



**JOINT FAO/WHO FOOD STANDARDS PROGRAMME  
FAO/WHO COORDINATING COMMITTEE FOR ASIA**

*Eighteenth Session*

*Tokyo, Japan, 5 – 9 November 2012*

**ACTIVITIES OF FAO AND WHO COMPLEMENTARY TO THE WORK  
OF THE CODEX ALIMENTARIUS COMMISSION RELEVANT TO THE REGION**

**Codex Trust Fund Monitoring and Evaluation Framework**

**EXPLANATORY NOTE**

Reference documents for this Agenda Item are those presented at the 35<sup>th</sup> Session of the Commission (July 2012), namely: CX/CAC 12/35/13 “FAO/WHO Project and Trust Fund for Enhanced Participation in Codex”; CX/CAC 12/35/13 Add.1 “Codex Trust Fund - First Transitional Monitoring Report; and CAC/35 INF/10 “Pilot Project to Enhance Participation in the Early Development of Codex Texts and Promote Exchange among more Experienced and Less Experienced Countries”.

These documents are attached as an appendix to this document, for convenience.



**JOINT FAO/WHO FOOD STANDARDS PROGRAMME**  
**CODEX ALIMENTARIUS COMMISSION**  
**35<sup>th</sup> Session, FAO Headquarters,**  
**Rome, Italy, 2-7 July 2012**

**MATTERS ARISING FROM FAO AND WHO**  
**FAO/WHO PROJECT AND TRUST FUND FOR**  
**ENHANCED PARTICIPATION IN CODEX**

**PART 1**

*Annual Report for 2011*

**A. INTRODUCTION**

This report covers 2011 - the eighth calendar year of implementation of the FAO/WHO Project and Fund for Enhanced Participation in Codex (the Codex Trust Fund) and provides a summary of key technical, financial and operational aspects of the Codex Trust Fund activities in 2011. Further detailed information on the Codex Trust Fund activities and outcomes can be found on the Codex Trust Fund web site.<sup>1</sup>

**B. TECHNICAL SECTION**

*Background*

The main objective of the Codex Trust Fund is to help Codex members that are developing countries or those with economies in transition, to enhance their level of effective participation in the development of global food safety and quality standards by the Codex Alimentarius Commission. As at 31 December 2011 Codex membership totaled 185 (184 member countries plus the European Community as a member organization). When the Trust Fund was launched in 2003 the Codex membership stood at 169 countries.

The Codex Trust Fund is administered by WHO under the direction of a Consultative Group for the Trust Fund (CGTF) comprised of senior WHO and FAO staff. The terms of reference of the Consultative Group and current membership appear in Annex A. The principles for determining the eligibility of member countries and basic criteria for applications as approved by the Codex Alimentarius Commission were outlined in the Third Progress Report (CX/EXEC 04/53/3). These principles remained in vigour for the cycle of applications for support in 2011 which began at the end of 2010.

There were 84 Codex member countries eligible for support from the Codex Trust Fund in 2011. Annex B gives the country groupings for 2011.

For the calendar year 2011, and based on decisions of the Consultative Group at its 17<sup>th</sup> meeting held by teleconference on 8th December 2010, available resources from the Codex Trust Fund offered support to countries to attend Codex meetings on the following basis:

Group 1a countries (least developed)	Six participations
Group 1b countries (low income + low or medium human development)	Five participations

<sup>1</sup> <http://www.who.int/foodsafety/codex/trustfund/en/>

Group 2 countries (lower middle income + medium or high human development)	Five participations
Group 3a countries (upper middle income + medium human development)	Three participations
Group 3b countries (upper middle income + high human Development)	Two participations

### ***Supported Participation***

In response to the call for applications for support in 2011, 57 eligible countries submitted applications within the closing date period. Table 1 below gives the breakdown of countries in each of the three groupings that were eligible for support from the Codex Trust Fund, and the number of countries in each group that actually submitted an application.

**Table 1 2011 Application rate by country groups**

	<b>Group 1</b>	<b>Group 2</b>	<b>Group 3</b>
<b>No. of countries eligible</b>	38	20	26
<b>No. of countries applying for support</b>	32	11	14
<b>Group application rate</b>	<b>84%</b>	<b>55%</b>	<b>54%</b>

*The 27 eligible countries who did not apply are the following:*

- *Group 1A: Afghanistan, Bangladesh, Chad, Sao Tome and Principe, Yemen*
- *Group 2: Albania, Congo (Republic of), Equatorial Guinea, Iraq, Jordan, Micronesia (Federated States of), Thailand*
- *Group 3: Belarus, Botswana, Brazil, Dominica, Malaysia, Mauritius, Namibia, Romania, Russian Federation, Saint Vincent and the Grenadines, South Africa, The former Yugoslav Republic of Macedonia, Venezuela (Bolivarian Republic of)*

At the end of 2011 a total of 235 participants from 65 countries were supported to attend 13 Codex meetings (including FAO/WHO Regional Coordinating Committee for Africa that took place immediately following the Codex Trust Fund organized workshop to which eligible countries and regional graduates were supported). Annex C lists the countries supported per meeting in 2011.

Table 2 below gives information on the participation rates of countries by Codex Region. Numbers of eligible countries supported denote countries that actually travelled. It should be noted that countries themselves select their region of membership and that decisions on Codex Trust Fund support are not based on regional allocation of funds.

**Table 2 2011 supported meeting participation rate by Codex Region**

<b>Codex Region</b>	<b>No. of countries eligible</b>	<b>No. of eligible countries supported (actually travelled)</b>	<b>Supported participation rate %<sup>2</sup></b>
Africa	36	27	75%
Asia	10	6	60%
Europe	19	11	58%
Latin America & the Caribbean	8	3	38%
Near East	5	0	0%

<sup>2</sup> Where supported participation rates are low reasons may be linked to low application rate from the region or political instability in the region (e.g. Codex Near East region) which may have had a negative impact on ability to travel

South West Pacific	6	4	67%
<b>Total for 2011</b>	<b>84</b>	<b>51</b>	<b>60%</b>

### **Reports**

Countries receiving support are required to provide a concise and comprehensive report to the Trust Fund. The new on-line reporting format institutionalized for use in 2009 continued to be used by all participants to provide reports on Codex Trust Fund supported participation in 2011.

In order to meet the deadline for applications of 31 October 2010 and ensure that the application would be considered by the Codex Trust Fund, countries were requested to ensure that reports on all Trust Fund supported participations from August 2009 to July 2010 (up to and including the Codex Alimentarius Commission in July 2010) had been provided to the Codex Trust Fund using the on-line reporting system. At the time of writing, reports due had been received from 189 participants (a compliance rate of 74 %) for the relevant period (N.B. Participants have 3 months after participating in a meeting to submit the report).

An analysis of reports received from participants for the entire calendar year 2010 is being finalized and will be made available on the Codex Trust Fund website when finalized. An analysis of reports from participants for the year 2011 will also be undertaken and will be available in 2013.

### **Codex training**

In 2011 five Codex trainings were organized by FAO/WHO with support from the Trust Fund in three Codex regions. A total of 173 participants were supported by the Trust Fund to participate in these trainings. The different Codex trainings were as follows:

#### Codex European Region

- WHO/FAO training course on "Strengthening capacities for effective participation in Codex process and use of Codex standards, guidelines and recommendations", Durres, Albania, 6-8 September 2011.

#### Codex African Region

- FAO/WHO Regional workshop on "Implementing Codex Standards: what does it entail?", 31 January 2011 immediately preceding the FAO/WHO Regional Coordinating Committee for Africa (CCAFRICA), Accra, Ghana.
- East African Community/FAO/WHO Workshop on "Strengthening Codex Work in the Region", Nairobi, Kenya, 26-27 September 2011.
- FAO/WHO Technical Workshop on "Sanitary Risk Analysis in Food Control", Cotonou, Benin, 14-16 December 2011.

#### Codex Southwest Pacific Region

- FAO/WHO workshop on "Utilizing Risk-based Approaches in National Food Control Systems in the Pacific" (linked with the Third Meeting of the Pacific Food Safety and Quality Legislation Expert Group), Wellington, New Zealand, 5-9 December 2011.

### **Follow up to the recommendations of the Mid term review of the Codex Trust Fund**

The FAO/WHO Management Response to the Mid-term Review was made available to the 65<sup>th</sup> Session of the Executive Committee of the Codex Alimentarius Commission and the 34<sup>th</sup> Session of the Codex Alimentarius Commission (see CX/CAC 11/34/14-Add.1). In response to the recommendations of the Mid-term Review, the Codex Trust Fund Secretariat tabled a document for discussion with options for the strategic re-positioning of the Codex Trust Fund with regard to ensuring that the three expected outputs of the Trust Fund would be achieved in the lifespan of the project, and that countries would be able to sustain their participation in Codex after graduation from the Trust Fund (see CX/CAC 11/34/14-Add.2).

After discussion in the 65<sup>th</sup> CCEXEC and 34<sup>th</sup> CAC, and taking into account discussions at the Regional Coordinating Committees held in 2010 and 2011, the Commission agreed to the following<sup>3</sup>:

- 1) With regard to the Objective 1 of the Trust Fund (widening participation in Codex), the Commission agreed with the proposals for additional support to LDCs, SIDS and graduated countries that cannot sustain participation, and with the process put forward for this purpose in the working document, noting that the criteria and mechanisms should be clear and transparent.
- 2) With regard to Objective 2 of the Trust Fund (strengthening participation in Codex), the Commission supported activities organized: to ensure coordination and information sharing between Trust Fund, FAO, WHO, regional organizations and member countries on training activities; to promote mentoring, twinning and South-South cooperation; to sensitize leadership to the importance of Codex work so that decision makers recognize the importance of Codex work and allocate resources accordingly; and to measure the impact of participation at the national level.
- 3) With regard to Objective 3 of the Trust Fund (enhancing scientific/technical input to Codex), the Commission agreed with the mechanisms proposed under Objective 3 for support to data generation, including support to scientific institutions and experts in developing countries and facilitating access to data.

In July and August 2011 the Codex Trust Fund Secretariat prepared for the implementation of the decisions taken at the 34<sup>th</sup> Session of the CAC. Modifications were made to the country sub-groupings for eligibility for support from the Codex Trust Fund to be applied in the cycle of application for support in 2012. A new Group 4 was created which encompasses all Least Developed Countries (LDCs) and Small Island Developing States (SIDS) who will be retained within, or brought back into the Codex Trust Fund for an additional two years of support for one delegate to attend each of the country's two top priority Codex meetings. Countries in this Group will be expected to "match" the Codex Trust Fund support by funding an additional two delegates using national or other sources of funding. The country can choose to have these delegates attend the same two priority Codex meetings, or attend other priority Codex meetings for the country.

In order to ensure that Codex Trust Fund resources being allocated to help strengthen effective participation in Codex are being used in a strategic and effective manner, in November 2011 FAO and WHO initiated a joint planning exercise involving regional office staff of the two parent bodies. The objective of this exercise is to build a strategic and results-based approach to Codex training and capacity-building activities of the two parent bodies over a two year period and improve overall coherence. It is based on identified needs of Codex member countries to enhance effective participation in Codex and identifies a range of possible activities that can be supported by FAO and WHO programmes. Resource allocations from different sources, including the resources available from the Codex Trust Fund, will then be made in order to ensure synergies between different activities, the most effective use of resources and the pursuit of common strategic goals and outcomes. Codex Trust Fund-supported events supplement the broader set of activities and support programmes of FAO/WHO. Codex capacity development activities that are planned to be undertaken by FAO and WHO in 2012 with support from the Codex Trust Fund are presented in the 16<sup>th</sup> Progress Report (see Part 2 of this document).

### ***Codex Trust Fund monitoring and evaluation***

As reported on in the 15<sup>th</sup> Progress Report (see CX/EXEC 12/66/6), the Codex Trust Fund responded to the recommendations of the Mid-term Review by engaging in a revision of the monitoring and evaluation framework that will be used to monitor progress and evaluate outputs and outcomes during the second half of the Codex Trust Fund lifespan. The work to develop the framework was carried out between November 2011 and February 2012 by a team consisting of FAO, WHO, Codex Secretariat and Codex Trust Fund staff, and assisted by two monitoring and evaluation consultants.

The monitoring and evaluation framework as it currently stands appears as Annex C to the 16<sup>th</sup> Progress Report (see Part 2 of this document). Information on the relevance and implementation of the M&E framework will be provided to Codex members at the round of Regional Coordinating Committees commencing in September 2012. The M&E framework will be piloted and tested throughout 2012. As 2012

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<sup>3</sup> See REP11/CAC paragraphs 216-236 for full summary of discussions

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is a transition year for which a number of baselines will be established for indicators, full information for the Monitoring and Evaluation report is not yet available. Data and information that was routinely collected prior to the development of the monitoring and evaluation framework and is, therefore, available for 2011, is reported on in CX/CAC 12/35/13 Add 1. Starting with the Annual Report 2012, full information from the monitoring and evaluation framework will be made available in a standing annex to the Annual Reports.

**C. FINANCIAL SECTION****2003-2011**

To provide a complete financial picture, the following information covers the full period since the Codex Trust Fund was initiated. During the period from January 2003 to December 2011, a total of US\$ **13,592,748** was received as contributions from 14 Member countries and the European Community. Table 5 below shows a breakdown of contributions received 2003-2011 by donor and month of receipt.

**Table 5**  
**Codex Trust Fund - Contributions Received (2003-2011)**  
**(to December 2011)**

<b>Donor</b>	<b>Amount Received (in contribution currency)</b>	<b>Amount Received (in thousand USD)</b>	<b>Date Received</b>
Switzerland	CHF 50,000	35,971	Jan-03
Canada	CAD 50,000	34,014	Apr-03
United States	USD 168,000	168,000	Nov-03
Norway	USD 100,000	100,000	Dec-03
Ireland	EUR 50,000	60,824	Dec-03
Netherlands	USD 50,000	50,000	Dec-03
Switzerland	CHF 25,000	20,000	Jan-04
European Community	EUR 280,250	348,570	Feb-04
Canada	CAD 200,000	150,344	Feb-04
Australia	AUD 40,000	27,906	Aug-04
Sweden	SEK 2,000,000	281,960	Nov-04
Netherlands	USD 50,000	50,000	Nov-04
Ireland	EUR 30,000	39,788	Dec-04
New Zealand	NZD 50,000	35,770	Dec-04
Norway	USD 100,000	100,000	Dec-04
United States	USD 85,000	85,000	Dec-04
Germany	USD 50,000	50,000	Jan-05
European Community	EUR 280,250	366,340	Feb-05
Canada	CAD 200,000	163,586	Mar-05
Sweden	SEK 3,000,000	381,194	Nov-05
Netherlands	USD 50,000	50,000	Nov-05
United States	USD 157,893	157,893	Dec-05
Norway	USD 100,000	100,000	Dec-05
Finland	EUR 50,000	58,824	Dec-05
Japan	USD 80,000	80,000	Feb-06
European Community	EUR 190,000	229,746	Apr-06
Canada	CAD 200,000	175,362	Apr-06

<b>Netherlands</b>	<b>USD 50,000</b>	50,000	May-06
<b>Sweden</b>	<b>SEK 3,000,000</b>	416,089	Jul-06
<b>New Zealand</b>	<b>NZD 50,000</b>	33,040	Dec-06
<b>Norway</b>	<b>USD 100,000</b>	100,000	Dec-06
<b>Germany</b>	<b>USD 66,250</b>	66,250	Dec-06
<b>United States</b>	<b>USD 60,292</b>	60,292	Dec-06
<b>Switzerland</b>	<b>CHF 200,000</b>	163,934	Jan-07
<b>Switzerland</b>	<b>CHF 68,000</b>	55,738	Jan-07
<b>Japan</b>	<b>USD 80,000</b>	80,000	Mar-07
<b>Sweden</b>	<b>SEK 3,000,000</b>	441,000	Jul-07
<b>Germany</b>	<b>EUR 30,000</b>	41,004	Aug-07
<b>Japan</b>	<b>USD 50,000</b>	50,000	Sep-07
<b>Netherlands</b>	<b>EUR 50,000</b>	73,746	Dec-07
<b>Sweden</b>	<b>SEK 3,000,000</b>	453,210	Dec-07
<b>European Community</b>	<b>EUR 3004.75</b>	4,262	Jan-08
<b>United States</b>	<b>USD 175,000</b>	175,000	Feb-08
<b>European Community</b>	<b>EUR 210,000</b>	310,651	Feb-08
<b>Japan</b>	<b>USD 80,000</b>	80,000	Mar-08
<b>Canada</b>	<b>CAD 125,000</b>	127812	Mar-08
<b>New Zealand</b>	<b>NZD 50,000</b>	39,475	Apr-08
<b>Germany</b>	<b>EUR 50,000</b>	78,864	May-08
<b>Australia</b>	<b>AUD 50,000</b>	48,040	Jun-08
<b>Malaysia</b>	<b>USD 10,000</b>	10,000	Aug-08
<b>European Community</b>	<b>EUR 200,000</b>	278,551	Sep-08
<b>Japan</b>	<b>USD 50,000</b>	50,000	Oct-08
<b>United States</b>	<b>USD 666,220</b>	666,220	Oct-08
<b>France</b>	<b>USD 100,000</b>	100,000	Nov-08
<b>Norway</b>	<b>NOK 712,000</b>	100,125	Dec-08
<b>New Zealand</b>	<b>NZD 50,000</b>	27,778	Dec-08
<b>Ireland</b>	<b>EUR 215,893</b>	309,655	Feb-09
<b>European Community</b>	<b>EUR 225,000</b>	291,451	Mar-09
<b>Japan</b>	<b>USD 80,000</b>	80,000	Apr-09
<b>Malaysia</b>	<b>USD 10,000</b>	10,000	Jun-09
<b>Germany</b>	<b>EUR 50,000</b>	70,323	Aug-09
<b>Netherlands</b>	<b>EUR 60,000</b>	77,720	Oct-09
<b>European Community</b>	<b>EUR 225,000</b>	327,035	Oct-09
<b>Japan</b>	<b>USD 50,000</b>	50,000	Nov-09
<b>Sweden</b>	<b>SEK 5,000,000</b>	725,689	Dec-09
<b>Japan</b>	<b>USD 80,000</b>	80,000	Feb-10
<b>United States</b>	<b>USD 450,000</b>	450,000	Mar-10
<b>Netherlands</b>	<b>USD 588,235</b>	588,235	Apr-10



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<b>Malaysia</b>	<b>USD 10,000</b>	10,000	Jul-10
<b>Japan</b>	<b>USD 50,000</b>	50,000	Jul-10
<b>European Community</b>	<b>EUR 213,000</b>	295,833	Nov-10
<b>European Community</b>	<b>EUR 55,000</b>	76,389	Nov-10
<b>Sweden</b>	<b>SEK 5,000,000</b>	720,949	Nov-10
<b>Germany</b>	<b>EUR 50,000</b>	65,445	Dec-10
<b>New Zealand</b>	<b>USD 30,000</b>	30,000	Jan-11
<b>Japan</b>	<b>USD 50,000</b>	50,000	Feb-11
<b>Canada</b>	<b>CAD 150,000</b>	154,479	Apr-11
<b>Australia</b>	<b>USD 105,660</b>	105,660	Jun-11
<b>Finland</b>	<b>EUR 50,000</b>	71,225	Jun-11
<b>United States</b>	<b>USD 272,695</b>	272,695	Jun-11
<b>Malaysia</b>	<b>USD 10,000</b>	10,000	Aug-11
<b>United States</b>	<b>USD 149,642</b>	149,642	Oct-11
<b>Japan</b>	<b>USD 20,000</b>	20,000	Oct-11
<b>Sweden</b>	<b>SEK 5,000,000</b>	758,150	Oct-11
<b>Japan</b>	<b>USD 50,000</b>	50,000	Dec-11
<b>United States</b>	<b>USD 60,000</b>	60,000	Dec-11
<b>Total</b>		<b>13,592,748</b>	

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**Table 6 - Total contributions by donor  
2003-2011  
(to December 2011)**

<b>Donor</b>	<b>Amount Received in US\$</b>
Australia	181,606
Canada	805,597
European Community	2,528,828
Finland	130,049
France	100,000
Germany	371,886
Ireland	410,267
Japan	720,000
Malaysia	40,000
Netherlands	939,701
New Zealand	166,063
Norway	500,125
Sweden	4,178,241
Switzerland	275,643
United States	2,244,742
<b>TOTAL</b>	<b>13,592,748</b>

Expenditure from the Codex Trust Fund from 2003 to 2011 totalled US\$ 12,452,093 (including Programme Support Costs).

**Table 7 - Breakdown of Codex Trust Fund Cumulative expenditures (not including PSC)  
(as at 31 December 2011)**

<b><i>Support to beneficiary countries</i></b>	
Least Developed and Low Income Countries (Obj. 1)	5,335,980
Lower and Upper Middle Income Countries (Obj. 1)	2,859,210
<b><i>Codex capacity development &amp; training</i></b> (Obj. 2)	911,568
<b><i>Scientific and Technical Input</i></b> (Obj. 3)	5,104
<b><i>Monitoring and evaluation</i></b>	280,085
<b><i>Project management and administration</i></b>	2,147,928

**Annex A - Composition and Functions of the Consultative Group  
for the Trust Fund (CGTF) - December 2011**

FAO/Rome

- Dr Renata Clarke, Senior Officer, Food Control and Consumer Protection Group, Nutrition and Consumer Protection Division
- Ms. Mary Kenny, Food Safety and Quality Officer, Food Control and Consumer Protection Group, Nutrition and Consumer Protection Division

WHO/Geneva

- Dr Maged Younes, Director, Department of Food Safety and Zoonoses (Chairperson)
- Mrs Catherine Mulholland, Administrator, Codex Trust Fund
- Dr Angelika Tritscher, Coordinator, Risk Assessment and Management, Department of Food Safety and Zoonoses

WHO Regional Office adviser

- Dr Hilde Kruse, Regional Food Safety Adviser, WHO Regional Office for Europe, Rome

Codex Secretariat/Rome

- Ms Selma Doyran, Secretary, Codex Alimentarius Commission, Joint FAO/WHO Food Standards Programme

Resource persons

- Ms Dominique di Biase, Senior Programme Officer, Field Programme Development Service, Technical Cooperation Department, FAO
- Mr Ilja Betlem, Legal Officer, Office of the Legal Counsel, FAO

**CGTF Functions**

- To provide strategic guidance to the Project;
- To establish relevant guidelines and criteria as a framework for Project activities;
- To monitor that such guidelines and criteria are followed by the Project and that reporting requirements are met;
- To monitor the coherence and complementarity of Project activities with respect to other funding mechanisms dealing with similar issues; and
- To monitor the Project's progress and evaluate achievements.

**Annex B Grouping of countries eligible to submit applications for 2011 support**

**84 countries**

New members: Republic of Azerbaijan and Republic of Nauru in Group 2 as well. Côte d'Ivoire, Equatorial Guinea, Maldives, Nigeria, and Pakistan moved to Group 2 (due to lower middle income status). Namibia moved to Group 3A (due to upper middle income status). Algeria, Bosnia Herzegovina, Dominica, Grenada, Kazakhstan, Republic of Serbia, The Former Yugoslav Republic of Macedonia and Venezuela moved to Group 3B (due to high human development status).

**GROUP 1**

<b>Group 1A – Least Developed Countries (LDC)</b> <i>As listed by the Least Developed Countries Report 2010 (UNCTAD)<sup>4</sup></i>	<b>Group 1B – Other Low Income Countries (LIC)</b> <i>Listed as LIC by the World Development Report 2010 (World Bank) and Low Human Development or Medium Human Development by the Human Development Report 2010 (UNDP).</i>
<b>Africa</b> Angola Benin Burkina Faso Central African Republic Chad Comoros Democratic Republic of the Congo Djibouti Eritrea Ethiopia Gambia Guinea Guinea-Bissau Lesotho Liberia Madagascar Malawi Mauritania Mozambique Rwanda Sao Tome and Principe Senegal Sierra Leone Somalia	<b>Africa</b> Kenya
<b>Asia</b> Afghanistan Bangladesh Cambodia Myanmar	<b>Asia</b> Democratic People's Republic of Korea
<b>Europe</b>	<b>Europe</b> Kyrgyzstan Tajikistan Uzbekistan
<b>Near East</b> Yemen	<b>Near East</b>

<sup>4</sup> Equatorial Guinea and Maldives graduate from LDC in January 2011

<b>South-West Pacific</b> Kiribati Samoa Solomon Islands Vanuatu	<b>South-West Pacific</b>
<b>33 countries</b>	<b>5 countries</b>

**GROUP 2**

<i>Countries listed as Lower Middle income Countries (LMC) by the World Development Report 2010 (World Bank) and Medium Human Development (MHD) or High Human Development (HHD) by the Human Development Report 2010 (UNDP).</i>
<b>Africa</b> Cameroon Cape Verde Congo, Republic of Côte d'Ivoire Equatorial Guinea Nigeria
<b>Asia</b> Maldives Pakistan Sri Lanka Thailand
<b>Europe</b> Albania Armenia Azerbaijan, Republic of Georgia Moldova, Republic of Ukraine
<b>Near East</b> Iraq Jordan
<b>South-West Pacific</b> Micronesia, Federated States of Nauru, Republic of
<b>20 countries</b>

**GROUP 3**

<b>Group 3A</b> <i>Countries listed as Upper Middle income Countries (UMC) in the World Development Report 2010 (World Bank) and Medium Human Development (MHD) in the Human Development Report 2010 (UNDP).</i>	<b>Group 3B</b> <i>Countries listed as Upper Middle income Countries (UMC) in the World Development Report 2010 (World Bank) and High Human Development (HHD) in the Human Development Report 2010 (UNDP).</i>
<b>Africa</b> Botswana Gabon Namibia South Africa	<b>Africa</b> Mauritius
<b>Asia</b>	<b>Asia</b> Malaysia
<b>Europe</b>	<b>Europe</b> Belarus Bosnia Herzegovina Bulgaria Kazakhstan Latvia Montenegro Republic of Serbia Romania Russian Federation The Former Yugoslav Republic of Macedonia
<b>Latin America and the Caribbean</b> Saint Lucia Saint Vincent and the Grenadines Suriname	<b>Latin America and the Caribbean</b> Brazil Dominica Grenada Saint Kitts and Nevis Venezuela
<b>Near East</b>	<b>Near East</b> Algeria Libyan Arab Jamahiriya
<b>South-West Pacific</b>	<b>South-West Pacific</b> -
<b>7 countries</b>	<b>19 countries</b>

**"Graduates" of the Codex Trust Fund<sup>5</sup>**

<b>2011 (27 Graduates)</b>	<b>Belize, Bhutan, Burundi, China, Fiji, Ghana, Haiti, India, Indonesia, Lao People's Democratic Republic, Lebanon, Mali, Mongolia, Nepal, Nicaragua, Niger, Papua New Guinea, Sudan, Swaziland, Togo, Tonga, Turkey, Uganda, United Republic of Tanzania, VietNam, Zambia, Zimbabwe</b>
<b>2010 (7 Graduates)</b>	<b>Egypt, Guyana, Honduras, Jamaica, Philippines, Syrian Arab Republic, Cook Islands</b>
<b>2009 (13 Graduates)</b>	<b>Bolivia, Colombia, Croatia, Cuba, Dominican Republic, Ecuador, El Salvador, Guatemala, Iran, Morocco, Paraguay, Peru, Tunisia</b>
<b>2008 (6 Graduates)</b>	<b>Antigua and Barbuda, Argentina, Chile, Mexico, Seychelles, Uruguay</b>
<b>2007 (4 Graduates)</b>	<b>Costa Rica, Lithuania, Panama, Poland</b>
<b>Total number of graduated countries</b>	<b>57 countries</b>

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<sup>5</sup> According to the matched funding requirements established at the inception of the Codex Trust Fund (see [http://www.who.int/foodsafety/codex/en/proj\\_doc\\_e.pdf](http://www.who.int/foodsafety/codex/en/proj_doc_e.pdf)) a gradual increase in the financial participation of countries will take place as the countries move through the life cycle of Codex Trust Fund support.

**Annex C - Countries supported by the Codex Trust Fund, January-December 2011**

<p><b>19<sup>th</sup> Session FAO/WHO Coordinating Committee for Africa, Accra, Ghana, 1-4 February 2011</b></p> <p>Angola Benin Botswana Burkina Faso Burundi Cameroon Central African Republic Comoros Côte D'Ivoire Democratic Republic of Congo Djibouti Ethiopia Gabon Guinea-Bissau Guinea Conakry Kenya Lesotho Liberia Malawi Mali Mauritania Niger Nigeria Rwanda Senegal Swaziland United Republic of Tanzania Togo Uganda Zambia Zimbabwe</p>
<p><b>22<sup>nd</sup> Session Codex Committee on Fats and Oils, Penang, Malaysia, 21-25 February 2011</b></p> <p>Myanmar Uzbekistan</p>
<p><b>32<sup>nd</sup> Session Codex Committee on Methods of Analysis and Sampling, Budapest, Hungary, 7-11 March 2011</b></p> <p>Angola Armenia Central African Republic Tajikistan</p>
<p><b>43<sup>rd</sup> Session Codex Committee on Food Additives, Xiamen, Fujian Province, China, 14-18 March 2011</b></p> <p>Cameroon Côte d'Ivoire Democratic Republic of the Congo Democratic People's Republic of Korea Kenya Madagascar Myanmar Serbia, Republic of</p>
<p><b>5<sup>th</sup> Session Codex Committee on Contaminants in Foods, The Hague, Netherlands, 21-25 March 2011</b></p> <p>Cambodia Cameroon Côte d'Ivoire Ethiopia Kenya</p>
<p><b>43<sup>rd</sup> Session Codex Committee on Pesticide Residues, Beijing, China, 4-9 April 2011</b></p> <p>Angola Benin Democratic People's Republic of Korea</p>



<p>Democratic Republic of the Congo Ethiopia Maldives, Republic of Mozambique Myanmar Rwanda Samoa Sierra Leone</p>
<p><b>31<sup>st</sup> Session Codex Committee on Fish and Fishery Products, Tromso, Norway, 11-16 April, 2011</b> Angola Maldives, Republic of Sierra Leone Solomon Islands Sri Lanka</p>
<p><b>16<sup>th</sup> Codex Committee on Fresh Fruits and Vegetables, Mexico City, Mexico, 2-6 May 2011</b> Gambia Kenya Moldova, Republic of Pakistan Senegal</p>
<p><b>39<sup>th</sup> Codex Committee on Food Labelling, Quebec City, Canada, 9-13 May 2011</b> Cambodia Cameroon Comoros Djibouti Haiti Kenya Kiribati Madagascar Moldova, Republic of Mozambique Nigeria Saint Kitts and Nevis Saint Lucia Samoa Tonga</p>
<p><b>34<sup>th</sup> Codex Alimentarius Commission, Geneva, Switzerland, 4-9 July 2011</b> Angola Armenia Benin Botswana Burkina Faso Cambodia Cameroon Central African Republic Côte d'Ivoire Democratic Republic of the Congo Democratic People's Republic of Korea Djibouti Ethiopia Fiji Gambia Georgia Guinea Bissau Guinea Kazakhstan Kyrgyzstan Lesotho Madagascar Moldova, Republic of Montenegro</p>

Rwanda  
 Samoa  
 Solomon Islands  
 Sri Lanka  
 Suriname  
 Swaziland  
 Tajikistan  
 Togo  
 Uzbekistan  
 Vanuatu

**19<sup>th</sup> Codex Committee on Food Import and Export Inspection and Certification Systems, Cairns, Australia, 17-21 October 2011**

Armenia  
 Burkina Faso  
 Comoros  
 Georgia  
 Lebanon  
 Lesotho  
 Maldives, Republic of  
 Mozambique  
 Myanmar  
 Samoa  
 Solomon Islands  
 Sri Lanka  
 Tajikistan

**33<sup>rd</sup> Codex Committee on Nutrition and Foods for Special Dietary Uses, Bad Soden Am Taunus, Germany, 14-18 November 2011**

Benin  
 Ethiopia  
 Gambia  
 Guinea Bissau  
 Lesotho  
 Mauritania  
 Myanmar  
 Moldova, Republic of  
 Rwanda  
 Samoa  
 Sri Lanka  
 Togo

**43<sup>rd</sup> Codex Committee on Food Hygiene, Miami, United States of America, 5-9 December 2011**

Armenia  
 Benin  
 Bosnia & Herzegovina  
 Bulgaria  
 Burkina Faso  
 Cameroon  
 Comoros  
 Côte d'Ivoire  
 Djibouti  
 Gabon  
 Gambia  
 Georgia  
 Guinea  
 Guinea Bissau  
 Kenya  
 Kiribati  
 Liberia  
 Madagascar  
 Maldives, Republic of  
 Mauritania  
 Moldova, Republic of

Mozambique  
Myanmar  
Nigeria  
Pakistan  
Rwanda  
Samoa  
Senegal  
Serbia  
Sierra Leone  
Sri Lanka  
Saint Lucia  
Tajikistan  
Turkey

**PART 2****FAO/WHO PROJECT AND FUND FOR ENHANCED PARTICIPATION IN CODEX****16<sup>th</sup> Progress Report****(January-June 2012)****A. INTRODUCTION**

This is the Sixteenth Progress Report of the FAO/WHO Project and Fund for Enhanced Participation in Codex (Codex Trust Fund). It covers activities for the first six months of 2012 and follows on from the information contained in the Fifteenth Progress Report and the 2011 Annual Report.

**B. TECHNICAL SECTION****2012 Applications and Support to Objective 1 - Widening Participation in Codex**

Countries eligible for support from the Codex Trust Fund are required to submit a yearly application form which is due on 31 October of each calendar year. The list of eligible countries and the update of country sub-groupings for 2012 support appears in Annex A. This list and country sub-groupings takes account of the decisions of the 34<sup>th</sup> CAC that were put into effect for the 2012 application process (see Annual Report 2011 in Part 1 of this document).

As in the past, the "Call for Applications" for support in 2012 was made widely available in September 2011 using the following channels: Codex e-mail lists; WHO and FAO regional and country offices; WHO, FAO, Codex Secretariat and Codex Trust Fund websites; WHO newsletter. The Codex Trust Fund also did a direct electronic send-out to all Codex Contact Points in Codex Trust Fund eligible countries with a copy to the relevant FAO and WHO country office. When required, additional support was provided by FAO and WHO officers to follow up with individual countries failing to submit an application within the timeline.

Seven countries were no longer eligible for support in 2012 as they graduated according to the matched funding status table below, and they were not eligible to be brought back into the Codex Trust Fund under the provisions for support to the new Group 4.

- "Graduates" from Group 1B: Cameroon, Kenya, Nigeria
- "Graduates" from Group 2: Albania, Republic of Serbia, Sri Lanka
- "Graduates" from Group 3A: Botswana

**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%				

Countries concerned were apprised of their final graduation from the Codex Trust Fund by e-mail to the Codex Contact Point, with copy to the relevant WHO and FAO regional and country offices.

Below is the breakdown of the 71 eligible countries that sent an application:

- 18 out of 22 eligible countries from Group 1a (82%);

- 2 out of 3 eligible countries from Group 1b (67%);
- 9 out of 15 eligible countries from Group 2 (60%);
- 1 out of 5 eligible countries from Group 3a (20%);
- 10 out of 17 eligible countries from Group 3b (59%);
- 31 out of 34 eligible countries from Group 4 (91%);

Breakdown of applications received according to Codex region is as follows:

**Table 1 - Breakdown of applications received for support in 2012 by Codex Region**

<b>Codex Region</b>	<b>No. of countries eligible</b>	<b>No. of applications received</b>	<b>% of eligible countries applying</b>
Africa	36	30	77%
Asia	11	10	91%
Europe	16	10	63%
Latin America & the Caribbean	15	10	67%
Near East	6	4	67%
South West Pacific	10	7	70%
<b>Total for 2012</b>	<b>97</b>	<b>71</b>	<b>73%</b>

Given the number of applications received from different country sub-groupings, and the liquidity forecast for 2012, at its 20<sup>th</sup> meeting held by teleconference on 8 December 2011, the Consultative Group for the Codex Trust Fund determined the level of support to be offered in 2012 as follows:

- Group 1a 5 participations
- Group 1b 5 participations
- Group 2 4 participations
- Group 3a 2 participations
- Group 3b 1 participation
- Group 4 2 participations

#### **Quality assurance for the application process**

In its continuing efforts to ensure compliance with application procedures and quality of applications received, all applications from eligible countries were reviewed and assessed by the Codex Trust Fund Secretariat against the following criteria:

- Country member of Codex;
- Country eligible for CTF funding;
- Application submitted by CCP;
- Valid meetings prioritized;
- Rationale given for priority meetings chosen;
- Application fully completed with all signatures of designated participants;
- Evidence of coordination between government ministries around application process with signatures of all those involved;
- Evidence of involvement of FAO and/or WHO with signature(s) as appropriate.

As part of the ongoing review process, all applications not responding to one or more of the above criteria were the object of communication with WHO regional office focal points and/or CCPs for follow up and revision of the application as necessary.

In the past the Codex Trust Fund has attempted to ensure compliance with participant reporting obligations by suspending support for travel during the year to countries who were not up to date with their reporting requirements. This has proved cumbersome and difficult to manage and monitor. During the 2012 application process the Codex Trust Fund Secretariat monitored full compliance with reporting requirements as a criteria for acceptance and processing of a country application. This new policy resulted in a dramatic increase in the number of countries who were fully up to date with their reporting requirements as of the end of January 2012 and has improved the Codex Trust Fund's capacity to monitor reporting compliance.

As has been done in past years, all requests for assistance other than participation at meetings (Box 8 or 9 depending on country grouping) is being compiled in a table for discussion with FAO and WHO headquarters and regional offices for possible approaches to meeting these requests, in the first instance through existing or planned activities of the parent bodies including: technical cooperation programmes; regional, sub-regional and national trainings; workshops etc. Most countries continue to choose to use their application for full support for physical participation. The relevant box was filled in on 11 out of 71 applications received from eligible countries.

### **2012 Meeting Participation**

For the period January to December 2012, it is expected that approximately 210 delegates from 71 countries will be supported to attend 18 Codex meetings and task forces. The breakdown of participants is expected to be: 68% from least developed and other lower income countries; 22% from lower middle income countries; and 10% from upper middle income countries. Annex B provides details of countries who have been supported by the Codex Trust Fund to attend Codex meetings in 2012 that were prioritized on their application (includes attendance at Codex meetings between 1 January and 30 April 2012. A full report on attendance for the calendar year 2012 will be given in the Annual Report 2012).

## **Support to Objective 2 - Codex Trust Fund supported Codex capacity development in 2012**

### **Codex trainings and workshops**

Based on outcomes of the FAO/WHO joint planning process for Codex capacity development activities, the following FAO/WHO Codex trainings and workshop are planned for support by the Codex Trust Fund in 2012:

- Codex African region
  - Facilitating private sector involvement in preparing national & regional positions on Codex issues with the EAC partner states (follow up to Codex Trust Fund-supported workshop held in 2011). Timing and place to be determined (second half of 2012).
- Codex Asian region
  - Training workshop on "Improving regional standards setting process in CCASIA & enhancing collaboration in the region on agreed priority areas". 4<sup>th</sup> November, 2012, Tokyo, Japan (immediately prior to CCASIA)
  - Workshop on chemical risk assessment in food chain. 10-14 December 2012, Beijing, China
- Codex European region
  - Pre-CCEURO workshop on 50 years of Codex: Achievements, Lessons Learnt & Challenges in the European Codex Region. 24 September, 2012, Batumi, Georgia (immediately prior to CCEURO)

- Sub-regional training workshop on Codex for Central Asian countries. 9-11 October 2012, Bishkek, Kyrgyz Republic.
  
- Codex Latin American and Caribbean region
  - To be determined
  
- Codex Near East region
  - Sub-regional workshop to provide basic Codex training for Somalia and Djibouti. October 2012. Djibouti.
  - Regional training workshop on chemical risk assessment. Timing and place to be determined.
  - Regional training workshop to enhance the participation of Codex Near East countries in Codex, September 2012, Beirut, Lebanon.
  
- Codex Southwest Pacific region
  - On the job training for Codex Contact Points from Samoa, Solomon Islands and Vanuatu. 27 Feb - 2 March 2012, Wellington, New Zealand.
  - Technical workshop on developments relevant to Pacific Island countries in Codex, 15-16 September 2012, Madang, Papua New Guinea (immediately prior to CCNASWP)

### **Pilot Project for the development of examples on the application of microbiological criteria for the Revision of the Principles for the Establishment and Application of Microbiological Criteria for Foods**

Following discussions at the 43<sup>rd</sup> Session of the Codex Committee on Food Hygiene<sup>6</sup> on the revision of the *Principles for the Establishment and Application of Microbiological Criteria for Foods* (CAC/GL 21-1997), and in light of the difficulties for countries with less experience in the application of concepts in areas related to, for example, risk management metrics to participate effectively, it was agreed to re-establish a Physical Working Group (PWG) (Co-chairs: Finland and Japan) with the following terms of reference:

- elaborate and finalize an Annex with practical examples on the establishment and application of microbiological criteria (MC) for different purposes; and
- review and complete the main document based on the examples and the comments received before and during the 43<sup>rd</sup> CCFH.

In order to facilitate the active participation of developing countries in the elaboration of these practical examples, it was further agreed to pilot an initiative using a "mentoring" approach through the coupling of more experienced lead countries and/or observer organizations (*mentors*) with less-experienced countries (*mentees*). Practical examples will be developed by seven identified drafting teams comprising member countries and/or observers who will participate in these groups as either lead/mentor or mentee/contributor to allow for knowledge transfer and ownership of the process and the examples. The practical examples developed will be discussed at the Physical Working Group to be held in Parma, Italy from 29 May to 1 June 2012 and subsequently considered for inclusion in a draft Codex document at the 44<sup>th</sup> Session of the CCFH to be held in the United States of America from 12-16 November 2012.

The Codex Trust Fund will provide support for mentees from Codex Trust Fund eligible countries who have participated effectively in the development of the practical examples to attend the Physical Working Group and/or the 44<sup>th</sup> Session of the CCFH. Selected FAO and WHO staff have supported this pilot mentoring initiative since the beginning to effectively plan, implement, and finally evaluate the usefulness of this initiative. This work included an assessment of delegates to be supported by the CTF to attend the physical meeting in Parma. The Codex Trust Fund Secretariat worked with FAO, WHO and the Codex Secretariat and will pay particular attention to assess the progress and results of this pilot initiative in order

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<sup>6</sup> REP 12/FH [http://www.codexalimentarius.net/download/report/770/REP12\\_FHe.pdf](http://www.codexalimentarius.net/download/report/770/REP12_FHe.pdf) (English)

to gain insight into the strengths and weaknesses of approaches such as this and distill out the lessons to be learnt for consideration in designing future initiatives.

### **Support to Objective 3 - Enhancing scientific and technical participation of developing countries in Codex**

The 5<sup>th</sup> Session of the CCCF<sup>7</sup> held in March 2011 noted that the lack of sufficient and reliable data on occurrence of mycotoxins and mycotoxigenic fungi in sorghum producing countries contributes to the slow progress of this work. The Committee further noted the importance of data collection and supported the recommendations that countries continue to collect data on the occurrence of mycotoxins in sorghum and sorghum-based food products at the pre-and post-harvest levels as well as data, especially from major producing countries, on dietary intake.

The Codex Trust Fund, using funds provided by the European Commission, is supporting a FAO/WHO project related to these on-going discussions in the Codex Committee on Contaminants in Foods (CCCF) on the potential need for a Codex Maximum Level on mycotoxins in sorghum. The aim of the project is to assist countries in generating data for JECFA to carry out a detailed risk assessment, with a view to the establishment of MLs for selected mycotoxins in sorghum.

The project will facilitate an assessment of the types and levels of mycotoxins in sorghum in Burkina Faso, Ethiopia, Mali and Sudan (four major sorghum producing/exporting countries).

The specific objectives of the project are:

- 1) To conduct a survey on the occurrence of mycotoxins in sorghum, the type of mycotoxins and their levels of contamination, and to determine the mycotoxin producing fungi that are present in different varieties of sorghum.
- 2) To enhance scientific and technical input to Codex on health and trade issues of particular importance to developing countries.
- 3) To collect information on sorghum production systems and practices in each of the countries included in the pilot project<sup>8</sup> (e.g. description of the production chain, quantities produced and uses – human consumption, feed, trade, private and public sector controls of sorghum quality and safety, testing and analytical capacities, etc.)

FAO and WHO officers are working closely with a team of national and international experts for project implementation, with administrative support from the Secretariat of the Codex Trust Fund. Inception missions to each of the four countries are ongoing. A national consultant and national focal point are being identified in each country. Essential issues to the success of the project survey work include a robust sampling protocol, effective analytical testing, and collection of information on the sorghum chain through a “value chain” study in each country. Discussions are currently taking place on the design of a protocol for collection, sampling and analysis, as well as the workplans and timelines for project activities in countries over the next six months. The CCCF is updated at regular intervals.

### **Monitoring and Evaluation**

The Annual Report 2011 gives information on the development of the monitoring and evaluation framework to monitor progress and evaluate outputs and outcomes during the second half of the Codex Trust Fund lifespan. The document outlining the programme theory behind the development of the monitoring and evaluation framework, and including the framework as it currently stands to be piloted and tested throughout 2012 appears in Annex C. Data and information that was routinely collected prior to the development of the monitoring and evaluation framework is reported in CX/CAC 12/35/13 Add 1.

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<sup>7</sup> REP11/CF [http://www.codexalimentarius.net/download/report/758/REP11\\_CFe.pdf](http://www.codexalimentarius.net/download/report/758/REP11_CFe.pdf) (English)

<sup>8</sup> This context is important to allow for future analysis of possible ways and means to reduce mycotoxin contamination which is beyond the scope of this pilot project. It can also provide additional supporting information to enrich future discussions in CCCF.



## C. FINANCIAL SECTION

### 2012 Financial Projections

The balance of funds carried forward to 2012 was US\$ 1,140,655. Contributions that have been recorded as received in WHO during the period from January to March 2012, as well as contributions expected between April and December 2012 appear in Table 4 below.

**Table 4**  
**Codex Trust Fund**  
**Contributions received as at 30 March 2012 and expected April to December 2012**

<b>Donor</b>	<b>Amount expected/received (in contribution currency)</b>	<b>Amount expected/received (in US\$)</b>	<b>Agreement period</b>
<b>EC</b>	€225,000	285,896	2 <sup>nd</sup> payment on 2011-2013
<b>EC</b>	€280,000	355,781	2 <sup>nd</sup> payment on 2011-2013 mycotoxins-sorghum surveys
<b>Germany</b>	€50,000	65,445	2012
<b>Japan</b>	US\$ 50,000	50,000	2012
<b>Malaysia</b>	US\$ 10,000	10,000	2012
<b>Netherlands</b>	US \$588,235	588,235	2 <sup>nd</sup> payment on 2009-2012
<b>Netherlands</b>	US \$588,235	588,235	3 <sup>rd</sup> payment on 2009-2012
<b>Sweden</b>	SEK 5,000,000	720,950	4 <sup>rd</sup> payment on 2009-2013
<b>United States</b>	US \$30,450	30,450	2011-2012
<b>Total approximate funds expected</b>		<b>US \$2,694,992</b>	

The carryover to 2012, together with the recorded and expected contributions in the table above will total approximately US\$ 3,835,647<sup>9</sup>.

The provisional budget for the Codex Trust Fund for 2012, agreed by the Consultative Group for the Trust Fund at its 20<sup>th</sup> meeting held by teleconference on 8 December 2011, was established at \$3 million. It is expected that this sum will allow for support to:

- 1) Approximately 210 delegates from 71 countries will be supported to attend 18 Codex meetings, task forces and working groups (Codex Trust Fund expected output 1 - widening participation in Codex);
- 2) Eleven Codex capacity development activities at inter-regional, regional and sub-regional levels (Codex Trust Fund expected output 2 - strengthening participation in Codex);
- 3) Data surveys on mycotoxins in sorghum in developing countries aimed at enhancing the scientific and technical input of developing countries and countries with economies in transition (Codex Trust Fund expected output 3 - enhancing scientific and technical input to Codex);
- 4) Staff and administration costs of the Codex Trust Secretariat;
- 5) Costs related to the monitoring and evaluation of the Codex Trust Fund.

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<sup>9</sup> Includes multi-year agreements where contributions are scheduled for receipt in 2012 but funds to be used over multiple years.

**Annex A****GROUPING OF ELIGIBLE COUNTRIES - 2012 SUPPORT****97 countries**

Changes: Uzbekistan moved to from Group 1 to Group 2 due to lower middle income status; Albania moved from Group 2 to Group 3b due to upper middle income and high human development status; Azerbaijan moved from Group 2 to Group 3b due to upper middle income and high human development status; Equatorial Guinea and Latvia not longer eligible due to high income status.

**GROUP 1**

<b>Group 1A – Least Developed Countries (LDC)</b> <i>As listed by the Least Developed Countries Report 2010 (UNCTAD)</i>	<b>Group 1B – Other Low Income Countries (LIC)</b> <i>Listed as LIC by the World Development Report 2011 (World Bank) and Low Human Development or Medium Human Development by the Human Development Report 2010 (UNDP).</i>
<b>Africa</b> Benin Burkina Faso Central African Republic Chad Comoros Democratic Republic of the Congo Djibouti Eritrea Gambia Guinea Liberia Malawi Mauritania Mozambique Rwanda Sao Tome and Principe Sierra Leone Somalia	<b>Africa</b> -
<b>Asia</b> Afghanistan Bangladesh Myanmar	<b>Asia</b> *Democratic People's Republic of Korea
<b>Europe</b> --	<b>Europe</b> Kyrgyzstan Tajikistan
<b>Near East</b> Yemen	<b>Near East</b> --
<b>South-West Pacific</b> Kiribati	<b>South-West Pacific</b> --

**GROUP 2**

<i>Countries listed as Lower Middle income Countries (LMC) by the World Development Report 2011 (World Bank) and Low Human Development (LHD), Medium Human Development (MHD) or High Human Development (HHD) by the Human Development Report 2010 (UNDP).</i>
<b>Africa</b> Cape Verde Congo, Republic of

Côte d'Ivoire
<b>Asia</b> Maldives Pakistan Thailand
<b>Europe</b> Armenia Georgia Moldova, Republic of Ukraine Uzbekistan
<b>Near East</b> *Iraq Jordan
<b>South-West Pacific</b> Micronesia, Federated States of **Nauru, Republic of

**GROUP 3**

<b>Group 3A</b> <i>Countries listed as Upper Middle income Countries (UMC) in the World Development Report 2011 (World Bank) and Medium Human Development (MHD) in the Human Development Report 2010 (UNDP).</i>	<b>Group 3B</b> <i>Countries listed as Upper Middle income Countries (UMC) in the World Development Report 2011 (World Bank) and High Human Development (HHD) in the Human Development Report 2010 (UNDP).</i>
<b>Africa</b> Gabon Namibia South Africa	<b>Africa</b> Mauritius
<b>Asia</b> --	<b>Asia</b> --
<b>Europe</b> --	<b>Europe</b> Azerbaijan, Republic of Belarus Bosnia Herzegovina Bulgaria Kazakhstan Montenegro Romania Russian Federation The Former Yugoslav Republic of Macedonia
<b>Latin America and the Caribbean</b> *Saint Vincent and the Grenadines Suriname	<b>Latin America and the Caribbean</b> Brazil Dominica Grenada Saint Kitts and Nevis Venezuela
<b>Near East</b> --	<b>Near East</b> Algeria Libyan Arab Jamahiriya

**Group 4**

*Countries eligible for 2 years additional support at 50% for 2 priority Codex meetings in each calendar year<sup>10</sup> (eligible countries graduated from the Codex Trust Fund between 2007-2011 or will graduate at the end of 2011 and are listed as Least Developed Countries (LDCs) in the UNCTAD Least Developed Countries Report 2010 and/or as Small Island Developing States (SIDs) by the United Nations Department of Economic and Social Affairs, Division for Sustainable Development.*

**Africa (14 countries)**

Angola  
 Burundi  
 Ethiopia  
 Guinea -Bissau  
 Lesotho  
 Madagascar  
 Mali  
 Niger  
 Senegal  
 Togo  
 Seychelles  
 Uganda  
 United Republic of Tanzania  
 Zambia

**Asia (4 countries)**

Bhutan  
 Cambodia  
 Lao People's Democratic Republic  
 Nepal

**Europe**

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**Latin America and the Caribbean (8 countries)**

Antigua and Barbuda  
 Belize  
 Cuba  
 Dominican Republic  
 Guyana  
 Haiti  
 Jamaica  
 Saint Lucia

**Near East (1 countries)**

Sudan

**South-West Pacific (7 countries)**

Cook Islands  
 Fiji  
 Papua New Guinea  
 Samoa  
 Solomon Islands  
 Tonga  
 Vanuatu

<sup>10</sup> See [http://www.codexalimentarius.net/download/report/767/REP11\\_CACe.pdf](http://www.codexalimentarius.net/download/report/767/REP11_CACe.pdf) paragraphs 216-236 for deliberations and conclusions at 34<sup>th</sup> Session of the Codex Alimentarius Commission

**"Graduates" of the Codex Trust Fund<sup>11</sup>**

<b>2012 (18 Graduates)</b>	Albania, Angola, Botswana, Cambodia, Cameroon, Ethiopia, Guinea Bissau, Kenya, Lesotho, Madagascar, Nigeria, Saint Lucia, Samoa, Senegal, Republic of Serbia, Solomon Islands, Sri Lanka, Vanuatu
<b>2011 (27 Graduates)</b>	Belize, Bhutan, Burundi, China, Fiji, Ghana, Haiti, India, Indonesia, Lao People's Democratic Republic, Lebanon, Mali, Mongolia, Nepal, Nicaragua, Niger, Papua New Guinea, Sudan, Swaziland, Togo, Tonga, Turkey, Uganda, United Republic of Tanzania, VietNam, Zambia, Zimbabwe
<b>2010 (7 Graduates)</b>	Egypt, Guyana, Honduras, Jamaica, Philippines, Syrian Arab Republic, Cook Islands
<b>2009 (13 Graduates)</b>	Bolivia, Colombia, Croatia, Cuba, Dominican Republic, Ecuador, El Salvador, Guatemala, Iran, Morocco, Paraguay, Peru, Tunisia
<b>2008 (6 Graduates)</b>	Antigua and Barbuda, Argentina, Chile, Mexico, Seychelles, Uruguay
<b>2007 (4 Graduates)</b>	Costa Rica, Lithuania, Panama, Poland
<b>Total number of graduated countries</b>	<b>75 countries</b>

**Eligible countries who have chosen not to benefit  
from Codex Trust Fund support**

Malaysia (Codex Trust Fund donor country)
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<sup>11</sup> According to the matched funding requirements established at the inception of the Codex Trust Fund (see [http://www.who.int/foodsafety/codex/en/proj\\_doc\\_e.pdf](http://www.who.int/foodsafety/codex/en/proj_doc_e.pdf)) a gradual increase in the financial participation of countries will take place as the countries move through the life cycle of Codex Trust Fund support.

**Annex B - Countries supported to Codex meetings in 2012**

Up to 30 April and including CCPR

<p><b>33<sup>rd</sup> Session Codex Committee on Methods of Analysis and Sampling, Budapest, Hungary, 5-9 March 2012</b></p> <p>Cape Verde Central African Republic Georgia Mauritania Moldova, Republic of Montenegro Samoa Tajikistan Uzbekistan</p>
<p><b>44<sup>th</sup> Codex Committee on Food Additives, Hangzhou, China, 12-16 March 2012</b></p> <p>Côte d'Ivoire DPR Korea Maldives Mauritius Nepal Sierra Leone</p>
<p><b>6<sup>th</sup> Codex Committee on Contaminants in Foods, Maastricht, Netherlands, 26-30 March 2012</b></p> <p>Benin Burkina Faso Congo, Republic of Djibouti Liberia Mozambique Myanmar Nepal Seychelles United Republic of Tanzania</p>
<p><b>27<sup>th</sup> Codex Committee on General Principles, Paris, France, 2-6 April 2012</b></p> <p>Benin Burundi Central African Republic Comoros Côte d'Ivoire Georgia Guinea Bissau Lesotho Myanmar Niger</p>
<p><b>44<sup>rd</sup> Session Codex Committee on Pesticide Residues, Shanghai, China, 23-28 April 2012</b></p> <p>Algeria Benin Burkina Faso Cape Verde Central African Republic Comoros Côte d'Ivoire Gabon Guinea Madagascar Maldives (Republic of) Mali Moldova Mozambique Myanmar Sierra Leone Sudan Tajikistan</p>

## **Annex C - Monitoring and evaluation framework for the Codex Trust Fund**

(Draft work in progress)

This document contains the draft monitoring and evaluation (M&E) framework of the FAO/WHO Project and Fund for Enhanced Participation in Codex (hereinafter referred to as the Codex Trust Fund or CTF). It is based on best practice in terms of M&E frameworks and lessons learned from other organisations and literature. The framework builds to a large extent on on-going monitoring and reporting activities conducted within the context of the CTF. The framework will be continuously revised as needs arise to stay relevant, effective and efficient.

The framework has been developed to respond to the recommendation of the Mid-Term Review of the CTF (Final Report, 30 April 2010) to strengthen monitoring and evaluation of the CTF. The framework was developed through a collaborative process, primarily involving the CTF Secretariat, the Codex Secretariat, FAO, WHO and facilitated by external monitoring and evaluation consultants.

### Purpose and audience

The purpose of CTF's M&E framework is to:

- Track the results of the CTF and show to what extent objectives have been reached.
- Provide feedback on the adequacy of the management and design of the project.
- Inform the discussion on the kind of support that is needed once CTF ends.

The CTF framework focuses on results, rather than CTF activities and management. It is expected that the main parties interested in the information coming out of CTF's M&E framework are:

- Beneficiaries and other Codex member countries
- Current and future donors
- FAO and WHO as parent organisations
- Staff involved in programme management and implementation at the CTF Secretariat, the Codex Secretariat, FAO and WHO, including FAO and WHO regional office focal points.

### **Programme theory and design**

This M&E framework takes as its starting point a programme theory of CTF. The programme theory is commonly used to structure the various levels of expected results of a programme and, most importantly, to explore the mechanisms that link the various results levels together.

This M&E framework covers CTF funded activities and their results. The programme theory is based on the objectives of CTF as they are formulated in the original programme document.<sup>12</sup> These objectives have been reformulated to fit into a results framework and, as such, be applicable to an M&E context.

**Table 1 Reformulated results framework for the CTF**

<b>Development goal</b>	Improved global public health and food security through; (1) improved provision of safer and more nutritious food, (2) reduced foodborne disease, and (3) access to international trade in food.
<b>Key objective</b>	Increased relevance <sup>13</sup> of Codex standards to developing countries.
<b>Outcome 1</b>	Widened participation in Codex
<b>Outcome 2</b>	Strengthened overall participation in Codex
<b>Outcome 3</b>	Increased availability of scientific evidence in Codex
<b>Output 1</b>	Participation sponsored
<b>Output 2</b>	Capacity building performed
<b>Output 3</b>	Scientific data produced

<sup>12</sup> See [http://www.who.int/foodsafety/codex/en/proj\\_doc\\_e.pdf](http://www.who.int/foodsafety/codex/en/proj_doc_e.pdf)

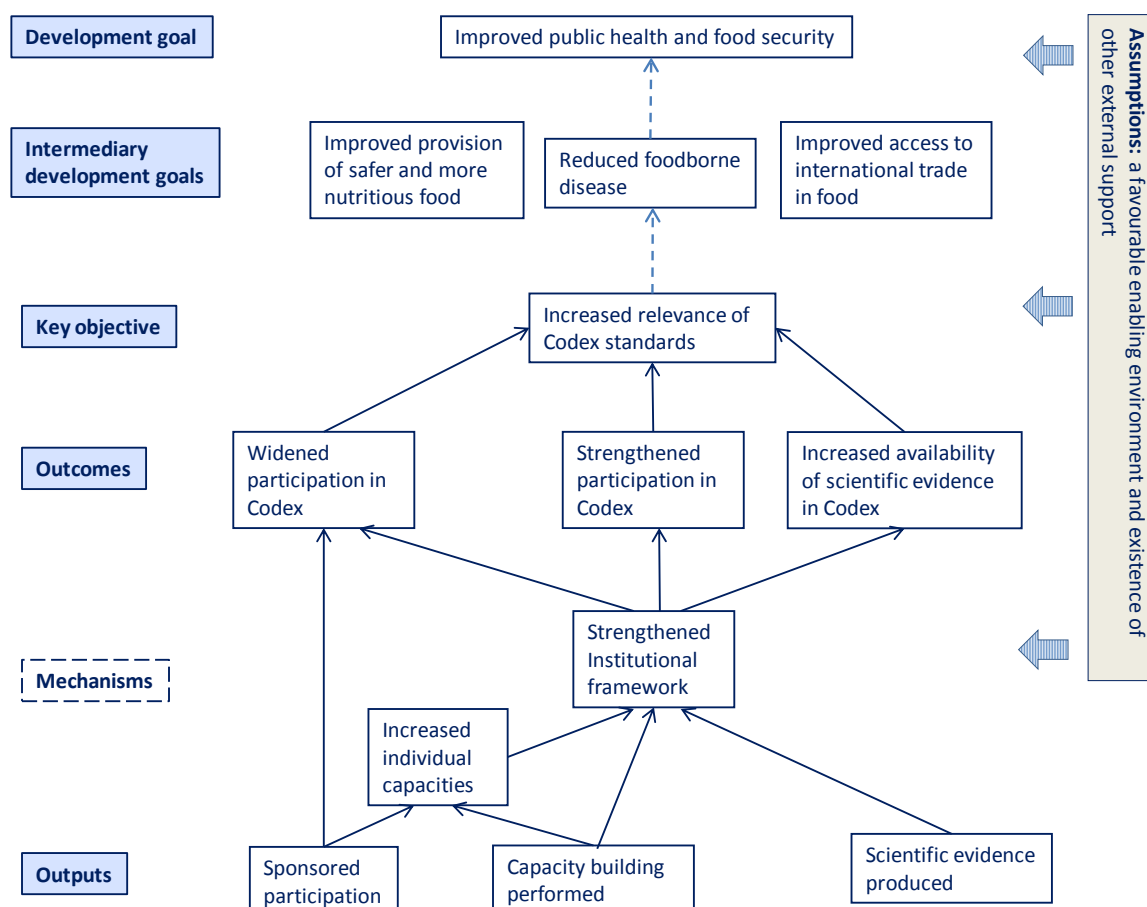
<sup>13</sup> When all member states are involved in shaping the programme of Codex work and subsequently developing Codex standards the resulting standards are assumed to be more inclusive, equitable, relevant and usable for the widest possible number of Codex member states.

The table corresponds to a traditional results matrix. It contains an overall development goal and a key objective, which is more closely related to CTF’s activities. It also contains a set of expected outcomes (the short- or mid-term effects of CTF activities) and outputs (the immediate results of CTF activities).

The programme theory goes further by being more explicit about the links between different results levels. Figure 1 presents a graphical representation of CTF’s programme theory. By necessity it provides a partial picture of the situation. The dotted arrows between the key objective and the development goal signify that the CTF can make only a limited contribution to the development goal, since attainment depends on many other external processes and activities. In the figure the contributions from all the three outcomes are considered to be needed for attainment of the key objective. It is also emphasized that the programme theory builds on a set of assumptions regarding a favourable enabling environment (bearing in mind that CTF also contributes to this by e.g. raising the profile and importance of Codex activities in countries) and other external support.

Of great interest for monitoring purposes is how outputs link to outcomes in the figure. It is reasonable to assume that sponsored participation has a direct effect on widened participation. However, the figure also shows that the two main activities of the CTF (sponsored participation and Codex training workshops) have a direct effect at individual level, but only an indirect effect on national institutional frameworks. The importance of the latter is clear; without sufficient commitment and capacities at national level, it is very unlikely that there will sustainable effects at outcome level in terms of widened and strengthened participation in Codex. It is also assumed that in order for any research results produced with CTF funding to contribute sustainably to Codex work, national administrations need to be involved.

**Figure 1 CTF programme theory**





This M&E framework distinguishes between monitoring and evaluation. Regular monitoring of CTF's activities is confined to the output levels and aspects of outcome levels. Since the Codex Trust Fund's activities have more direct influence on outputs and some outcomes, it is relevant to track data on these levels at regular intervals so that adjustments to CTF activities can be made if there is a need. In addition, this kind of data can be collected at relatively low cost. Assessment of the Codex Trust Fund's contribution to the key objective and development goals is more complex and costly to assess. Other external factors influence the extent to which the results can be achieved and time is needed for the necessary changes to occur. This kind of analysis is more appropriate for an external end of project evaluation.

### The monitoring system

The CTF's monitoring framework consists of a number of indicators at the output and outcome levels, in addition to a limited set of indicators of CTF management and administration. The indicators have been chosen to allow for regular (basically yearly) data collection and compilation. Efforts have been made to maintain a balance in terms of the number of indicators between results levels and CTF activities.

The indicators are summarized in Table 2. The indicators are grouped by results level and objective for easy reference. More information on the technical specifications of each indicator is included in Appendix 1.

**Table 2 Summary of the CTF's M&E indicators**

Results level	Indicators	Main responsibility for data collection
Output 1 (Sponsored participation)	1. Participations supported by CTF 2. Participants who are satisfied with their participation	CTF Secretariat CTF Secretariat*
Output 2 (Capacity building performed)	1. Participants at capacity development activities funded by the CTF 2. Participants who are satisfied with the capacity development activities	CTF Secretariat FAO/WHO
Output 3 (Scientific data generated)	1. Scientific data generated	FAO/WHO
Outcome 1 (Widened participation)	1. Graduate countries continuing to participate in Codex meetings after graduation 2. Participations in Codex meetings from all developing countries 3. Countries on 50% matched funding status meeting the requirement	CTF Secretariat CTF Secretariat CTF Secretariat
Outcome 2 (Strengthened participation)	1. CTF eligible countries submitting written comments to Codex 2. CTF eligible countries submitting complete applications on time 3. Institutional capacities of countries in place for effective participation 4. Participants in capacity development activities applying knowledge	Codex Secretariat CTF Secretariat CTF Secretariat* FAO/WHO
Outcome 3 (Increased availability of scientific data)	1. Scientific evidence contributes to Codex discussions	Codex Secretariat
Administration	1. Participants granted CTF support that fail to attend meetings 2. Satisfaction of beneficiaries	CTF Secretariat CTF Secretariat
Management	1. Satisfaction of stakeholders	CTF Secretariat

\* The CTF secretariat will collect the data, with support from FAO/WHO on analytical review of the findings

**The evaluation system**

The overall purpose of the evaluation system is to provide information on the results of the CTF project to the major stakeholder groups and managing bodies, including information on:

- 1) whether the objectives have been met;
- 2) whether there is an impact of the project;
- 3) how impact was created;
- 4) whether the project has made any difference;
- 5) whether the project activities should be followed up in some way after project completion and/or replicated elsewhere.

The monitoring system focuses on results at output and outcome level. The evaluation system will focus on results at two higher levels:

- 1) at the level of outcomes in relation to the project's key objective;
- 2) at the level of impact.

Assessing the impact is a complex undertaking as the relation between the project as a cause, and effects/results in terms of these goals, is a long chain. The nature of the goal is such that it is influenced by many other factors. This has consequences for the strategic approach to impact evaluation. The different options for how the end of project evaluation might be undertaken and timing will be presented to Codex Member States for their consideration prior to carrying out the final project evaluation.

## Appendix 1 - Codex Trust Fund Monitoring and Evaluation Framework Technical specifications for indicators

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

<b>Monitoring question</b>	How has the number of sponsored participations evolved?
<b>Indicator</b>	Number of participations supported by the CTF per country sub-grouping per year
<b>Data collection and source</b>	Access and compile list of sponsored participations in CTF Database 1

### *Output 1-2 Participants who are satisfied with their participation*

<b>Monitoring question</b>	Is the experience of participating in Codex meetings meaningful for participants in relation to future Codex work in their countries?
<b>Indicator</b>	Participants who are satisfied with their participation and likely to promote future participation in Codex
<b>Data collection and source</b>	Questionnaire to sponsored participants at Codex meetings with 10-15 questions that relate to attitudes, skills and knowledge gained from participation. Questions answered on a five grade scale. Sample: All sponsored participants in three meetings every year.

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

<b>Monitoring question</b>	How has the number of sponsored participants attending capacity development activities evolved?
<b>Indicator</b>	Number of participants per capacity development activity supported per year by CTF
<b>Data collection and source</b>	Access and compile list of sponsored participants in CTF Database 1

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

<b>Monitoring question</b>	Is the knowledge learned in Codex capacity development activities likely to be applied in national administrations in a way that promotes participation in Codex?
<b>Indicator</b>	Participants who are satisfied with the capacity development activities and likely to apply the knowledge in their national administrations
<b>Data collection and source</b>	Questionnaire to all CTF sponsored participants at the end of capacity development activities with 10-15 questions that relate to attitudes, skills and knowledge gained from participation. Questions answered on a five grade scale. Full results appear in training or workshop report. Analysis of compiled results reported in CTF annual M&E report Sample: All sponsored participants to all activities every year

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

<b>Monitoring question</b>	Has CTF contributed to improved input of scientific and technical data to Codex discussions?
<b>Indicator</b>	Data generated from CTF-supported projects
<b>Data collection and source</b>	Data collection following protocols established for project(s) and reported in project reports.

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

<b>Monitoring question</b>	Do CTF graduate countries continue to participate in Codex meetings when their participation is no longer sponsored by CTF?
<b>Indicator</b>	% of total graduate countries continuing to participate in Codex committees after graduation
<b>Data collection and source</b>	Retrieve data from the list of participants in the official reports of Codex meetings into CTF Database 2.

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

<b>Monitoring question</b>	Are there any overall changes in the extent of developing countries' participation in Codex?
<b>Indicator</b>	Total number of delegates from developing and transition economy countries participating in Codex meetings
<b>Data collection and source</b>	Retrieve data from the list of participants in the official reports of Codex meetings into CTF Database 2

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

<b>Monitoring question</b>	Are CTF eligible countries meeting their 50% matched funding requirement?
<b>Indicator</b>	Total number of CTF eligible countries on 50% matched funding status using 1 or more options to match the CTF support
<b>Data collection and source</b>	Access and compile list of countries on 50% matched funding status & no. of participations supported in calendar year from CTF Database 1. Access and compile list of non-CTF supported participations from CTF Database 2.

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

<b>Monitoring question</b>	How does engagement in Codex work of CTF eligible countries evolve?
<b>Indicator</b>	Submission of written comments to Codex committees by CTF eligible countries
<b>Data collection and source</b>	In committee reports as footnotes to the agenda items. Sample based on 5 committees selected on the basis of the most prioritized committees by the CTF eligible countries

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

<b>Monitoring question</b>	Are the CTF eligible countries increasing their capabilities to plan for and solicit support for participation in Codex committees?
<b>Indicator</b>	% of CTF eligible countries that are sending in a fully completed application and are up to date with their reports by 31 October <u>and</u> by mid-January
<b>Data collection and source</b>	Counting numbers of countries that meet the deadline, through the CTF applications tracking table (Excel database), by counting no. of "ALL COMPLETED" in comments column on the indicator dates.

***Outcome 2-3 Institutional capacities of countries***

<b>Monitoring question</b>	Do the institutional capacities of countries support effective participation in Codex meetings.
<b>Indicator</b>	Quality of preparation before, participation in and follow-up after meetings
<b>Data collection and source</b>	Obligatory participant reports submitted to the Codex Trust Fund using on-line DataCol system.

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

<b>Monitoring question</b>	Are participants in capacity development activities applying knowledge to strengthen their contribution to Codex standard-setting?
<b>Indicator</b>	% of participants in capacity development activities who state that they apply knowledge gained from activities
<b>Data collection and source</b>	Questionnaire 12 months after participation in a selection of capacity development activities to a sample of participants assessing application of attitudes, skills and knowledge gained.

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

<b>Monitoring question</b>	Does the scientific evidence contribute to the Codex decision-making process?
<b>Indicator</b>	Codex decisions in relevant committee(s) is/are based on a larger pool of scientific data generated from CTF-funded projects.
<b>Data collection and source</b>	Discussion paper(s) and/or report(s) of relevant Codex committee(s).

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

<b>Monitoring question</b>	Are the administrative procedures of CTF adapted to the needs and realities of its beneficiaries?
<b>Indicator</b>	% of participants granted CTF support that fail to attend the designated meeting for any reason
<b>Data collection and source</b>	Reason for non-participation entered into appropriate column on meeting worksheet on CTF master table of meetings (Excel database)

***Administration 2- Satisfaction of beneficiaries***

<b>Monitoring question</b>	Is CTF administration sufficiently responsive?
<b>Indicator</b>	% of beneficiaries satisfied with CTF administration
<b>Data collection and source</b>	Question/s included in obligatory participant reports submitted to the Codex Trust Fund in on-line DataCol system

***Management 1 Satisfaction of stakeholders***

<b>Monitoring question</b>	Is the CTF sufficiently responding to needs of Codex Member States for wide and effective participation in Codex?
<b>Indicator</b>	% of CTF stakeholders who are satisfied with the management of the CTF
<b>Data collection and source</b>	Survey to a sample of representatives from each major stakeholder group with questions on e.g.: 1) management; 2) whether CTF listens; 3) whether CTF responds to changing needs; 4) whether CTF remains relevant; 5) whether CTF allocates resources appropriately Use 5 point grading scale for responses.



**JOINT FAO/WHO FOOD STANDARDS PROGRAMME**

**CODEX ALIMENTARIUS COMMISSION**

**35<sup>th</sup> Session, FAO Headquarters,**

**Rome, Italy, 2-7 July 2012**

**MATTERS ARISING FROM FAO AND WHO**

**FAO/WHO PROJECT AND TRUST FUND FOR ENHANCED PARTICIPATION IN CODEX**

**CODEX TRUST FUND**

**FIRST TRANSITIONAL MONITORING REPORT**

**2011**

## Introduction

This document contains the transitional monitoring report of the FAO/WHO Project and Fund for Enhanced Participation in Codex (Codex Trust Fund or CTF). It follows the draft monitoring and evaluation (M&E) framework developed for the Codex Trust Fund as presented in CX/CAC 12/35/13 Part 2 (16<sup>th</sup> Progress Report of the Codex Trust Fund). This report is the first in what will now become a regular series of monitoring reports of the Codex Trust Fund. In subsequent years the monitoring report will appear as an annex to the Annual Report.

The monitoring reports aim to provide a results-oriented and easily accessible overview of CTF activities. The monitoring reports supplement information presented in the Annual Reports, but go beyond these by providing vital results-related information and more analytical narrative within a consistent programme theory of the Codex Trust Fund.

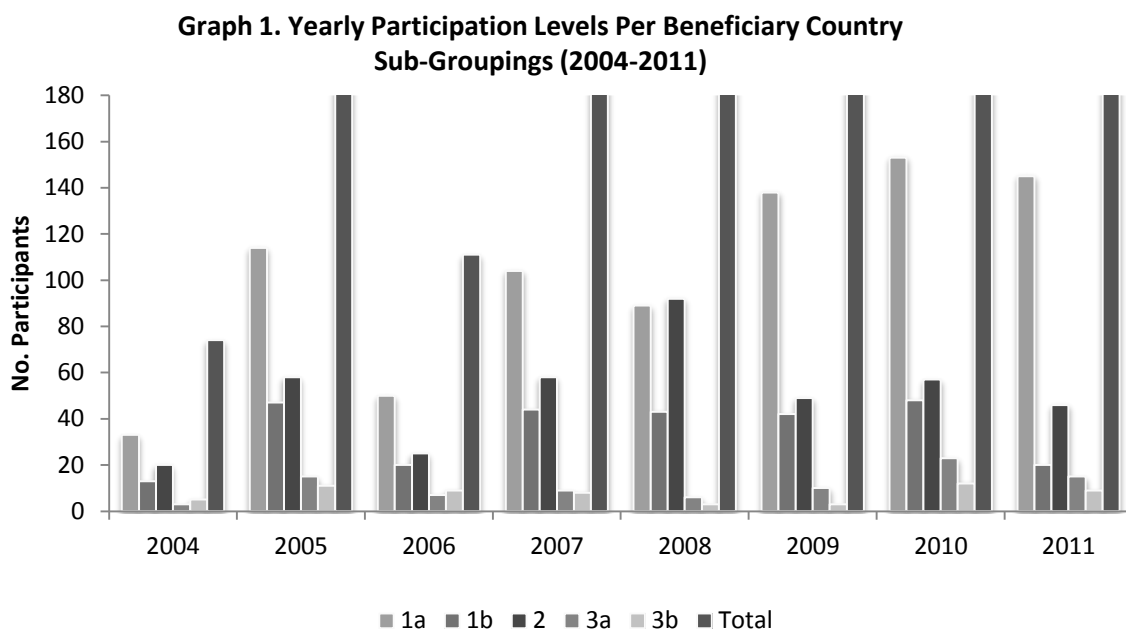
This first monitoring report is "transitional" in that it provides information based on data that is already being routinely gathered by the Codex Trust Fund Secretariat. Areas where data is not yet available and will be gathered for the first time in 2012 and 2013 have been noted. When full data is available for indicators at the end of 2012, the monitoring report will include an overview of the performance of the Codex Trust Fund, as well as a section highlighting implications for the management of the Trust Fund drawn from the annual monitoring exercise.

It is hoped that these reports will increase the transparency of CTF operations and, together with future monitoring and evaluation exercises, will contribute to the important discussion on the future focus and design of CTF-related support, as well as support to ensuring wide and effective participation of developing and transition economy countries after the end of the Codex Trust Fund lifespan.

## Monitoring data

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

<b>Monitoring question</b>	How has the number of sponsored participations evolved?
<b>Indicator</b>	Number of participations supported by the CTF per country sub-grouping per year.
<b>Overall assessment of progress</b>	<b>Highly satisfactory. Large and steady increase in sponsored participation</b>



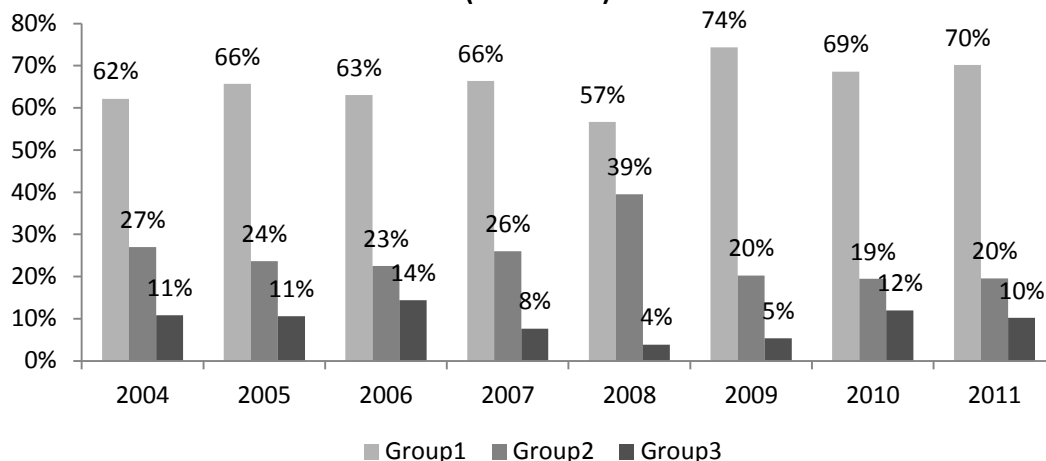
The total number of supported participations increased each year from 2004-2010 with the exception of 2006 as a result of a significant dip in financial contributions from donors. The decline in total participations in 2011 corresponds to the large number of countries that graduated in 2011 (26 countries). This trend is expected to continue until the end of the lifespan of the Codex Trust Fund as more countries graduate each year. This trend will not be totally offset by the number of countries that are brought back into the Codex Trust Fund as a result of the creation of the new Group 4 (created at the end of 2011 for the 2012 application process).

In December of each year the Consultative Group for the Trust Fund (CGTF) makes decisions on the number of participations to be supported for each country grouping based on the number of applications received from eligible countries and the resources available or expected during the coming year. These decisions take as their starting point a rough distribution of 60% to Group 1, 30% to Group 2 and 10% to Group 3. A scenario planning approach is then used to map out different options and identify a mix which optimizes use of resources to support a maximum number of participations, while remaining close to the 60/30/10 allocation. This then becomes the planning and implementation scenario used by the Codex Trust Fund Secretariat.

Graph 2 below shows the actual percentages allocated to the 3 country groupings for all years based on actual supported participation data. The percentages are quite close to the planned allocations for each year. For example the planned allocations for 2008 were 60/32/6; for 2009 were 73/22/5; for 2010 were 75/16/9 and for 2011 were 64/24/9. The low figure for the percentage of participations for Group 3 in 2008 may be explained by difficulties in travel administration for this grouping which resulted in lower overall supported participation rates. It will be possible to verify this assumption starting in 2012 by cross-checking the information from this indicator against information obtained in the indicator for Administration 1 (see below).

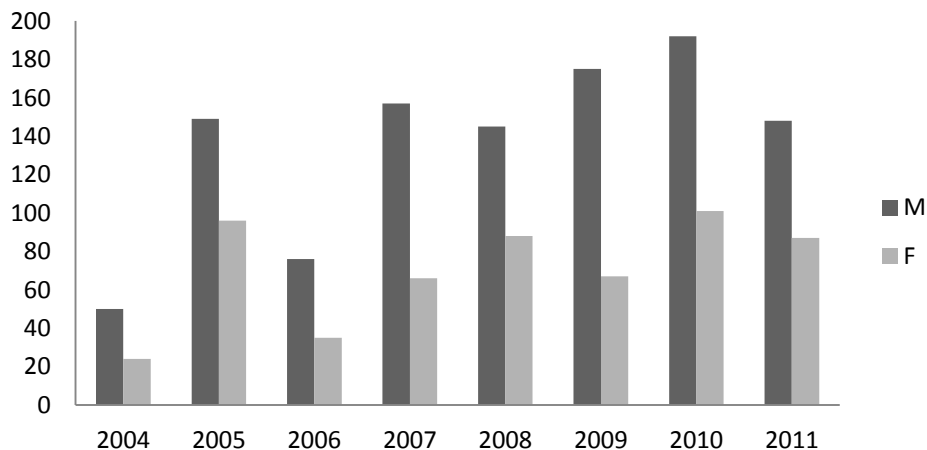


**Graph 2. Percentage of participation per country groups breakdown (2004-2011)**

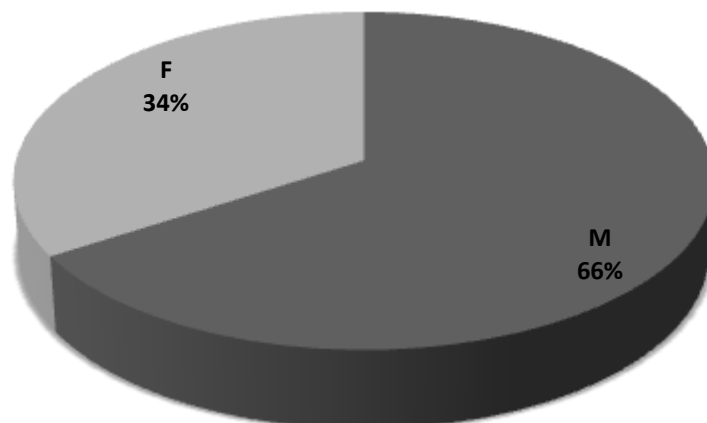


The breakdown of participations supported by sex of participants for the years 2004-2011 is indicated below. There is a persisting imbalance between the number of men and women supported by the Codex Trust Fund to participate in the work of Codex. As countries are responsible for nominating the delegates to Codex meeting that will be supported by the Trust Fund, redressing the gender balance is not within the control of the Codex Trust Fund. The possible impact of gender imbalance in participation in the work of Codex has not been studied. Codex Member States might like to consider whether this would be an important factor to consider, along with other criteria currently being used in the decision-making process, when decisions on delegates to Codex meetings are being taken at national level.

**Graph 3. The breakdown of participations supported by sex (2004-2011)**



**Graph 4. Total participations supported by sex (2004-2011)**



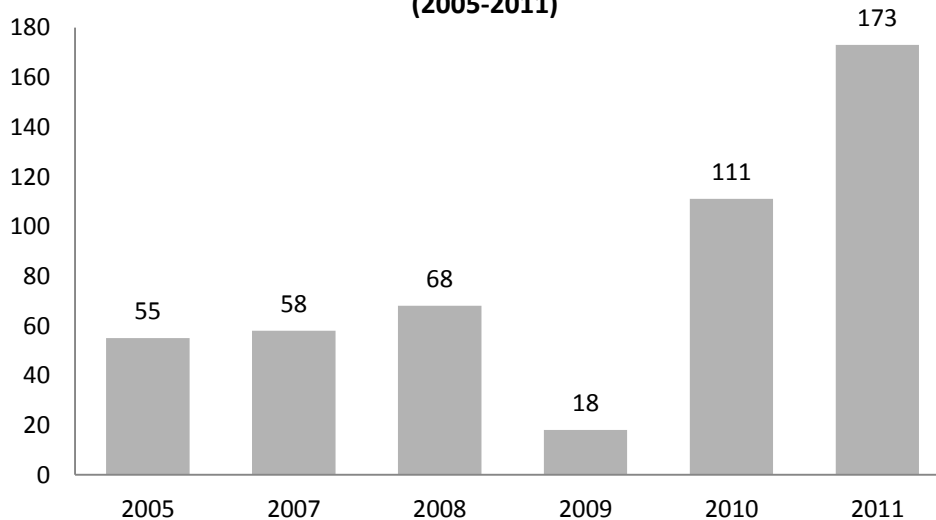
***Output 1-2 Participants who are satisfied with their participation***

<b>Monitoring question</b>	Is the experience of participating in Codex meetings meaningful for participants in relation to future Codex work in their countries?
<b>Indicator</b>	Participants who are satisfied with their participation and likely to promote future participation in Codex
<b>Overall assessment of progress</b>	<b>This indicator to be assessed in 2012 and reported in Annual Report 2012</b>

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

<b>Monitoring question</b>	How has the number of sponsored participants attending capacity development activities evolved?
<b>Indicator</b>	Number of participants per capacity development activity supported per year by CTF
<b>Overall assessment of progress</b>	Satisfactory. Increase in number of sponsored events and participant.

**Graph 5. Participants supported to training courses (2005-2011)**



	2005	2007	2008	2009	2010	2011
<b>Total participants</b>	55	58	68	18	111	173
<b>Total no. trainings</b>	1	3	3	1	5	5

**Graph 6. Percentage of participants supported by sex in Codex training (2005-2011)**

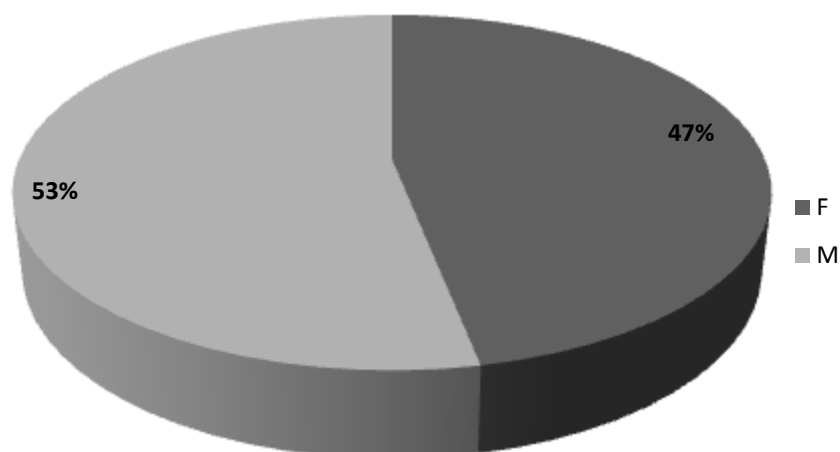


Table 1 and Graph 5 show a significant increase in the number of events and participants sponsored in 2010 and 2011. Prior to 2010 the Codex Trust Fund was supporting basic Codex trainings for all CTF-eligible countries in one region in line with the policy adopted by the Consultative Group of the Trust Fund. A change in direction was adopted in 2010, both to respond to the needs of countries in Codex regions for more tailored Codex training, as well as to the strategic shift to allocate more Codex Trust Fund resources to building the capacity of countries and regions to participate more effectively in Codex. Years where FAO/WHO regional coordinating committees have taken place are indicated in a footnote below<sup>14</sup> as the Codex Trust Fund is very often used to support FAO/WHO Codex training courses or workshops that take place in connection with the regional coordinating committees.

Overall percentages are provided in Graph 6 showing the breakdown by sex of participation in capacity development activities. This indicates an uneven representation of gender, but to a lesser extent than that of overall participations shown in Graph 4 under Output 1-1.

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

<b>Monitoring question</b>	Is the knowledge learned in Codex capacity development activities likely to be applied in national administrations in a way that promotes participation in Codex?
<b>Indicator</b>	Participants who are satisfied with the capacity development activities and likely to apply the knowledge in their national administrations
<b>Overall assessment of progress</b>	<b>This indicator to be assessed in 2012 and reported in Annual Report 2012</b>

<sup>14</sup> 2007 (CAFRICA, CCNE), 2008 (CAFRICA, CCASIA, CCEURO, CCLAC, CCNASWP, CCNE), 2010 (CCEURO, CCLAC, CCNASWP), 2011 (CAFRICA, CCNE)

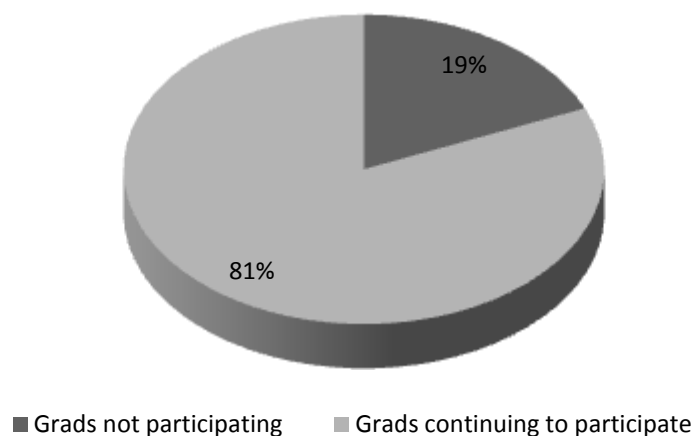
**Output 3-1 Scientific evidence generated in CTF eligible countries**

<b>Monitoring question</b>	Has CTF contributed to improved input of scientific and technical data to Codex discussions?
<b>Indicator</b>	Data generated from CTF-supported projects
<b>Overall assessment of progress</b>	<b>This indicator will be assessed for the first time six months after the end of current project to carry out data surveys on mycotoxins in sorghum in 4 countries.</b>

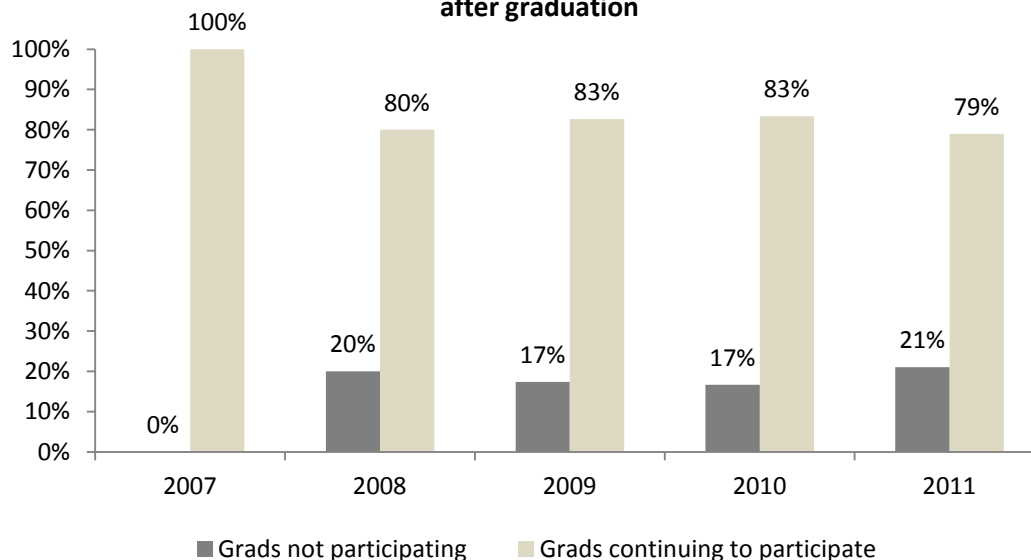
**Outcome 1-1 Graduate countries continuing to participate in Codex meetings after graduation**

<b>Monitoring question</b>	Do CTF graduate countries continue to participate in Codex meetings when their participation is no longer sponsored by CTF?
<b>Indicator</b>	% of total graduate countries continuing to participate in Codex committees after graduation.
<b>Overall assessment of progress</b>	<b>Satisfactory. Over 80% of countries continue to participate.</b>

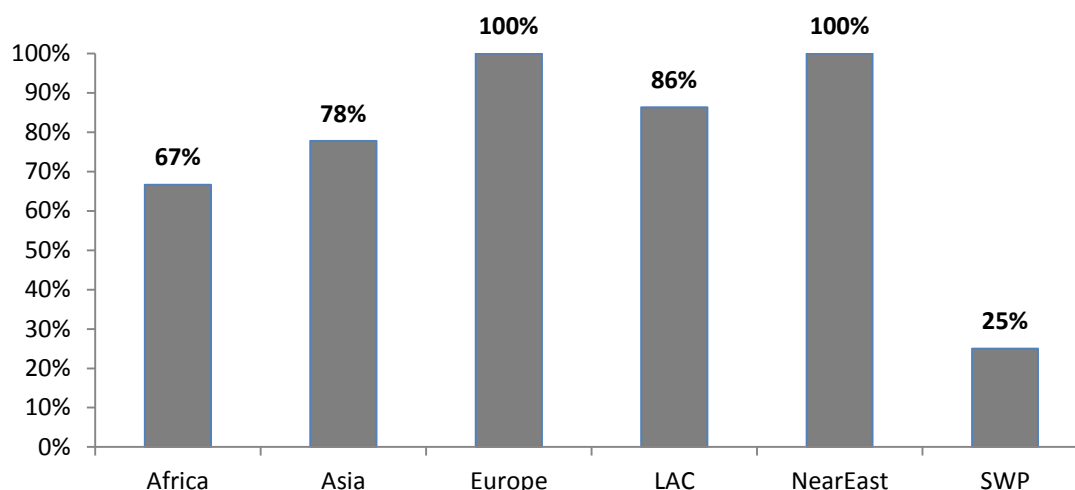
**Graph 7. Percentage of all graduates countries continuing to participate in Codex after graduation (2007-2011)**



**Graph 8. Percentage of graduates continuing to participate in Codex after graduation**



**Graph 9. Percentage of grads continue to participate per region (2007-2011)**



Region	Total no. of graduate countries
Africa	12
Asia	9
Europe	4
LAC	22
Near East	6
SWP	4

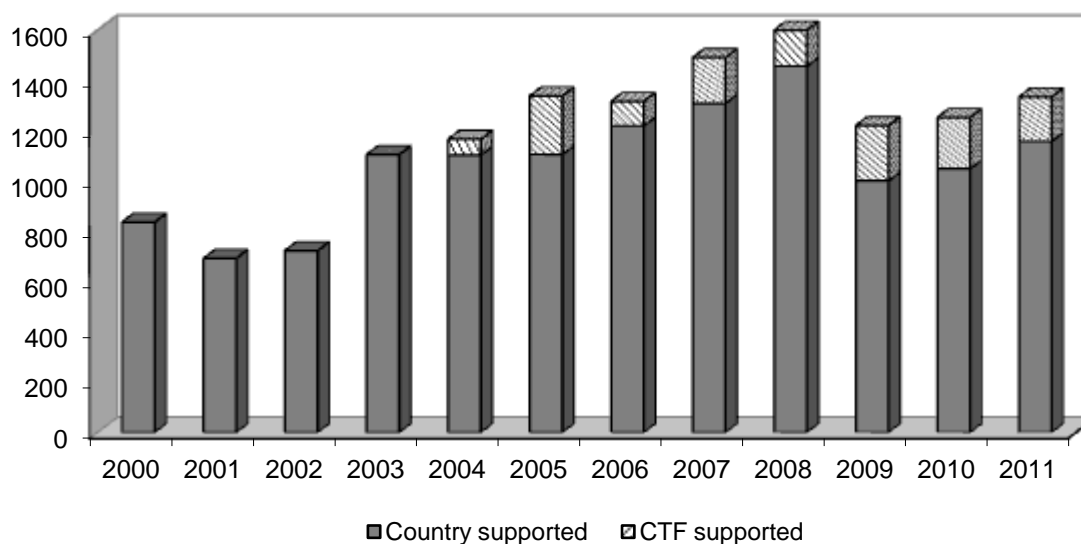
The data presented in the graphs above shows that, overall, 81% of graduate countries continue to participate in at least one Codex meeting in the years following graduation from the Codex Trust Fund. 2011 was a landmark year as 27 additional countries graduated from the Trust Fund; 51.8% of them from among the least developed and low income/low human development group. Despite this it is encouraging to note that 79% of all graduate countries still managed to sustain some participation in Codex. The vast majority of those countries who were not able to sustain participation have been brought back into the Trust Fund under the new Group 4.

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

<b>Monitoring question</b>	Are there any overall changes in the extent of developing countries' participation in Codex?
<b>Indicator</b>	Total number of delegates from developing and transition economy countries participating in Codex meetings
<b>Overall assessment of progress</b>	<b>Not satisfactory. Overall developing country participation has declined and proportion of participation supported by the Codex Trust Fund has increased</b>

<sup>15</sup> FAO/WHO Regional Coordinating Committees not included since years when regional coordinating committees take place always sees a higher participation on the part of developing and transition countries in their respective regional meeting.

**Graph 10. Total Number of delegates from developing countries participating in Codex meetings**



The graph above illustrates the important increases in developing country participation in Codex from 2003/2004 to 2008. A total of 1626 participations from developing countries were recorded in 2008 with 90% of these being self-funded participations (supported by countries using national resources or sources of funding other than the Codex Trust Fund), and 10% supported by the Codex Trust Fund. A significant decline is noted in 2009 where overall participations fell to 1220 and this tendency was confirmed in 2010 (1253 total participations), with a slight increase in 2011 (1334 participations). Codex Trust Fund support as a percentage of total support for these years was 18% (2009), 16% (2010) and 13% (2011).

The reasons for the lower levels of participation have not been analysed. It could be due to the recession starting in 2009, it could be related to patterns of trade and investment, and there could be significant differences between countries. Other questions relate to which developing and transition economy countries account for the majority of the decline in participation. While analyses of these questions might be of interest to Codex Member States, they would have to be investigated further outside of the Codex Trust Fund.

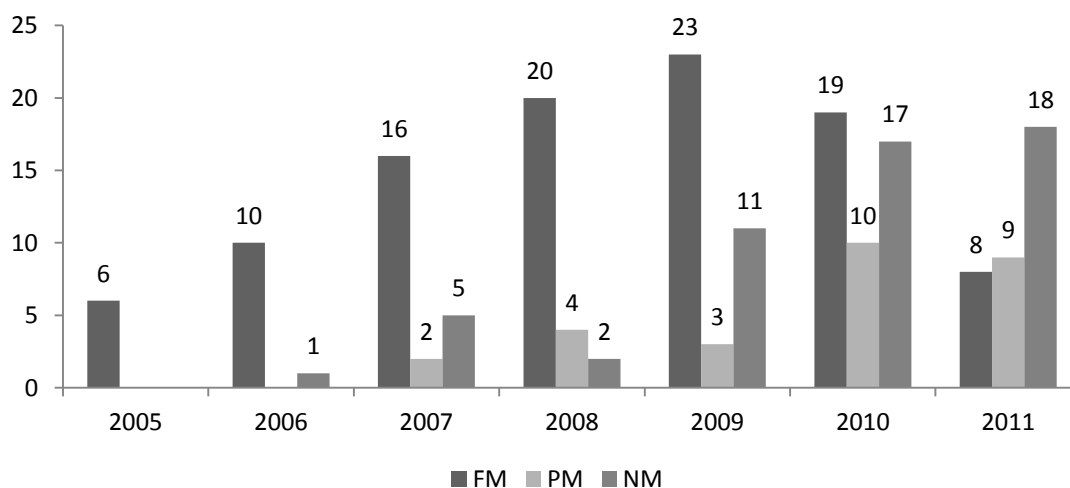
The goal of the Codex Trust Fund is to act as a catalyst to participation in Codex and to work with the parent bodies and Codex Member States to try and ensure sustained participation of developing and transition economy countries after the end of the lifespan of the Trust Fund. The target, therefore, should be to try and steadily increase the proportion of self-funded participations in the remaining years to reach 90% and above.

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

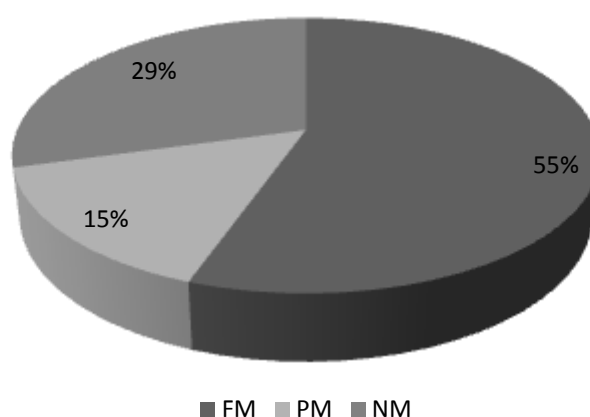
<b>Monitoring question</b>	Are CTF eligible countries meeting their 50% matched funding requirement?
<b>Indicator</b>	Total number of CTF eligible countries on 50% matched funding status using 1 or more options to match the CTF support
<b>Overall assessment of progress</b>	<b>Not satisfactory. Significant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

The number of countries on 50% matched funding status who fully met the matched funding requirement fell dramatically in 2010 and 2011. Out of 46 countries on 50% matched funding status in 2010, only 19 fully met the matched funding requirement<sup>16</sup>, 10 countries partially met the requirement, and 17 did not meet it at all (0 participations were self-funded during the year). In 2011 out of 35 countries on 50% matched funding status, only 8 met fully, 9 met partially, and 18 did not meet at all. The breakdown by country groupings indicates that Groups 1 and 2 are those that have the most difficulty in meeting the matched funding requirement. These countries will need to be watched closely as they move towards graduation to ensure that all measures are being taken at country level to put in place the political and economic support to ensure sustained participation in Codex.

**Graph 11. Total no. of countries on 50% matched funding status meeting the requirement (2005-2011)**



**Graph 12. Percentage of countries on 50% matched funding status meeting the requirement (2005-2011)**

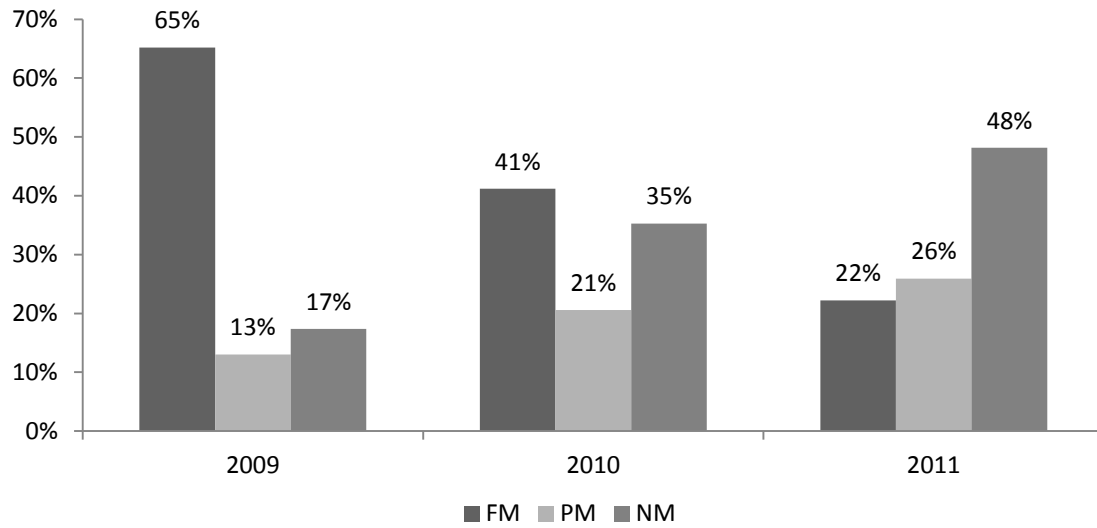


<sup>16</sup> Fully met requirement (FM): Group 1a & 1b = 3 self-funded participations during the year; Group 2 = 3 self-funded participations during the year; Group 3a & 3b = 1-2 self-funded participations during the year (depending on level of support from the CTF)

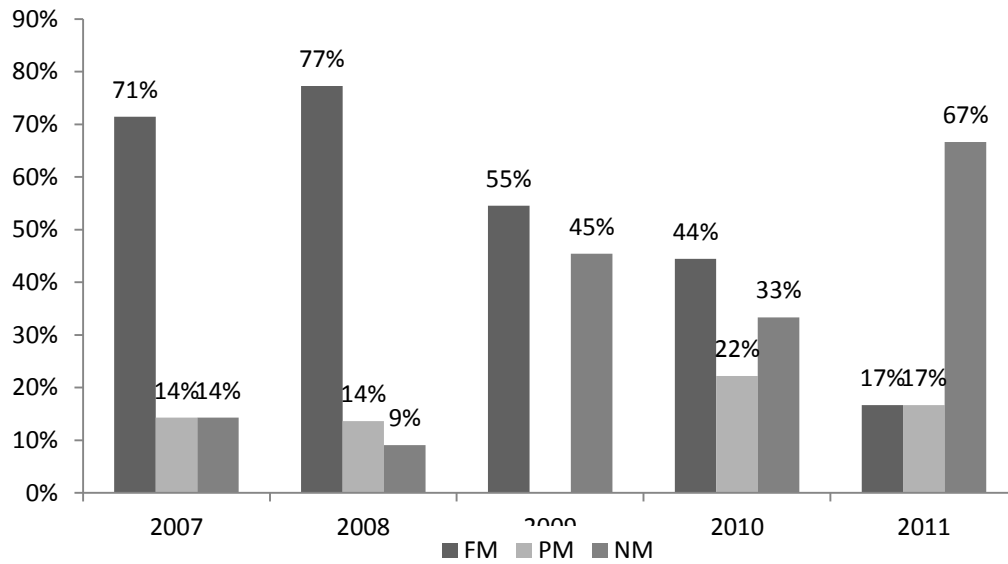
Partially met requirement (PM): Group 1a & 1b = 1-2 self-funded participations during the year; Group 2 = 1-2 self-funded participations during the year; Group 3a & 3b = 1 self-funded participation during the year.

Requirement not met (NM): 0 self-funded participations during the year (for all groups).

**Graph 13. Percentage of countries in Group 1 on 50% matched funding status meeting the requirement (2009-2011)**

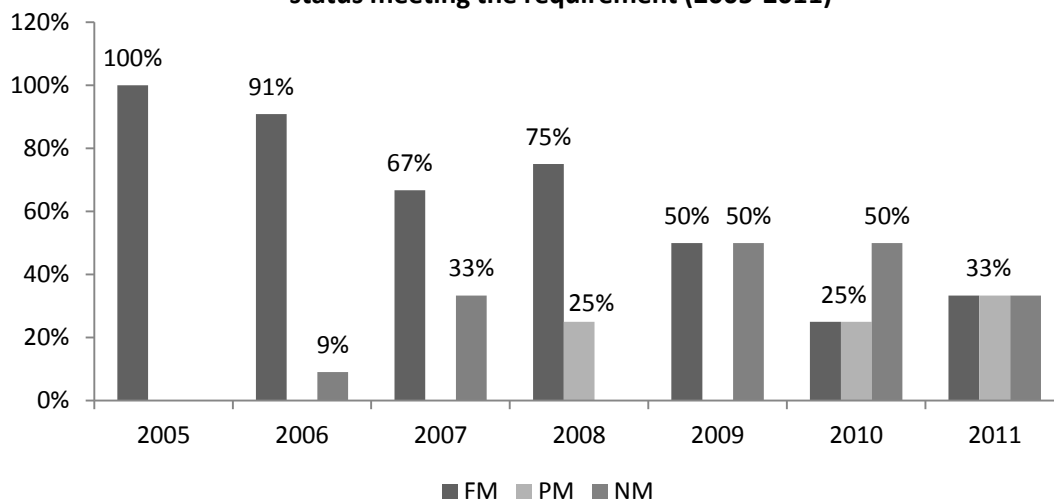


**Graph 14. Percentage of countries in Group 2 on 50% matched funding status meeting the requirement (2007-2011)**





**Graph 15. Percentage of countries in Group 3 on 50% matched funding status meeting the requirement (2005-2011)**



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

<b>Monitoring question</b>	How does engagement in Codex work of CTF eligible countries evolve?
<b>Indicator</b>	Submission of written comments to Codex committees by CTF eligible countries
<b>Overall assessment of progress</b>	<b>To be assessed in 2012 and reported in Annual Report 2012</b>

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

<b>Monitoring question</b>	Are the CTF eligible countries increasing their capabilities to plan for and solicit support for participation in Codex committees?
<b>Indicator</b>	% of CTF eligible countries that are sending in a fully completed application and are up to date with their reports by 31 October <u>and</u> by mid-January
<b>Overall assessment of progress</b>	<b>Baselines being established with 2011 &amp; 2012 application processes. To be reported on in Annual Report 2012.</b>

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

<b>Monitoring question</b>	Do the institutional capacities of countries support effective participation in Codex meetings?
<b>Indicator</b>	Quality of preparation before, participation in and follow-up after meetings
<b>Overall assessment of progress</b>	<b>To be analysed by CTF Secretariat/FAO/WHO in 2012 for reporting in Annual Report 2012.</b>

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

<b>Monitoring question</b>	Are participants in capacity development activities applying knowledge to strengthen their contribution to Codex standard-setting?
<b>Indicator</b>	% of participants in capacity development activities who state that they apply knowledge gained from activities
<b>Overall assessment of progress</b>	<b>To be assessed in 2013 (i.e. follow up to capacity development activities implemented in 2012) and reported in Annual Report 2013</b>

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

<b>Monitoring question</b>	Does the scientific evidence contribute to the Codex decision-making process?
<b>Indicator</b>	Codex decisions in relevant committee(s) is/are based on a larger pool of scientific data generated from CTF-funded projects.
<b>Overall assessment of progress</b>	<b>To be assessed at the session of the relevant Codex meeting taking place at least six months after the submission of the final project report with data and results of assessment to be reported in Annual Report for the relevant year.</b>

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

<b>Monitoring question</b>	Are the administrative procedures of CTF adapted to the needs and realities of its beneficiaries?
<b>Indicator</b>	% of participants granted CTF support that fail to attend the designated meeting for any reason
<b>Overall assessment of progress</b>	<b>Baselines to be established in 2012 and reported in Annual Report 2012.</b>

***Administration 2 - Satisfaction of beneficiaries***

<b>Monitoring question</b>	Is CTF administration sufficiently responsive?
<b>Indicator</b>	% of beneficiaries satisfied with CTF administration
<b>Overall assessment of progress</b>	<b>To be assessed in 2012 and reported in Annual Report 2012</b>

***Management 1 Satisfaction of stakeholders***

<b>Monitoring question</b>	Is the CTF sufficiently responding to needs of Codex Member States for wide and effective participation in Codex?
<b>Indicator</b>	% of CTF stakeholders who are satisfied with the management of the CTF.
<b>Overall assessment of progress</b>	<b>To be assessed in 2012 and reported in Annual Report 2012</b>

**JOINT FAO/WHO FOOD STANDARDS PROGRAMME****CODEX ALIMENTARIUS COMMISSION****35th Session, FAO Headquarters****Rome, Italy, 2-7 July****PILOT PROJECT TO ENHANCE PARTICIPATION IN THE EARLY DEVELOPMENT OF  
CODEX TEXTS AND PROMOTE EXCHANGE AMONG MORE EXPERIENCED AND LESS  
EXPERIENCED COUNTRIES**

This paper depicts a novel approach regarding the elaboration of Codex documents in technical areas that are challenging for countries with less experience, by engaging them in the work in a collaborative and participatory manner.

The pilot project was funded by the Codex Trust Fund (CTF) under Objective 2: Strengthening participation in Codex.

**Background**

The 43<sup>rd</sup> Session of the Codex Committee on Food Hygiene (CCFH) agreed to establish a physical Working Group (pWG) to continue the revision of the *Principles for the Establishment and Application of Microbiological Criteria for Foods* (CAC/GL 21-1997) and to elaborate practical examples on the establishment and application of microbiological criteria for different purposes to aid the revision of the Principles. This work had been identified within the CCFH as a relatively complex issue and one where new approaches needed to be considered to facilitate the development of the Codex texts in a manner that enabled broad participation and facilitated greater understanding of the issues under discussion.

In order to facilitate the active participation of less experienced countries in the elaboration of these practical examples, it was further agreed to pilot an initiative using a "mentoring" approach through the coupling of more experienced lead countries and/or observer organizations (*mentors*) with less experienced countries (*mentees*). Practical examples were developed by seven identified drafting teams comprising member countries and/or observers as either lead/mentor or contributor/mentee to allow for knowledge transfer and ownership of the process and the examples. The practical examples developed were discussed at the pWG held in Parma, Italy from 29 May to 1 June 2012. The Codex Trust Fund (CTF) provided support for mentees from CTF eligible countries to attend the pWG in Parma.

Selected FAO and WHO staff, including the Codex Secretariat and the CTF Secretariat, have supported this pilot mentoring initiative since the beginning to effectively plan, implement, and finally evaluate the usefulness of this initiative. This work included an assessment of delegates to be supported by the CTF to attend the physical meeting in Parma, and continuous assessment of the progress and results of this pilot initiative in order to gain insight into the strengths and weaknesses of approaches such as this and distill out the lessons to be learnt for consideration in designing future initiatives.

The drafting groups communicated mainly electronically. Two of the seven groups set up periodic group teleconferences to advance and explain certain key points as they progressed on their examples. Most of the

groups had a work plan with clear deadlines to meet. An FAO staff member participated in an observer capacity and also provided support to the groups on communication, procedural and technical issues as required.

At the end of the period for the elaboration of examples, the mentors and mentees were sent an online questionnaire for evaluation of the pilot initiative. This was followed up by focus group discussions at the pWG in Parma, Italy. An overview of these initial evaluation activities are provided below.

### **Preliminary results**

#### Feedback from less-experienced countries (*mentees*).

Overall, the mentees were very satisfied with the pilot initiative and in particular the quality of the mentors' work and their participation in the discussion. They noted that this activity had also enabled them to engage with colleagues/experts in their country at a much earlier stage in the development of a Codex document and facilitate a broader discussion of the issues at country level. The mentoring process was also reported as a valuable learning experience that had heightened their understanding of and ability to work with a complex subject area.

The mentees highlighted the sharing of knowledge, data and learning experiences with other countries on specific topics, and the identification of key national experts in the field for improved country discussion as the main advantages of the approach.

With regards to disadvantages, the participants requested additional support through the creation of a virtual library, enabling access to current references unavailable in their countries. They also stated that they would have liked more time for discussion on the subject matter.

The mentees called attention to how the mentor/mentee initiative and participation in the physical working group allowed for a very different kind of participation in Codex. In the traditional approach countries read the documents, discuss within their countries, define national positions and go to the Codex committee session with this national position. Participating in the mentoring initiative and the physical working group had allowed mentees to work on the documents from a bottom-up approach, improving the preparation for CCFH and leading the national process around the document in their own country.

The mentees stated that this approach might be most usefully applied in Codex for general subjects that affect almost all kinds of foods in all countries and for specific tasks of high complexity.

#### Feedback from the lead countries / observer organizations (*mentors*)

The mentors highlighted their overall satisfaction with the pilot. In addition to achieving the objectives, mentors had gained a greater understanding of the needs of specific countries and experience in using a mentoring approach to respond to these.

Feedback from the mentors also highlighted the commitment of mentees to contribute, but noted the range of experience and knowledge influenced the manner in which the work was undertaken and the rate of progress. However, overall it was considered that less experienced countries and more experienced countries, working together as a team, brought broader perspectives to the discussion and increased the knowledge of all involved.

Among the disadvantages expressed by the mentors were the formalities (e.g. NCC procedures) in some countries that can slow the momentum of the work, and the different languages and time zones which complicate "live" discussions.

Both mentors and mentees stated that they would take part in a mentoring process again and would recommend other countries to take part in this type of initiative.

Of particular importance is that both mentors and mentees noted that the initiative started out with the labels of "mentors" and "mentees" but that the collaboration had resulted in the disappearance of the hierarchical relationship possibly associated with these terms and created a feeling that all had been a "winner" in the process.

## Conclusions

The assessment of this pilot initiative at the time of writing has been very positive. Both mentors and mentees found that it had: achieved the desired outcome (drafting of seven examples of use of microbiological criteria); been an enriching experience; provided insights into how the Codex standard setting process works; had a number of positive side effects; could be considered as an approach to be used and/or adapted for future application in specific areas to advance Codex work.

The key learning points that FAO/WHO have drawn from the process are summarized below.

The mentoring approach as piloted:

- was successful in increasing knowledge and understanding of a complex, technical but important issue area in Codex (use of microbiological criteria) for standard development;
- was successful in achieving a specific outcome (drafting of seven examples of use of microbiological criteria);
- could be considered for use in other specific areas of Codex (particularly for enhancing knowledge and understanding of complex or technical issues) or adapted for use within already existing mechanisms for working on Codex documents (e.g. designating "mentor" countries within electronic working groups to play a role in enhancing knowledge, understanding and effective participation of countries in such groups);
- allowed for the development of relationships between mentors and mentees that continue beyond the exercise and can be used for exchange on any number of queries or issues related to participation in Codex.

Codex might wish to consider the replicability of this approach in CCFH and other Committees to promote understanding, applicability and ownership of Codex texts.

A full assessment of the project will be undertaken in two steps: (i) a short term evaluation focusing on the results and impact on the CCFH work on microbiological criteria; and (ii) a medium-long term evaluation on the replicability of the approach and its impact on effective participation.