mentoring/twinning approach to build capacity to participate in Codex meetings.
- Organize regional and/or sub-regional activities according to need.

Objective 3 - Enhancing technical and scientific input to Codex

In line with input given by Codex Member States at the 64th CCEXEC, the 33rd CAC and the FAO/WHO regional coordinating committees, there is a recognition by the Consultative Group for the Trust Fund that, while some resources should be shifted to ensure that this objective is achieved at the end of the CTF lifespan, the resource shift should be gradual, focused and represent a much smaller percentage of overall resource commitment than those expended on Objectives 2 and 3.

In this light, three areas of intervention are currently being pursued or under discussion by the Consultative Group for the Trust Fund:

1. Support to increasing the understanding of scientific data and information in the Codex process.
2. Support to increasing the data from developing countries that can be considered in the scientific advice and subsequent Codex process.
3. Support to building the capacity of developing countries to participate in FAO/WHO expert committees (eg. JECFA, JEMRA).

Support to the first activity has already been provided in 2010 by the Codex Trust Fund to two lunchtime seminars that took place during CCCF and CCRVDF. It is proposed that these seminars should continue to be supported by the Codex Trust Fund and be adapted as necessary to meet the changing needs of countries/delegates for information.

Support to the second activity will get underway in 2011 with the support to data surveys on mycotoxins in sorghum in four African countries with funding from the EC (3 year project feeding into the process underway in CCCF)⁴. Possible support to an activity, discussed at the last session of CCFH could be to facilitate an expert discussion on suitable analytical methods to collect data on *Vibrio spp.* in seafoods is currently under discussion in FAO and WHO and will be considered by the CGTF.

Support to the third activity is currently under discussion in FAO and WHO and will be considered by the CGTF. The proposal would be to gradually build up the capacity of qualified experts from developing and/or transition economy countries to participate fully in the expert committees providing risk assessments and scientific advice that feeds into Codex. In the past, a number of experts from developing countries have responded to the "call for experts" and have been deemed to have the right profile but may not be sufficiently experienced for effective participation in an international expert panel. With available resources, it would be possible to invite them to the expert meetings for training purposes and building up their capacity.

The mechanism of the proposal would be to make a 3-4 year investment in such candidates to build their capacity up to take a full part in the expert committee(s). All costs associated with their participation would be borne by the Codex Trust Fund.

Year 1 - 1-2 qualified candidates who have responded to the "call for experts" would be supported by the CTF to participate in the expert committee. Developing country experts would be twinned with an experienced committee member who would act as a "mentor" and assist in understanding all aspects of the work of the committee, preparation work etc.

Year 2 - Developing country experts would be given a smaller well defined task to contribute to the preparatory work for the committee and presentation of this work at the meeting.

Year 3 - Developing country experts would be expected to take on a full role and undertake the normal preparatory work for and participation in the committee.

⁴ See further details in the 14th Progress Report of the Codex Trust Fund constituting Part 2 of CX/CAC 11/34/14

Annex 1**Matched Funding Status Table**

Country Group	Year							
	1	2	3	4	5	6	7	8
1	0%	0%	0%	0%	0%	50%	50%	100%
2	0%	0%	0%	50%	50%	100%		
3a	0%	50%	50%	50%	100%			
3b	0%	50%	50%	100%				