

CODEX ALIMENTARIUS COMMISSION



Food and Agriculture
Organization of the
United Nations



World Health
Organization

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JOINT FAO/WHO FOOD STANDARDS PROGRAMME

CODEX ALIMENTARIUS COMMISSION

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FAO/WHO Codex Trust Fund 2017 Annual Report

A. INTRODUCTION

This report covers 2017, the second year of the new Codex Trust Fund. It highlights the key achievements and any lessons learned, and it provides a summary of technical, operational and financial aspects of the Codex Trust Fund activities in 2017.

B. KEY ACHIEVEMENTS AND MILESTONES IN 2017

- **Round 1 countries began implementation**

Ghana, Kyrgyzstan, Madagascar and Senegal all began implementation of project activities in 2017. A separate report on progress in countries and lessons learned to date can be found on CTF website: http://www.who.int/foodsafety/areas_work/food-standard/codextrustfund/en/index2.html

- **Round 2 successfully concluded**

Round 2 of the call for applications opened on 15 July 2017 with 103 countries eligible to apply (see Annex 1 for a list of eligible countries). The deadline for submission of applications in the on-line system was 15 October 2017. 32 applications were received in the on-line system by the deadline. Of these, 31 applications met the pre-screening criteria and were sent to the Technical Review Group for full assessment. Complete information on Round 2 can be found in Annex 2. The list of countries to be supported from Round 2 can be found in the 3rd Progress Report (CX/CAC 18/41/19 Add.1).

- **Learning from Round 1 incorporated into Round 2**

The Technical Review Group (TRG) and the CTF Secretariat drew out all the lessons learned from Round 1. Examples of areas that needed to be addressed included:

- simplification of application forms;
- harmonization of tools used by TRG to assess applications with the application forms;
- guidelines for the TRG to assist in assessment;
- more user friendly Diagnostic Tool.

Solutions were sought and modifications were made to processes and document prior to opening Round 2. Examples of changes included:

- streamlined and simplified application forms that were harmonized with TRG tools;
- modifications of the summary project document to include full information needed for project implementation;
- modification of TRG application assessment process to lighten and streamline the workload of the TRG.

- **Country progress highlighted at Codex Trust Fund side event at CAC40**

The Codex Trust Fund side event at CAC40 provided an opportunity for Codex member countries to exchange with Ghana, Kyrgyzstan, Madagascar and Senegal on what is happening in CTF-supported project countries, first results, the use of mentoring/twinning/partnering approaches, challenges in implementation and how countries are addressing these.

- **Assisting countries to prepare robust applications for support**

- A final information session was held at CCAFRICA22 to provide information on the scope, focus and activities of the new Codex Trust Fund and assist countries in using the Codex Diagnostic Tool and prepare robust applications.
- An informal meeting on the same was organized with eligible countries from the Codex Near East region at CCNE9.
- Virtual information sessions were posted on the CTF website for use by all countries at any time. See <https://youtu.be/AC5iQWXwvWc>.
- FAO's Food Safety Technical Network, in cooperation with the FAO Regional Office for the Latin America and the Caribbean, the WHO Regional Office for the Americas (PAHO), and the Inter-American Institute for Cooperation on Agriculture (IICA), organized a webinar for English-speaking countries of the Caribbean on 24 March 2017 to assist countries in making the best use of the Codex Diagnostic Tool. A recording of the webinar can be accessed at <https://youtu.be/WMAolqrDo2Q>.
- The Commission of the Economic Community of West African States (ECOWAS) with support from USAID hosted a regional workshop from 11-15 September in the Gambia to assist countries in building their capacity to submit robust applications to the Codex Trust Fund. The workshop drew on the support of Ghana and Senegal (countries being supported from Round 1) who undertook hands on work with countries to coach them in preparing and submitting high quality applications.

- **Mentoring, partnering and coaching countries from Round 1**

A number of countries were involved in activities aimed at assisting countries implementing CTF-supported projects in 2017:

- Kyrgyzstan - In November 2017 Kyrgyzstan visited The Netherlands for a seminar and study visit of four days including: 2 days of discussions on the functioning of Codex, the principles of risk management, the work in different committees, how to take part in Codex and where to find information; a visit to the headquarters of the European Union in Brussels to understand the role of the European Union in Codex; a visit to Rotterdam harbour to understand how food import and sampling in the Netherlands is organised in practice.
- Ghana – FAO-Ghana and FAO-HQ organized a series of video conferences during which Canada, the Netherlands, the United States of America (USA), FAO and the Codex Secretariat provided guidance and insights into the development of the new Codex Ghana website. The USA also contributed to the first review of the Ghana Codex procedural manual..
- Senegal – Canada is assisting Senegal to reinforce their participation in and contribution to priority Codex meetings. The Canadian and Senegalese teams held a joint working session on the margins of the CCFH49 in order to exchange on the conditions for effective participation in Codex work, and avenues for collaboration between the two countries to strengthen the functioning of the National Codex Committee in Senegal.

The Codex Trust Fund expresses its sincere appreciation for the in-kind support from IICA, ECOWAS, USAID, Ghana, Senegal, Canada, the Netherlands, and the United States of America in the above activities.

- **The governance structures continued to function effectively in 2017**

- Advisory Group meetings. Two meetings of the Advisory Group were held in 2017. Members of the Advisory Group gave input to the Steering Committee on: current work and vision for CTF; funding options; high level elements of the Monitoring and Evaluation framework and; support from different actors to Codex capacity-building. Reports of the Advisory Group can be accessed at <http://www.who.int/foodsafety/publications/codex/CTFKeyDocuments/en/>.

- Steering Committee meetings. Summary notes can be accessed at <http://www.who.int/foodsafety/publications/codex/CTFKeyDocuments/en/index1.html>

- **Fundraising continued to be a focus area in 2017**

- The new multi-year agreement with the Netherlands came into effect and a substantial contribution from Ireland channeled through FAO were welcome additions to meeting the needs of 2017 and reducing the funding gap for 2018.
- Discussions continued or were initiated with a number of donors on the best way of moving contributions into development or trade sectors to enable access to higher contribution amounts and multi-year funding.
- The Codex Trust Fund commissioned Daryl Upsall and Associates, a specialist fundraising consultancy firm, to undertake:
 - An internal assessment to determine the level of “preparedness” of the CTF and its leadership to embark on a more strategic fundraising programme in order to achieve the stated aims of the programme;
 - Research into private foundations and the Asian Development Bank to determine if there may be an interest in the work of CTF;
 - Internal and external interviews to identify opportunities and barriers for CTF to increase its fundraising.

The executive summary of the report, with key findings, can be found at http://www.who.int/foodsafety/areas_work/food-standard/codextrustfund/en/index3.html

FAO, WHO and Codex Secretariat management and technical officers continue to be fully engaged in ensuring the optimal management and operation of CTF2. Many in-kind resources are made available to the Codex Trust Fund from each of the three entities. Technical support to and project management of CTF-supported countries is ensured by FAO and WHO officers at headquarters and regional level and constitutes resource inputs including staff time and travel. FAO, WHO and Codex Secretariat officers spend considerable time providing input to all CTF governance structures. The Codex Secretariat provides resources to cover interpretation costs at meetings of the Advisory Group and translation costs for some CTF documents. The communications team in the Codex Secretariat provides input for CTF communication materials.

While it would be difficult to quantify, all of these human, technical and financial resources add value to the Codex Trust Fund and help multiply the impacts that can be achieved with donor inputs. They ensure that CTF work is fully embedded within and supporting Codex and wider food safety work that is being undertaken FAO and WHO, and they ensure that CTF is aligned with and contributing to the achievement of the Codex strategic plan.

- **Communication**

The Codex Trust Fund enhanced the use of different communications tools in 2017 to: highlight activities in CTF-supported countries; make closer connections with work of the Codex Secretariat in advocating for and promoting Codex work; increasing donor visibility; involving stakeholders in the work of the Codex Trust Fund. Communications activities included the following:

- The Codex Trust Fund website was revamped and updated prior to CAC40 (see http://www.who.int/foodsafety/areas_work/food-standard/codextrustfund/en/)
- A CTF e-Newsletter was designed and a first test issue disseminated in April 2017. Use of the Campaign monitoring software allowed the CTF Secretariat to assess the costs and benefits of this channel of communication. The result was not considered favourable and the e-Newsletter was discontinued in favour of using the CTF website for communication.
- The CTF Community site was launched in 2017 as an open platform to share knowledge and tips on the Codex Trust Fund with all interested parties. For more information on the Community site see the

3rd Progress Report and sign up at

<https://workspace.who.int/sites/CodexTrustFund/Community/SitePages/Welcome.aspx>.

- Production of a video highlighting the kind of activities that the Codex Trust Fund supports in countries by the Codex Secretariat communications team, see on https://youtu.be/90snDA_8n5Y
- Increasing use of social media especially Twitter to highlight Codex Trust Fund news, including contributions from donors on @CMulholland_WHO, @FAOWHOCodex and @FAO4Members.

C. MONITORING AND EVALUATION

Work on an M&E framework continued in 2017. Of particular note was the input received on the high level elements of the framework from members of the Advisory Group during and after their 4th meeting. More information on the M&E framework and use during 2018 can be found in the 3rd Progress Report.

For 2017 the CTF Secretariat continued to monitor the medium term impacts of the support provided by CTF1. The results are presented in Annex 3.

D. UPDATE ON THE FOOD CONSUMPTION SURVEY PROJECT (Initiated under CTF1)

In December 2015 the first Codex Trust Fund signed a contribution agreement with the European Commission to carry out a project to increase and harmonize individual food consumption data for exposure assessment in selected ASEAN countries in the Codex Asian region. The aim of the project is to improve the assessment of nutrient intake and dietary exposure to chemical and biological agents in food in support of international and national standard-setting. The project started in January 2016. In 2017 it was agreed with the European Commission to extend the end of the project to June 2018. FAO and WHO officers at headquarters provide technical and management oversight on this project. Activities carried out in 2017 are highlighted below:

- *Food consumption survey in Lao PDR:*

The second round of data collection (dry season) was conducted during the period on 13 March to 20 May 2017 and involved a total of 1024 respondents in six provinces.

Data were analysed as follows:

- Mean \pm SD and Percentiles of food intake in grams per person and per kilogram of body weight per day for the whole population and eaters only were calculated
- Mean \pm SD and Median (Min, Max) of the macro and micro-nutrient content were analyzed from INMUCAL program in per capita and eater only.
- Data on weight and height were analyzed using WHO Anthro 2006 for children under 5 years old and WHO AnthroPlus 2007 for those aged 5 years and over.

FAO and WHO technical staff travelled to Lao PDR in July 2017 to discuss the dissemination of results within the Lao administration so that they can know, understand and use the data collected. Raw data were submitted to FAO and WHO for integration in the GIFT and CIFOCCoss databases.

- *Regional harmonization of food consumption data:*

- A Workshop was organized on 3-4 July 2017 in Mahidol University, Bangkok, Thailand to demonstrate how the harmonized data can be used to better serve the purposes of ASEAN countries and ASEAN region. About 20 participants from five ASEAN countries and technical staff from FAO and WHO participated in this event.

- A meeting was also organized on 6 July in Putrajaya (Malaysia) for the FAO/WHO staff to support the use of harmonized data by the ASEAN Risk Assessment Centre (ARAC).
- Data from Philippines, Malaysia, Indonesia and Thailand should be integrated in the FAO/WHO databases during the first half of 2018.

E. FINANCIAL REPORTING

This section gives information on the income and expenditure in 2017. Separate financial information is provided on the food consumption survey project as income and expenditure for this specific project is managed separately from other funding for the activities of CTF2. Staff cost and administrative costs associated with the CTF Secretariat are common to both and appear under the overall CTF2 financial reporting.

• CTF2 income and expenditure 2017

To provide a complete financial picture, this section gives financial information on:

- Funding carried over at the end of December 2016;
- Contributions received in 2017;
- Expenditures on CTF2 in 2017;
- Expenditures on the Food Consumption Survey.

On 1 January 2017 there was a positive balance of US\$ 637,116 which was carried over from 2016. During the period January – December 2017, a total of US\$1,105,504 was received as contributions from seven member countries and the European Union (see table 1)

Canada	45,802
European Union	249,737
Germany	54,289
Japan	146,643
Netherlands	424,628
New Zealand	16,654
Switzerland	17,751
United States	150,000
Total	1,105,504

Expenditure recorded from Codex Trust Fund for the same period from 1 January – 31 December 2017 totalled US\$ 700,290, including Programme Support Costs (PSC). A breakdown of expenditure into budget categories appears in Table 2 below.

Table 2	
Expenditures 1 January-31 December 2017	
(\$US)	
Support to countries	119,622
Project Administration ¹	45,549
Staff Cost	467,195
Programme support cost (PSC)	67,924
Total (including PSC)	700,290

2017 was the second year of existence of the new FAO/WHO Codex Trust Fund (CTF2). The operational phase of CTF2 was initiated in 2016 with Round 1 of the “call for applications”. Countries which were successful in Round 1 finalized their summary project documents in 2016 and the first half of 2017. Funding began to flow to project countries in 2017 for the first phases of implementation as funding is released in tranches against deliverables for each phase. This explains the fact that the majority of expenditures recorded in 2017 were for salary costs to keep the Codex Trust Fund Secretariat operating as can be seen from Table 2 above.

- ***Food consumption survey project income and expenditures 2017***

In December 2015, an agreement was signed with the European Commission to provide funding for the food consumption survey for a total contribution of EUR 350,000 (US\$ 384,615). The second pre-financing of a total EUR 105,000 (US\$119,453.92) was received in July 2017 which brought total funding receipts to EUR 210,000 (US\$ 233,336). The total eligible expenditures as at 31 December 2017 were US\$ 280,178 (including PSC).

¹ Includes: staff travel, IT equipment, translation, consultancies, communications (telephone, printing, mailing)

Annex 1

List of Codex Trust Fund eligible countries as at 4 May 2017

103 eligible countries, subject to change with new Codex members or change in status of countries currently eligible, includes all countries with low & medium HDI, other low or middle income SIDS and LLDCs with high HDI, LDCs & LICs are indicated in **bold font**
 Changes from previous version: Nauru no longer eligible due to high income status.
 Transition measures will be available for countries whose eligibility status has changed.

Codex region					
Africa (48)	Asia (15)	Europe (9)	Latin American & Caribbean (17)	Near East (5)	South-West Pacific (9)
Angola, Benin, Botswana, Burkina Faso, Burundi, Cabo Verde, Cameroon, Central African Republic, Chad, Comoros, Congo Rep., Côte d'Ivoire, DR Congo, Djibouti, Eritrea, Ethiopia, Equatorial Guinea, Gabon, Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Lesotho, Liberia, Madagascar, Malawi, Mali, Mauritania, Mauritius, Morocco, Mozambique, Namibia, Niger, Nigeria, Rwanda, Sao Tome and Principe, Senegal, Sierra Leone, Somalia, South Africa, South Sudan, Swaziland, Togo, Uganda, United Rep. of Tanzania, Zambia, Zimbabwe	Afghanistan, Bangladesh, Bhutan, Cambodia, DPR Korea, India, Indonesia, Lao PDR, Maldives, Mongolia, Myanmar, Nepal, Pakistan, Philippines, Vietnam	Armenia, Azerbaijan, Kazakhstan, Kyrgyzstan, FYR of Macedonia, Republic of Moldova, Tajikistan, Turkmenistan, Uzbekistan	Belize, Bolivia, Cuba, Dominica, Dominican Rep., El Salvador, Grenada, Guatemala, Guyana, Haiti , Honduras, Jamaica, Nicaragua, Paraguay, St. Lucia, St Vincent & the Grenadines, Suriname,	Egypt, Iraq, Sudan, Syrian Arab Rep., Yemen	Cook Islands, Fiji, Kiribati , Micronesia (FS of), Papua New Guinea, Samoa, Solomon Islands , Tonga, Vanuatu

Abbreviations:

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

Sources of information:

http://www.un.org/en/development/desa/policy/cdp/ldc/ldc_list.pdf
http://hdr.undp.org/sites/default/files/2016_human_development_report.pdf
<http://data.worldbank.org/about/country-and-lending-groups>
<http://unohrrls.org/about-sids/country-profiles/>
<http://unohrrls.org/about-ldcs/country-profiles/>

Annex 2

Information on the second application round

The second round of applications opened on 17 July 2017 with 103 countries eligible to apply. The deadline for submission of applications in the on-line system was 15 October 2017.

The application process consists of the following steps:

- Applications submitted in on-line system
- Pre-screened by CTF Secretariat according to criteria
- Sent to FAO/WHO Regional Officers for comment
- Assessed by Technical Review Group according to criteria
- Recommendations of TRG sent to Steering Committee
- Deliberation and final decision by SC
- Countries notified of decision by SC

In the second application round 32 applications were received, including one group application, from all Codex regions. 31 applications met the pre-screening criteria which are as follows:

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

One application did not meet the pre-screening criteria as additional documents required were not submitted in the on-line system.

The regional breakdown of completed applications was as follows:

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

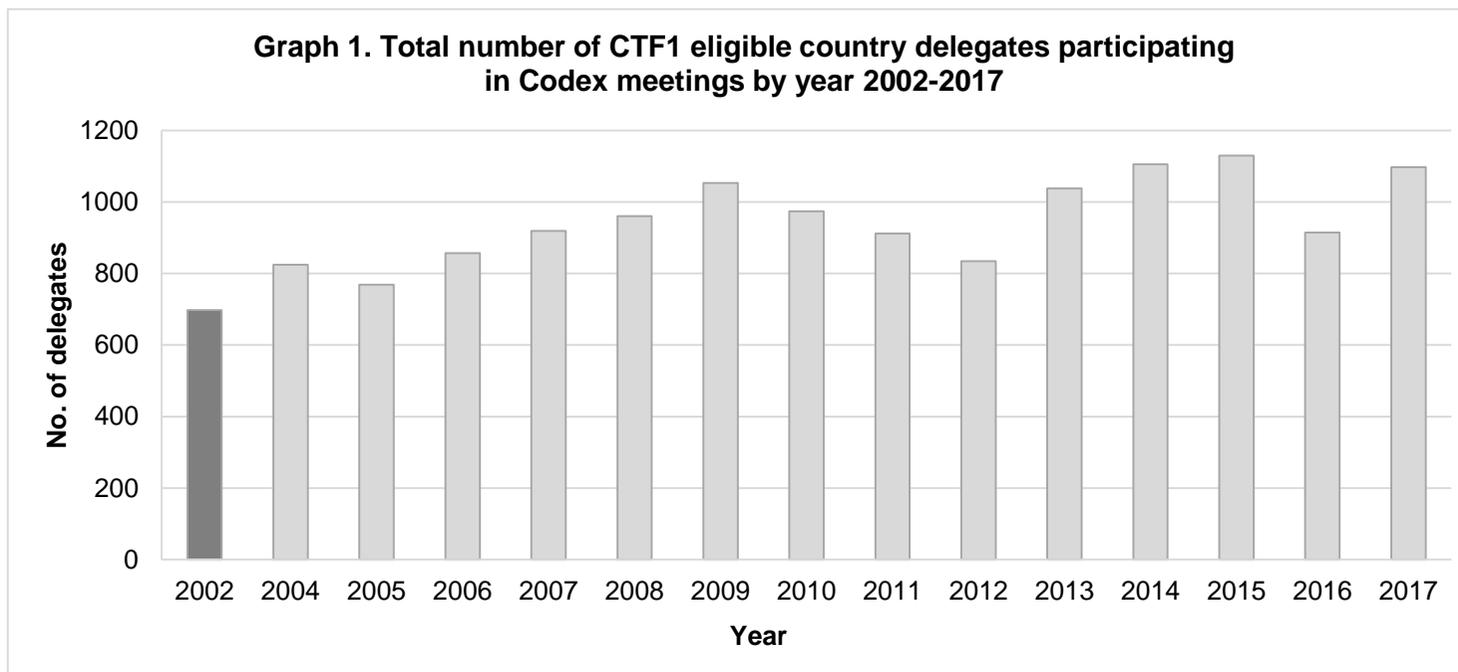
30 individual country applications and one group application were sent to FAO/WHO regional food safety advisers for comment. A consultant/expert carried out an initial assessment of all applications received and this was made available to the Technical Review Group. Applications were assessed according to the following criteria:

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

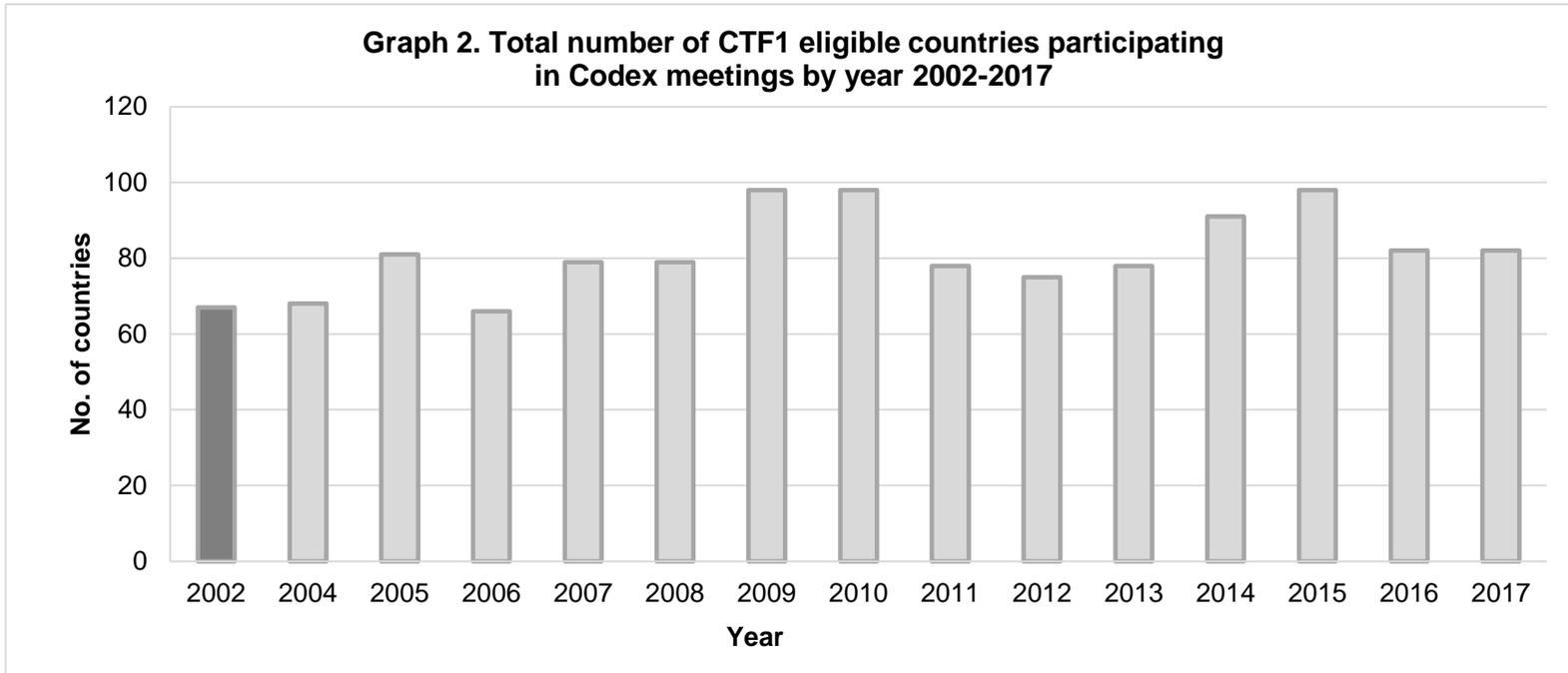
Recommendations of the TRG were sent to the Steering Committee for deliberation.

Annex 3**Monitoring of medium term impacts CTF1**

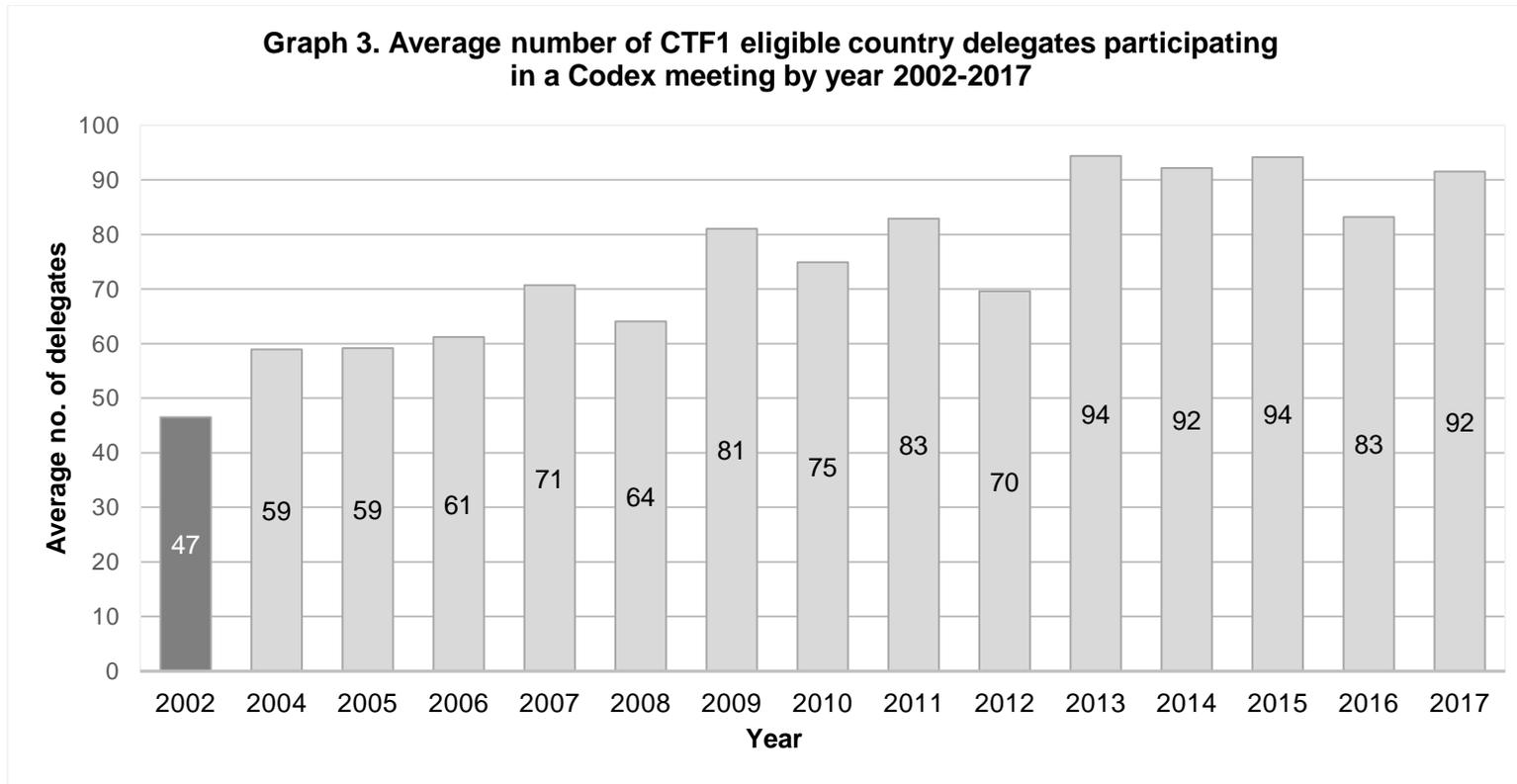
In the analyses below, the figures from 2002 are used as the baseline data before the CTF1 started to support eligible countries. They serve as a yardstick to measure the figures obtained after the closure of CTF1. All data used for the graphs is based on participation in Codex Committees and is exclusive of the Codex Alimentarius Commission (CAC), the Executive Committee (CCEXEC), Working Groups and FAO/WHO Regional Coordinating Committees.



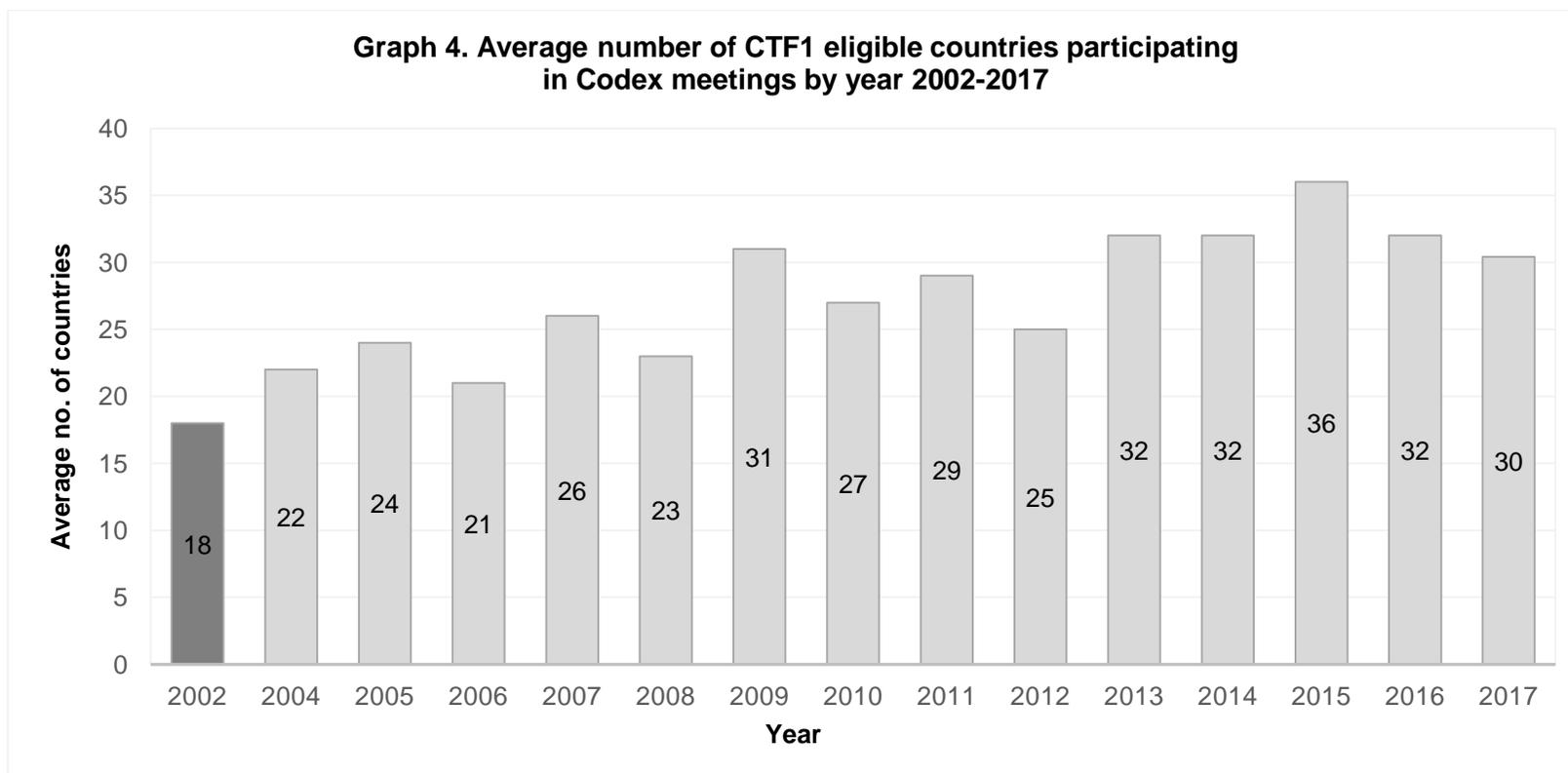
A small drop in the number of CTF1 eligible country delegates participating in Codex meetings was recorded in 2016 (the first year of CTF2). This decline may have been related to the lower number of Codex meetings in 2016. Graph 1 shows that the decline was reversed in 2017 and number of delegates participating have returned to the high levels recorded in 2009, 2013-2015.



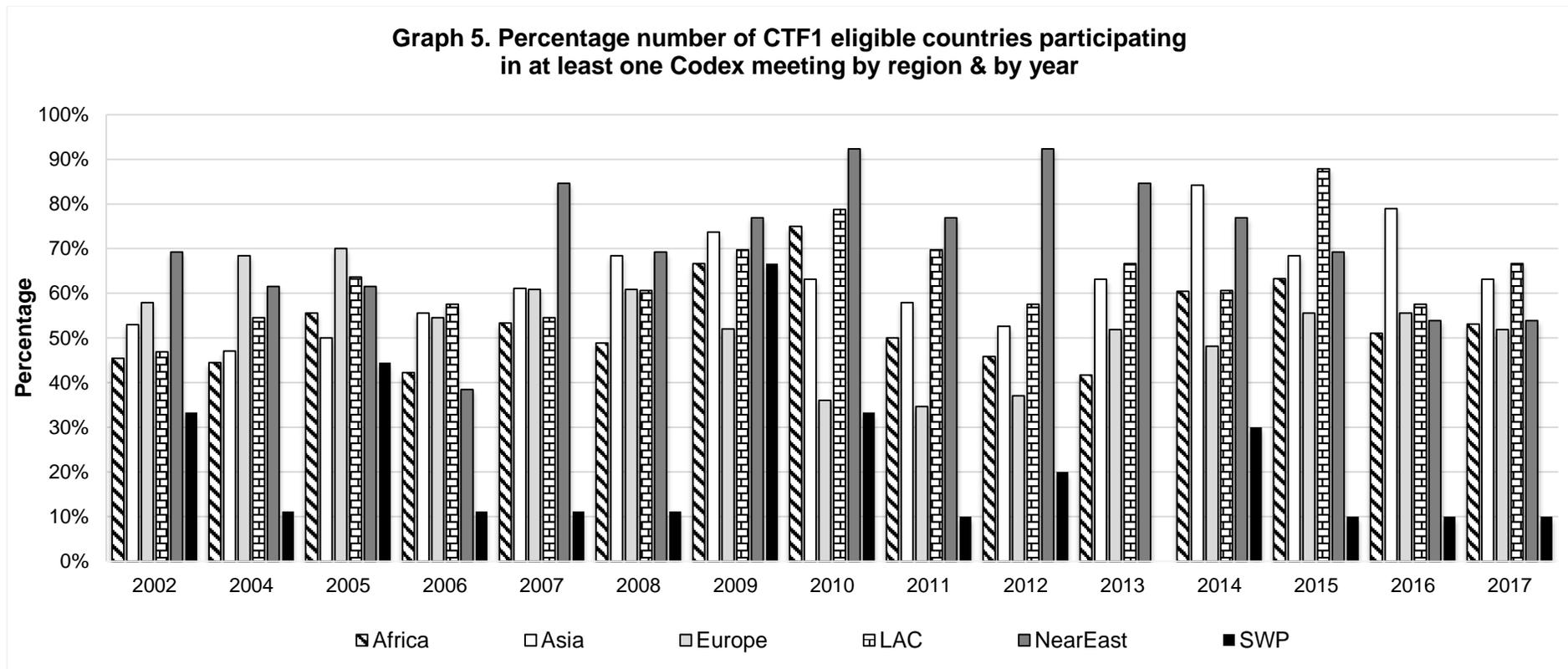
Graph 2 indicates that the number of CTF1 eligible countries participating in Codex meetings continues to remain steady and within the trend over the period 2004-2017.



The average number of delegates from CTF1-eligible countries participating in a Codex meeting each year rose again to over 90 in 2017 confirming a positive trend. The average number of delegates from these countries has almost doubled since the baseline of 47 in 2002.

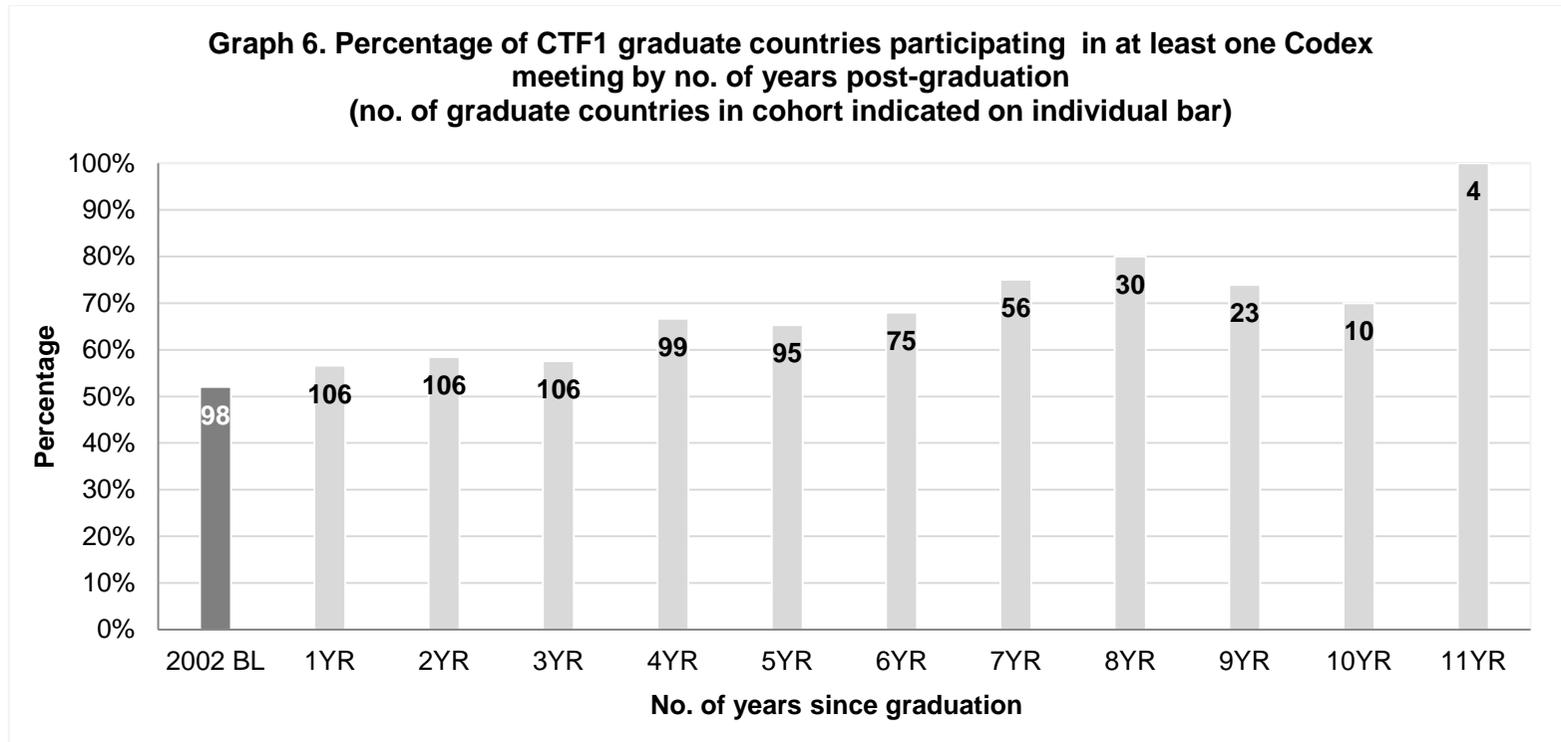


In 2017 the average number of CTF1-eligible countries participating in Codex meetings dipped slightly to 30. The progression of this trend will be monitored.

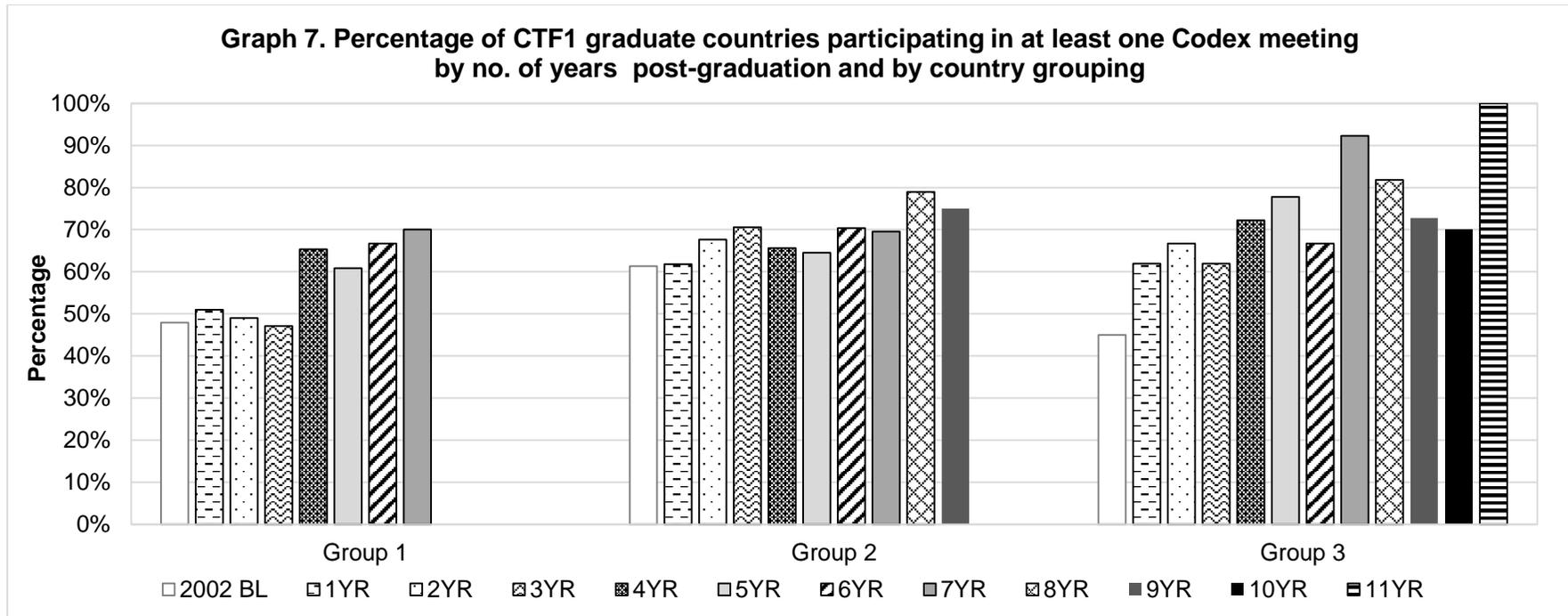


The 2016 Annual Report highlighted three distinct groupings in percentage of country participation over the lifespan of CTF1. The first two years of monitoring percentage of country participation in at least one Codex meeting by region and by year (Graph 5) indicates that 2016 and 2017 fall within the overall averages for the entire period 2004-2017 for the African, Asian, European and Latin America and Caribbean regions.

For the Near East and South-west Pacific regions the percentage country participation in at least one Codex meeting in 2016 and 2017 is below overall averages for the respective region for the period 2004-2017 (Near East 17% below the overall average and South-west Pacific 10% below the overall average). As noted in the 2016 Annual Report, there is no discernible trend in percentage participation in these regions and both of them had small numbers of eligible countries which quickly results in considerable variance in percentages.



The Annual Report 2016 highlighted the fact that years 5, 6, 7 and 8 after graduation showed the highest levels of graduate countries continuing to participate in at least one Codex meeting and demonstrated the positive medium term effects of CTF support. The numbers of countries having reached the 9th and 10th year after graduation are still relatively small but the percentage of countries participating remains at 70% or above which remains a positive trend.



Graph 7 shows the same information as Graph 6 but is broken down by the country groupings that were used in CTF1².

As noted in the Annual Report 2016, for Group 1 the effect of CTF1 was not visible in first three years following graduation, staying at the same level as the 2002 baseline. From Year Four there was a substantial increase and a steady increase afterwards which was confirmed with the additional year following graduation. In Group 2 there is little change from what was noted in the Annual Report 2016. Starting with a relatively high baseline of 61% in 2002, Group 2 countries have high overall percentages of participation in at least one Codex meeting per year in all years after graduation. In Group 3 countries the overall slight upward trend noted in the Annual Report 2016 has been supplemented by a substantial increase in the percentage of countries in this grouping participating in at least one Codex meeting in year 11 after graduation and attaining 100%. However, it should be noted that this data concerns only 4 countries.

² Group 1=LDCs and other Low Income Countries. Group 2=Middle Income Countries with low, medium or high human development status. Group 3=Upper Middle Income Countries with medium or high human development status.