

CODEX ALIMENTARIUS COMMISSION



Food and Agriculture
Organization of the
United Nations



World Health
Organization

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FAO/WHO Codex Trust Fund 2019 Annual Report

A. INTRODUCTION

This report covers 2019, the fourth year of the Codex Trust Fund (CTF2). It highlights key achievements, lessons learned and provides a summary of operational and financial aspects of activities in 2019.

The Codex Trust Fund supports countries to build strong, solid and sustainable national capacity to engage in Codex work.

Applications from eligible countries are assessed once per year through a transparent process. Successful applications receive support for up to three years. At the end of 2019, three rounds of applications and selections had taken place.

B. ACHIEVEMENTS IN 2019

Round 1 Projects (Ghana, Kyrgyzstan, Madagascar, Senegal)

The following achievements were reported by countries in their annual reports

Implementation

Ghana completed most activities in 2018, other than final reporting in 2019. Kyrgyzstan, Madagascar and Senegal are scheduled to finish in 2020. Key results of Round 1 activities included:

Kyrgyzstan:

- 5 procedural documents were approved by the Interdepartmental Commission
- 7 national standards were harmonized with the Codex Alimentarius standards.
- High-level national seminar: Codex ensuring Quality and Safety of food products
- National website developed to support for Codex-related activities: <http://codex.nism.gov.kg>

Madagascar:

- 4 drafts of chemical risk profiles, under review
- Training for National Codex Committee and Food Safety experts (chemical risk assessments)
- Awareness raising of high-level leaders and youth (high schools) on food safety and role of Codex
- Participation in sessions relevant to national priorities at CAC42 in Geneva
- Development of a database on scientific experts and expert groups

Senegal:

- Awareness raising on Codex and shared responsibility to combat aflatoxins in peanuts
- Technical training of scientific experts, National Codex Committee, for better engagement with CAC
- Standards gap analysis for priority sectors - fisheries and groundnut sectors
- Budget line item established to support Codex work

Lessons learned:**Kyrgyzstan:**

- The importance of working closely with members of government to gain support for Codex.

Madagascar:

- The importance of allowing enough time in planning and organizing activities to cover contingencies (e.g. change in government causing delays), and competent people.
- The importance of partnering and collaboration to make progress

Senegal:

- Data collection and dissemination process could be shared with regional countries to align procedures for data with the goal of improving data quality for all
- Importance of raising the awareness of the authorities for the allocation of funds for Codex work

Round 2 Projects (Burkina Faso, Cabo Verde, Guinea, Honduras, Mali, North Macedonia, Rwanda, and one group project - Bhutan, India, Nepal)**Implementation**

Six of the seven Round 2 countries (Burkina Faso, Cabo Verde, Guinea, Honduras, Mali, North Macedonia) and the group project (India, Nepal, Bhutan), were in the early stages of project implementation activities and focused on strengthening national Codex structures and systems. Rwanda was in the process of finalizing the Summary Project Document, which maps out activities in detail.

Burkina Faso:

- High-level advocacy by the National Codex Committee (NCC) with political authorities in October and December of 2019.
- Development of advocacy tools, procedure manuals for the NCC and Codex Contact Point (CCP).
- Work on national commitment documents and memorandum of understanding to support the NCC.
- Facilitation of the participation technical experts in Codex work at CAC, CCAFRICA, CCNFSU.

Cabo Verde and Mali:

- Official Launch of the CTF project and planning of activities
- Media coverage raising awareness of Codex

Guinea:

- Advocacy work with political, business and civil society stakeholders on the importance of Codex.
- Support provided to the operation of the National Codex Committee and technical sub-committees
- Capacity building of experts from NCC and labs for participation and contribution to the Codex

Honduras:

- Work on how to develop, monitor and evaluate workplans of the NCC, subcommittees and CCP.
- Capacity building for NCC members using a blend of online and face-to-face trainings.
- Training on good standardization practices by the Honduran Standardization Agency.
- Validation and adoption of a document system and communication mechanisms
- Workshop on the study visit to the Chilean agency for food safety (ACHIPIA), with presentations for strengthening the NCC and subcommittees.
- The drafting, editing and validation of the CCP procedure manual.

North Macedonia:

- The drafting of rules to establish a CCP office, guidelines for national Codex structures work and work on country positions on Codex, to allow better participation in Codex meetings, working groups.

Bhutan, India, Nepal (group project):

- For this group project, India is playing the lead capacity-building role to improve food safety and to harmonize food standards. Activities included several workshops and a study visit (i.e. to Indonesia's Codex authorities) to strengthen Codex and food safety authorities in Bhutan and Nepal.
- India held a three-day training on Chemical Risk Analysis for Food Safety in October 2019.
- Bhutan held two workshops (August and October) 2019 for NCC members and CCP officials.

- Nepal held an awareness building workshop on Codex activities and the standard setting process for the private sector, consumer groups and government officials in Kathmandu, December 2019.
- Nepal also developed a draft Codex procedural manual in 2019.

Lessons learned:

Burkina Faso:

- The importance of adopting and implementing a multiplicity of approaches and collaboration to ensure commitment and support from all stakeholders for food safety and codex in the country.
- Advocacy requires a continuous process of lobbying and highlighting the contribution of each sector

Honduras:

- Capacity building is vital to achieve the involvement and empowerment of different actors in Codex.
- The online diploma course specializing in Codex issues and especially the simulation of the Commission meeting held in November gave a clearer picture of how Codex meetings work.

Guinea

- The importance of commitment from ministries and advocacy to include budget lines for Codex
- Advocacy tools (kakemonos, posters, leaflets) to help raise awareness and support food safety

North Macedonia:

- Working with 'twinners' gives an added value to the project. Learning directly from active Codex meeting contributors and getting insight into the work of the EU Codex has been valuable.
- Close relations have been established, permitting the freedom to ask questions daily.
- Dedication, commitment and communication at national level is very important.

Round 3 Projects (Benin, Bolivia, Côte d'Ivoire, Cuba, Gambia, Nigeria, Malawi, Turkmenistan) and one group project - Burundi, Kenya, South Sudan, Tanzania and Uganda)

The Summary Project Document for Côte d'Ivoire was accepted by CTF in November of 2019. The remaining countries worked in consultation with their assigned FAO or WHO lead officer to finalize the key Summary Project Document which serves as the roadmap for project implementation.

Challenges: Countries in rounds 1 and 2 flagged that delays in project implementation as set down in the action plans of summary project documents continued to be a challenge in 2019. Timelines set out in planning documents appear to be running approximately six months to one year behind schedule. Examples of reasons for these delays given by countries were: internal organizational changes; the approval and mobilization of financial resources in the national budget for Codex activities; the difficulty in meeting with ministerial authorities related to food safety and Codex; a general lack of experience and lack of sufficient human resources; availability of in-country resource persons for training and workshops; time constraints due to other job demands.

A common Round 3 challenge faced was the time required to move from CTF acceptance to the finalization and sign-off of summary project documents. The summary project document is an important project management document that is required by CTF prior to the implementation of agreed project activities. FAO and WHO continue to respond as early as possible to these issues. Examples of this would be working with regional officers and contracting with an experienced Codex consultant - who knows CTF well - to accompany countries through the process of finalizing the summary project document.

On an important side note, CTF takes this opportunity to acknowledge that at the time of writing this report, all projects are currently being impacted in their delivery by the COVID-19 pandemic. CTF will continue to monitor the situation, discuss with the countries, and deploy mitigation measures as necessary to help ensure overall delivery with minimal delays.

Round 4 Call for Applications

The call for applications for CTF funding opened on 15 August 2019 with 77 countries eligible to apply (see Annex 1 for a list of eligible countries). In total, 18 applications were received in the on-line system by the 30 November 2019 deadline. In December 2019, the end timeframe for this report, 16 applications were assessed to be fully complete and met the pre-screening criteria. For more information, see Annex 2.

The regional breakdown of applications:

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

C. GOVERNANCE

The annual meeting of the CTF Advisory Group convened 4 July 2019. The CTF Steering Committee, comprised of members from Codex Secretariat, FAO and WHO met as needed, ten times, in 2019.

D. FUNDRAISING IN 2019

The annual meeting of CTF donors took place as a side-event at CAC42 on 9 July 2019. Representatives from FAO, WHO, the CTF Secretariat as well as sixteen countries were in attendance. The meeting provided past, present and potential donors with an update on the liquidity forecast and provided an opportunity for exchange on future contributions. Interventions on the part of the Republic of Korea, Norway indicated the possibility of future contributions to the CTF, in 2020.

E. MONITORING AND EVALUATION

The CTF Steering Committee and the CTF Advisory Group approved M&E framework can be found in Annex 3. This report considers only the indicators at output level, which correlates to the implementation of activities and can be measured on annual basis. One output performance indicator (1.2) is still under consideration as of the end of 2019 and does not appear below. The Steering Committee has furthermore decided that some indicators will only be monitored if the activities take place (e.g. FAO/WHO Codex training courses). Indicators at the Outcome and Goal level will be measured after project completion (three-year duration). Round 1 countries will be evaluated for these indicators in 2021.

Performance Indicator	Baseline end 2018	Target	Performance Data	Self-evaluation
Output 1 - Countries being supported making steady progress				
1.1 - Number of individual countries supported through country or group applications	10 countries - 2018: Bhutan, Burkina Faso, Cabo Verde, Guinea, India, Honduras, Mali, Nepal, North Macedonia, Rwanda (14 cumulative ¹)	Year on year increase in total number of countries supported	13 countries - 2019: Benin, Bolivia, Burundi, Côte d'Ivoire, Cuba, The Gambia, Kenya, Malawi, Nigeria, South Sudan, Republic of Tanzania, Turkmenistan, Uganda	Achieved

¹ Since CTF2 inception - 2016

Performance Indicator	Baseline end 2018	Target	Performance Data (27 cumulative ²)	Self-evaluation
Output 2 - Capacity of technical staff engaged in Codex activities increased as a result of project activities, sharing deliverables from projects, CTF-supported FAO/WHO training and workshops.				
2.1 - Number and type of activities supported in project countries (as an individual country or as part of a group)	N/A	Broad range of activities supported ³	25 activities in 2019, are listed in this report under the Activities section.	Achieved
2.2 - One story per year per country on how technical staff engaged in Codex activities in supported countries are working differently (including participating differently in Codex meetings) as a result of these inputs	N/A	By end of project, each country to demonstrate 1-2 ways they are working differently	1 story (Ghana) was documented in 2019. 3 of the 4 Round 1 countries are scheduled to finish in 2020.	Partially achieved
2.3 - Number of outputs / deliverables from project countries being shared widely for use by all countries	12 materials (outputs / deliverables) on the CTF community library.	Year on year increase in number of outputs / deliverables ⁴	14 materials on the CTF community library. CTF website is in process of redesign and migration at the time of this report.	Achieved
2.5 - High level of satisfaction among participants in training courses/workshop organized and/or supported.	N/A	80% satisfaction rate	Positive feedback received in almost all workshops, but not measurable for %.	Partially achieved

² Ibid

³ including “innovative” activities (Codex coaching, south-south partnering/networking, tailored training etc.) & synergies with FAO/WHO activities

⁴ As documented in the CTF website library and shared through other communication channels (e.g. Codex-L, newsletters, tweets).

F. FINANCIAL REPORTING

This section gives the starting balance, contributions, expenditure and ending balance of the CTF in 2019.

Balance, income, expenditure	USD
Balance carried over from 2018 ⁵	2 422 826
Contributions received in 2019	1 283 827
Expenditure in 2019, including PSC	1 141 067
Balance end 2019	2 565 586

Contributions and expenditures by cost category for the period 1 January – 31 December 2019 appear below.

Contributions	USD	Expenditure cost category	2018 USD	2019 USD
France	138 889	Support to countries	223 244	555 537
India	64 949	Project administration	624	4 344
Japan	133 760	Staff cost	431 177	449 913
Malaysia	10 000	Programme support cost (PSC)	85 155	131 273
New Zealand	16 734	Total (including PSC)	740 200	1 141 067
United Kingdom	654 450			
United States	265 045			
Total	1 283 827			

Delays in project implementation in Round 2 and 3 countries continued to impact project expenditure rates, which is reflected in the low Support to countries figure in table 3. Nonetheless, the 2019 figure is more than double the 2018 support to countries. Staff costs are fixed as the CTF Secretariat operates with one technical staff and one administrative staff. At the time of the writing of this annual report in 2020, the Steering Committee of the CTF is working on ways to simplify systems and accelerate funding to increase the annual financial support to countries.

⁵ Corrigendum: The balance as at end 2018 in the 2018 Annual Report was USD 2 422 826, not USD 2 585 228.

Annex 1 - List of eligible countries and countries currently being funded as at 1 August 2019

104 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**. All countries currently supported by CTF projects are indicated in underlined font

Codex region					
Africa (47)	Asia (16)	Europe (9)	Latin American & Caribbean (17)	Near East (5)	South-West Pacific (10)
Angola , <u>Benin</u> , Botswana, <u>Burkina Faso</u> , <u>Burundi</u> , <u>Cabo Verde</u> , Cameroon, Central African Republic , Chad , Comoros , Congo, <u>Côte d'Ivoire</u> , DR Congo , Djibouti , Eritrea , Eswatini, Ethiopia , Equatorial Guinea , <u>Gambia</u> , <u>Ghana</u> , Guinea , Guinea-Bissau , <u>Kenya</u> , Lesotho , Liberia , Madagascar , Malawi , <u>Mali</u> , Mauritania , Mauritius, Morocco, Mozambique , Namibia, Niger , <u>Nigeria</u> , Rwanda , Sao Tome and Principe , Senegal , Sierra Leone , Somalia , South Africa, South Sudan , Togo , <u>Uganda</u> , United Rep. of Tanzania , Zambia , Zimbabwe	Afghanistan , Bangladesh , Bhutan , Cambodia , DPR Korea , <u>India</u> , Indonesia, Lao PDR , Maldives, Mongolia, Myanmar , <u>Nepal</u> , Pakistan, Philippines, Timor-Leste , Viet Nam	Armenia, Azerbaijan, Kazakhstan, <u>Kyrgyzstan</u> , <u>North Macedonia</u> , Republic of Moldova, Tajikistan , <u>Turkmenistan</u> , Uzbekistan	Belize, <u>Bolivia</u> , <u>Cuba</u> , Dominica, Dominican Rep., El Salvador, Grenada, Guatemala, Guyana, Haiti , <u>Honduras</u> , Jamaica, Nicaragua, Paraguay, Saint Lucia, Saint Vincent & the Grenadines, Suriname	Egypt, Iraq, Sudan , Syrian Arab Rep. , Yemen	Cook Islands, Fiji, Kiribati , Micronesia (FS of), Nauru, Papua New Guinea, Samoa, Solomon Islands , Tonga, Vanuatu

Abbreviations:

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

Sources of information:

https://www.un.org/development/desa/dpad/wp-content/uploads/sites/45/publication/ldc_list.pdf
<http://hdr.undp.org/en/2018-update>
<https://datahelpdesk.worldbank.org/knowledgebase/articles/906519-world-bank-country-and-lending-groups>
<http://unohrils.org/about-sids/country-profiles/>
<http://unohrils.org/about-lllcs/country-profiles/>

Annex 2

CTF Application Process

The fourth round of applications opened on 15 August 2019 with 77 countries eligible to apply. The deadline for submission of applications in the on-line system was 30 November 2019. 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 fourth round, 18 applications were received, including two group applications, from all Codex regions. 16 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

A consultant/expert carries out an initial assessment of all applications received, and this is made available to the Technical Review Group. Applications are 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 are sent to the Steering Committee for deliberation and final decisions.

Annex 3

Logframe matrix for CTF2 (revised in 2018)

Intervention logic	Indicators	Baseline	Targets	Sources & means of verification	Assumptions
Overall objective: Impact					
Impacts are the overall effect or influence of the programme. These are the long-term effects on the social, environmental or economic conditions being addressed by the programme					
<u>Project Goal</u> Developing and transition economy countries sustainably engaged in Codex	1 - Inclusion of budget lines for Codex activities in national budgets	Number of countries indicating Level 4, 3 or below on relevant good practice element* with budget lines for Codex activities included in national budgets at time of application to CTF2	Number of countries moving up to or staying at Level 3 or Level 4 on the relevant good practice element in countries having received support from CTF2	Codex Diagnostic Tool used prior to application for support package and after completion of package.	Sustained political commitment to Codex in countries Availability of funding and success in achieving high level commitment at country level
	2 - Degree of harmonization of national food standards and regulations with relevant Codex texts (tentative - still under discussion in the CTF SC)	Diagnostic Tool (DT). Codex Secretariat surveys on use of Codex standards and relevant texts administered prior to Regional Coordinating Committees (RCCs)	Increase in number of countries using Codex texts as a basis for national standards in countries having received support from CTF2	Mid-term Review (MTR) and final evaluation and/or final reports of relevant projects and re-administered DT	

Intervention logic	Indicators	Baseline	Targets	Sources & means of verification	Assumptions
Specific objective: Outcome					
Outcomes are the overall benefits or changes seen in the short and medium term as a result of the programme. Did people change behaviour or attitudes? Did they acquire new knowledge or skills?					
<u>Outcome</u> Increased capacity of developing and transition economy countries to engage in Codex	1 - Physical participation of developing and transition economy countries in Codex meetings (not supported by CTF2)	Physical participation of developing and transition economy countries in at least one Codex meetings in 2015	Sustained physical participation in at least one priority Codex meeting per year of all developing and transition countries	Codex meeting reports and lists of participation	Political & economic commitment to Codex in countries Resources available to fund multi-year programmes of support to countries/groups of countries
	2 - Number of written comments from developing and transition countries	Number of written comments submitted by developing & transition economy countries in 2015	Increase in the number of written comments from developing & transition economy countries	Reports of Codex meetings used as basis for CTF2 databases	
	3 - Changes in the national Codex system in supported countries that result in improved preparedness for and participation in the international Codex process (e.g.: more national experts actively contributing; increased representation from different sectors, industry, academia; increase in number of NCC members participating in preparation of written comments...).	Status as determined through use of Codex Diagnostic Tool	Positive change in elements focused on in supported country action plan in 80% of countries.	Codex Diagnostic Tool used prior to application for support package and after completion of support package	

Intervention logic	Indicators	Baseline	Targets	Sources & means of verification	Assumptions
Outputs					
Outputs are the results of inputs and activities in the programme. How many people participated? How many sessions were delivered? Was the intended audience reached? What were the tangible products delivered?					
Output 1 - Countries being supported making steady progress	1.1 - Number of individual countries supported through country or group applications	N/A	Year on year increase in total number of countries supported	CTF2 databases and annual reports	CTF2 Sec. sufficiently staffed & funded & with right profiles of staff to carry out activities, including support from FAO & WHO staff. Enough human resources available in FAO/WHO to carry out planned capacity development activities. Efficient procedures for providing support packages established. Demand for support from countries. Enough management commitment and capacity in countries to apply for and implement support packages.
	1.2 - Status of implementation of support packages compared to activity plan	No. of support packages implemented	80% of support packages showing "on track" for implementation	Receipt of deliverables (for next tranche to be disbursed) from supported countries. Interim reports. Yearly progress reports.	
Output 2 - Capacity of technical staff engaged in Codex activities increased as a result of project activities, sharing deliverables from projects, CTF-supported FAO/WHO training and workshops.	2.1 - Number and type of activities supported in project countries (as an individual country or as part of a group project)	N/A	Broad range of activities supported including "innovative" activities (Codex coaching, south-south partnering / networking, tailored training etc.) & synergies with FAO/WHO activities	Activity plans of supported countries	
	2.2 - One story per year per country on how technical staff engaged in Codex activities in supported countries are working differently (including participating	N/A	By the end of project support each country has demonstrated 1-2 ways that technical staff engaged in Codex	Interim reports. Yearly progress reports. Final project reports.	

Intervention logic	Indicators	Baseline	Targets	Sources & means of verification	Assumptions
	differently in Codex meetings) as a result of these inputs		activities are working differently on Codex as a result of the project		
	2.3 - Number of outputs/deliverables from project countries being shared widely for use by all countries	Number of outputs/deliverables on CTF community library at end 2018	Year on year increase in number of outputs/deliverables available in the library on the CTF website and shared through other communication channels (e.g. Codex-L, newsletters, tweets)	CTF Secretariat information	
	2.4 - Number of countries and people (disaggregated by sex) participating in FAO/WHO Codex training activities organized by and/or financially supported by the Codex Trust Fund	N/A	Increase in number of countries and people participating. Improvement in gender balance in participants	Participant lists in reports of training activities	
	2.5 - High level of satisfaction among participants in training courses/workshop organized and/or supported.	N/A	80% satisfaction rate	End of training and workshop evaluations	
	2.6 - Capacity increased as measured by knowledge before and after training courses/workshops	Before event quiz	At least 50% of participants demonstrate an increase in knowledge	Pre and post workshop quizzes	