

codex alimentarius commission



FOOD AND AGRICULTURE
ORGANIZATION
OF THE UNITED NATIONS

WORLD
HEALTH
ORGANIZATION



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Agenda Item 9

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JOINT FAO/WHO FOOD STANDARDS PROGRAMME CODEX COMMITTEE ON GENERAL PRINCIPLES

Twenty-fifth Session
Paris, France, 30 March – 4 April 2009

PARTICIPATION OF DEVELOPING COUNTRIES IN THE WORK OF CODEX

FAO/WHO Project and Fund for Enhanced Participation in Codex

Introduction

The FAO/WHO Project and Fund for Enhanced Participation in Codex (Codex Trust Fund) was launched on 14 February 2003 by the Directors-General of WHO and FAO. The Codex Trust Fund has been operational since March 2004 when the minimum threshold of US\$500,000 in contributions was reached. For the period March 2004-December 2008 inclusive, the Codex Trust Fund has supported 884 participants from 129 countries to attend Codex meetings, task forces, and working groups.

The purpose of this document is to reiterate the guiding principles, objectives, expected outputs and functioning of the Codex Trust Fund. It is hoped that this will serve as a point of departure for discussion at the 25th Codex Committee on General Principles regarding the continuing validity of these principles, objectives, rules and procedures and whether any of these should be modified in any way.

Development Goal and Key Objective

A draft Project Document outlining the goal, objectives, expected outcomes, functioning and governance of the Codex Trust Fund was developed and tabled for discussion at the 50th, 51st, 52nd, 53rd and 54th sessions of the Executive Committee of the Codex Alimentarius Commission, and the 25th (Extraordinary) and 26th sessions of the Codex Alimentarius Commission (CAC). The Project Document was also tabled for discussion at the WHO Executive Board in January 2003 and the World Health Assembly in May 2003. Input from these governing bodies were taken into account in redrafting the document which was finalized in June 2003.

The goal of the Codex Trust Fund is to further the improvement of global public health and food security and enhance international food trade by promoting the provision of safer and more nutritious food and contributing to a reduction in foodborne disease. This will be achieved by (a) helping regulators and food experts from all areas of the world to participate in international standard-setting work in the framework of Codex and (b) enhancing their capacity to help establish effective food safety and quality standards and fair practices in the food trade, both in the framework of the Codex Alimentarius and in their own countries.

The key objective is to help developing countries and those with economies in transition to enhance their level of effective participation in the development of global food safety and quality standards by the CAC. This is achieved by providing support to eligible countries to:

- Prepare for and participate in Codex Committees and related meetings;
- Participate in Codex training courses to enhance participation in Codex meetings;
- Prepare and present scientific/technical positions and data related to the work of Codex.

Expected Outcomes

- Strengthen the capacity of developing countries and countries with economies in transition to build robust and compatible food control systems through collegial exchanges, knowledge transfer and professional development through the Codex Alimentarius Commission and its committees and task forces;
- Help over 130 developing countries and transition economies to increase their ability to participate in the establishment of global food safety standards, as well as to improve their capacity to implement those standards in their own countries;
- Develop an understanding among appropriate experts in all countries of the current goals and objectives of Codex, thereby enabling more efficient country participation as well as the provision of country-specific data and information;
- Provide pilot funding to enable countries to develop useful information for Codex consideration, and prepare papers containing important information from developing countries and transition economies pertaining to the food standards setting process; and
- Help identify new national delegates to Codex committees, task forces and governance meetings, and reinforce their participation over a period of up to 8-years.

Governance and Management

The Codex Trust Fund is guided by an FAO/WHO Consultative Group for the Trust Fund consisting of senior FAO and WHO staff, regional office representation and officers to provide advice on legal matters and resource mobilization. The terms of reference for the Consultative Group are as follows:

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

The current composition of the Consultative Group appears in Annex 1. Meetings of the Consultative Group are held in person or by telephone conferencing as and when necessary to advise and make decisions on the functioning of the Trust Fund with at least one meeting scheduled in each calendar year. Meetings are supplemented by discussion and decisions taken by electronic means.

Daily management of the Trust Fund is undertaken by the Trust Fund Secretariat located in the Department of Food Safety, Zoonoses and Foodborne Diseases in WHO and consisting of one half-time (50%) professional staff (administrator) and one 75% support staff (assistant). The Secretariat is kept as small as possible and is only available Monday to Friday from 9h00 to 17h00 Geneva time in order to reduce administration costs and use the maximum amount of resources for support to countries. In line with requirements of some donors, administrative costs should not exceed 12% of total expenditures. Administration of the Trust Fund is conducted in a fully transparent manner, in close communication between WHO and FAO, and in accordance with WHO rules and financial regulations. Programme support costs of 13% are applied to the extrabudgetary contributions to the Trust Fund as agreed by Member States to enable WHO to apply its administrative structure to the support of the project and fund.

Functioning of the Codex Trust Fund

Eligibility to apply for support from the Codex Trust Fund is based on two complementary sets of criteria: 1) income status as established by the UNCTAD Report on Least Developed Countries (which establishes the list of Codex member states who are considered "least developed countries") and the World Bank World Development Report statistical annexes; 2) human development status as established by the UNDP Human Development Report statistical annexes. Both sets of criteria are reviewed annually for all countries to establish country groupings.

- Group 1a comprises the least developed countries.
- Group 1b comprises the countries with low income status and low or medium human development status.

- Group 2 comprises the countries with lower middle income status and medium or high human development.
- Group 3a comprises the countries with upper middle income status and medium human development.
- Group 3b comprises the countries with upper middle income status and high human development.

Support from the Codex Trust Fund in any calendar year is a function of the availability of funds based on contributions and pledges received from donor countries. Graph 1 in Annex 2 shows the evolution of donor contributions from 2004 to 2008.

Number of applications received from countries and country groupings are then used, along with availability of funds to determine levels of support in a calendar year. In line with the indicative distribution of financial resources stipulated in the Project Document, countries in Groups 1a and 1b should receive approximately 60% of the funds available for support, countries in Group 2 should receive approximately 30%, and countries in Groups 3a and 3b should receive approximately 10%. Graph 2 in Annex 2 shows how this distributive allocation has played out for the entire period of operation of the Trust Fund.

In order to benefit from Codex Trust Fund support, eligible countries are required to submit a yearly application form which is due on 31 October of each calendar year. In order to be considered for support a country's application form must:

- 1) be the result of a national consultative process involving relevant Codex stakeholders and showing evidence of coordination between at least the ministries of health and agriculture;
- 2) demonstrate that the country has gone through a prioritization process and given rationale for the choice of Codex meetings prioritized;
- 3) be submitted by the officially designated Codex Contact Point.

If the country has received support in the previous year, all participant reports for the reporting period must have been received by the Trust Fund.

Applications are reviewed on the basis of the above criteria and decisions on support are taken by the Consultative Group for the Trust Fund in a meeting held in December of each calendar year. All countries are informed of the result of their application for support by end December/beginning January of each calendar year.

Table 1 in Annex 2 gives information on the planned support levels for each grouping of countries for each calendar year from 2005-2009¹ and annual expenditures 2004-2009².

Graph 3 in Annex 2 shows total number of participants supported by the Trust Fund to attend Codex meetings, task forces and working groups for each year between 2004 and 2008 and the numbers of countries supported each year.

Graph 4 in Annex 2 shows the breakdown of participants for each country grouping for each year of Codex Trust Fund operation. Annual expenditures are shown across the top of the graph to demonstrate how support levels are a function of donor contributions.

In 2009 planned expenditures of the Trust Fund will be approximately US \$2.2 million.

US \$1.5 million, representing 70% of expenditures will be allocated for support to participation in Codex meetings to widen further Codex participation while US \$200,000 will be allocated for Codex training to enhance that participation by strengthening Codex activities at national, regional and global levels.

¹ Scenario planning was not undertaken for 2004, the first year of operation of the Trust Fund. Support was allocated according to the 60/30/10 split (see paragraph 12).

² Expenditures for 2009 as indicated are planned expenditures

Reporting obligations and matched funding requirements

Participants supported by the Trust Fund are expected to:

- Prior to the meeting undertake relevant country-level consultations, discussions and research.
- Be present at the opening session and remain and participate for the full duration.
- After the meeting, debrief to interested parties at country level.
- Submit a report to the Trust Fund Secretariat in conjunction with the Codex Contact Point and interested parties.

The Codex Trust Fund is intended to act as a catalyst to enhanced participation in Codex. A gradual increase in the financial participation of countries should take place according to a sliding scale with the expectation that upper middle income countries with high human development will already contribute a percentage of national resources towards participation by the second year of participation in the Trust Fund. The least developed countries begin to contribute a percentage of national resources by their sixth year of participation in the Trust Fund. The matched funding table appears in Annex 3. Given the small size of their economies, a decision was taken at the December 2007 meeting of the Consultative Group for the Trust Fund that small island developing states with populations of less than 1 million should be given an additional year at 50% matched funding status.

The matched funding requirement is considered to be of critical importance, both to ensuring the sustainability of the Trust Fund, but also to ensuring the sustainability of participation by countries in the Codex process.

As at December 2008, 7 countries had "graduated" from the Codex Trust Fund. 38 countries are on 50% matched funding status in 2009. More information on how graduate countries and countries who are on 50% matched funding status are meeting the matched funding requirement will be given in a Conference Room Document (CRD) at the CCGP.

Communication and the Codex Trust Fund

The Codex Trust Fund is a dynamic mechanism that has to adapt itself to changing needs of countries as they develop their Codex capacity and increasingly engage in the Codex process. Communicating with beneficiary countries and other stakeholders is essential in understanding and responding to these changing needs. The priority in the first three years of Trust Fund operation was to increase the participation of eligible countries in Codex meetings (output no. 1). From 2007 "listening and learning" combined with assessments of the Trust Fund picked up that participation at meetings was still considered essential but needed to be accompanied by actions to enhance the quality of country participation by strengthening Codex activities at all levels (output no. 2).

This has been responded to by using all means at the disposal of the Trust Fund working with FAO, WHO and Codex host countries to provide Codex training, FAO/WHO workshops on specific Codex issues, pre-Codex meeting briefings, and match needs of countries with FAO and WHO technical cooperation, including technical cooperation between developing countries (TCDC). 2008 was characterized by:

- increasing engagement in the dialogue process with beneficiary and donor countries to further strengthen the participation of beneficiary countries in Codex;
- continuing to invest in Codex training and pre-Codex meeting workshops;
- understanding and responding to donor expectations;
- monitoring Trust Fund outcomes and ensuring the participation of beneficiary countries in this process;
- ensuring the sustainability of participation in Codex as countries move through different stages of funding and graduate.

It should be noted that all communication activities must be undertaken with the financial resources allocated for management and administration of the Trust Fund, and human resources available in the Codex Trust Secretariat (see paragraph 9). Mechanisms for communication and dialogue to maximize impact include:

- Constant electronic and telephone communication throughout the year with individual beneficiary countries regarding their applications, priority Codex meetings, priority activities other than participation in meetings, administration of travel, participant reports, meeting matched funding status etc.;
- Physical meetings with beneficiary countries attending the annual Codex Alimentarius Commission;
- Pre-meeting briefings for beneficiary countries prior to some Codex meetings (organized by host country secretariat);
- Bi-annual electronic updates with donor countries;
- Physical meetings with donor country representatives attending the annual Codex Alimentarius Commission;
- Annual "side events" on the Codex Trust Fund scheduled on the margins of the Codex Alimentarius Commission for exchange with all countries attending the CAC (beneficiary countries, donor countries, Codex member states, observers, IGOs, NGOs, etc.);
- Discussion on the Codex Trust Fund during the official proceedings of the CCEXEC and CAC (Codex Trust Fund agenda item);
- Bi-annual progress reports;
- Annual reports;
- News and updates on the Codex Trust Fund website;
- Dissemination of reports on assessments, evaluations, reviews, trainings etc. through the Codex-L and Codex-Direct and on the Codex Trust Fund website.

Future directions for the Codex Trust Fund and donor support

Several studies, reviews and assessments have been carried out on the Codex Trust Fund; all of which are available on the Codex Trust Fund website and have been widely disseminated using a number of electronic listserves including the Codex-L and Codex Direct:

- 2006 - *FAO/WHO Project and Fund for Enhanced Participation in Codex, First Biennial Review*
- 2006 - *Survey of national policy and activities related to food safety in countries eligible for the Codex Trust Fund*
- 2007 - *Initiative to explore linkages between increased participation in Codex and enhanced international food trade opportunities*
- 2007 - *Enquiry concerning the FAO/WHO Project and Fund for Enhanced Participation in Codex ("Codex Trust Fund")*

The results of these have been used to guide the work and activities of the Trust Fund. A mid-term evaluation of the Trust Fund is planned for 2009.

In response to the two assessments carried out on the Codex Trust Fund in 2007, a strategic planning process was launched with the objectives of: 1) defining the strategic positioning of the Codex Trust Fund; 2) determining how the Trust Fund can best use its leverage and work with and through its stakeholders to achieve its objectives and; 3) identifying areas where the Trust Fund can realize greater efficiency and effectiveness in its ways of working.

A strategic action plan was drawn up to guide the Trust Fund in its priority activities in for 2008-2009 focused on priority actions and identifying the resources needed to implement.

The 6 priority areas for action are:

- Tracking effectiveness;
- Developing and implementing marketing and fundraising strategies
- Improving communications and networking with stakeholders
- Strengthening Codex mechanisms at country level
- Ensuring the quality of application and reporting processes
- Strengthening the Trust Fund Secretariat.

Results of the strategic planning process in 2008 included:

- Stakeholder input to the strategic action plan;
- Administration of a questionnaire to gain understanding of donor assessment and expectations;
- Development and presentation of elements for a monitoring and evaluation framework;
- Organization and delivery of a Codex training course for Asia and the Pacific;
- Reinforcement of quality assurance in application process.

Planned activities to further implement the strategic planning process in 2009 include:

- Implementation of Codex training courses and tailored training/workshops at regional, sub-regional and country level to respond to specific training needs;
- Support to eligible countries to participate in pre-Codex meetings, trainings and workshops;
- Support to 20 eligible countries in Africa to participate in an FAO/WHO pre-CCAFRICA workshop on risk analysis.
- Pilot and introduce new reporting format using Datacol for data collection and analysis of participant reports.
- Track sustainability of participation in Codex through the development of a database of Codex Trust Fund country participation in Codex meetings 2004-2008
- Landscape analysis of Codex activities in a selection of Codex Trust Fund eligible countries;
- Establish web-based forum for exchange between beneficiary countries and between the Codex Trust Fund Secretariat and countries.
- Develop dialogue with donors and establish donor corner on Codex Trust Fund website.

The strategic planning process has also helped secure increased and more sustained donor support. At the same time the Codex Trust Fund must continue its efforts to bring new donors on board, increase donations from existing donors and secure multi-year funding to ensure the sustainability of resources and facilitate the planning of Codex Trust Fund activities in future years.

Annex 1**Composition of the Consultative Group for the Trust Fund**
(as at 31 December 2008)

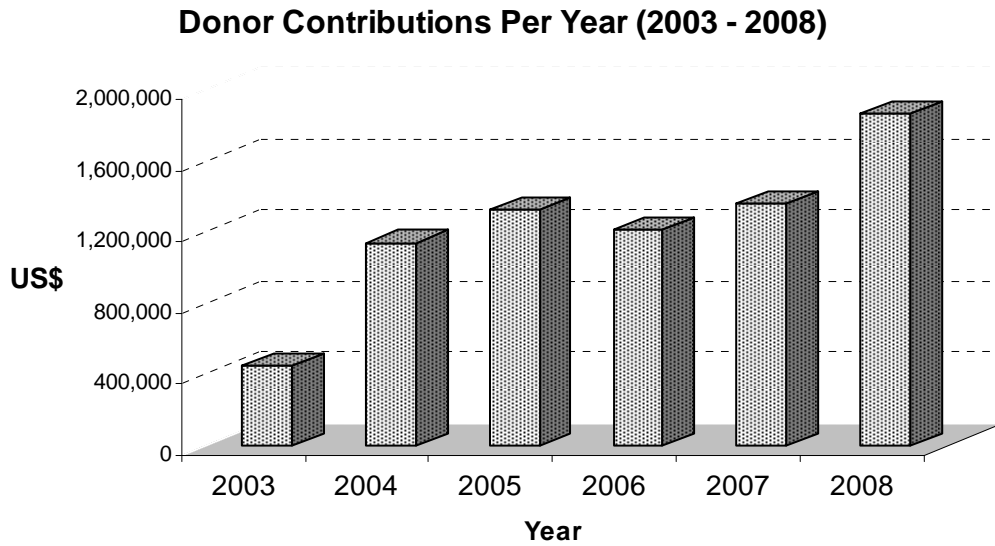
- Dr Jørgen Schlundt, Director, Department of Food Safety, Zoonoses and Foodborne Diseases (Chairperson), WHO, Geneva
- Mrs Catherine Mulholland, Administrator, Codex Trust Fund, WHO, Geneva
- Dr Hilde Kruse, Regional Food Safety Adviser, WHO Regional Office for Europe, Rome
- Dr Ezzeddine Boutrif, Director, Division of Nutrition and Consumer Protection, FAO, Rome
- Ms. Mary Kenny, Nutrition Officer, Food Quality and Standards Services, FAO, Rome
- Ms Dominique di Biase, Senior Programme Officer, Field Programme Development Service, Technical Cooperation Department, FAO, Rome
- Mr Antonio Tavares, Legal Officer, Office of the Legal Counsel, FAO, Rome
- Dr Kazuaki Miyagishima, Secretary, Codex Alimentarius Commission, Joint FAO/WHO Food Standards Programme, Rome

Annex 2

Tables and Graphs

Graph 1

Donor Contributions received per year (2003-2008)



Graph 2

Cumulative allocation of resources per beneficiary country groupings for the period 2004-2008

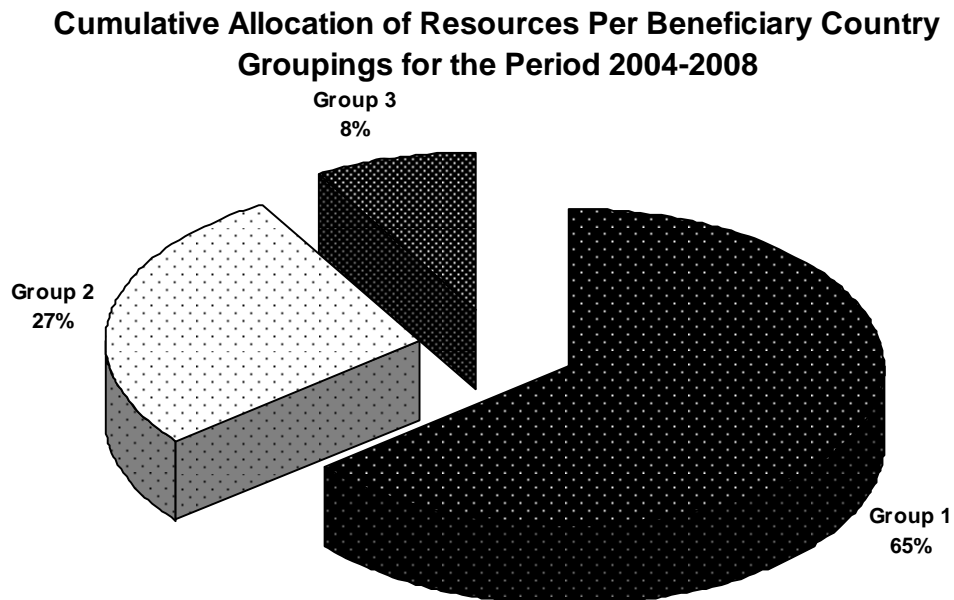


Table 1

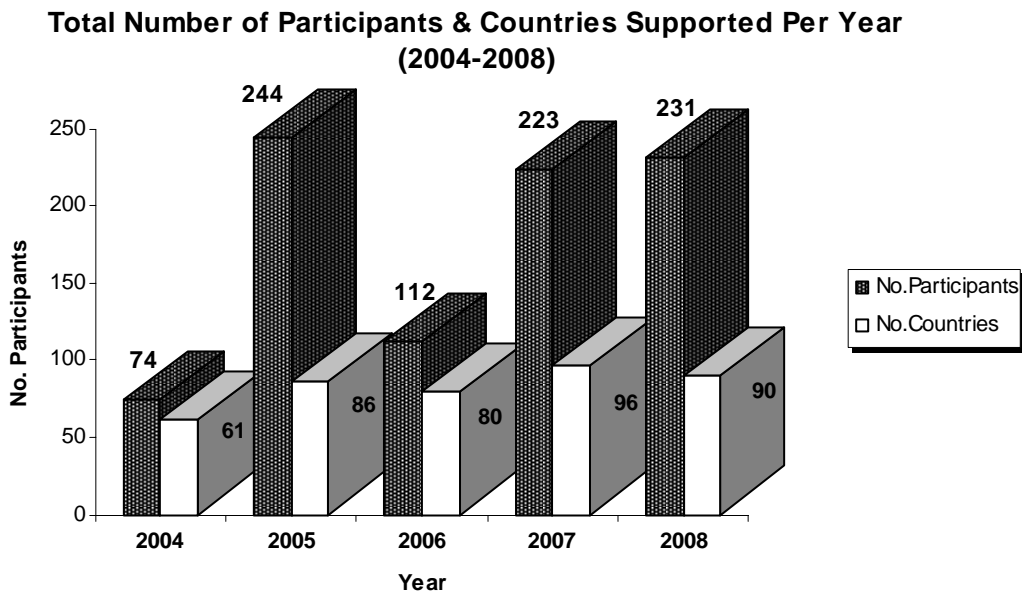
Codex Trust Fund planned support levels³ 2005-2009 (per beneficiary country sub-grouping) and annual expenditures 2004-2008 (including planned expenditure for 2009)

Codex Trust Fund Planned Support Levels 2005-2009 (per beneficiary country sub-groupings) and annual expenditure 2004-2008 (including planned expenditure for 2009)						
Year	Group 1a	Group 1b	Group 2	Group 3a	Group 3b	Expenditures US\$
2004	NA	NA	NA	NA	NA	561,297
2005	5	4	2	1	1	1,759,272
2006	2	2	1	1	1	882,641
2007	3	3	2	1	1	1,300,427
2008	4	4	3	1	1	1,328,807 (est.)
2009	5	4	3	2	1	2,200,000 (est.)

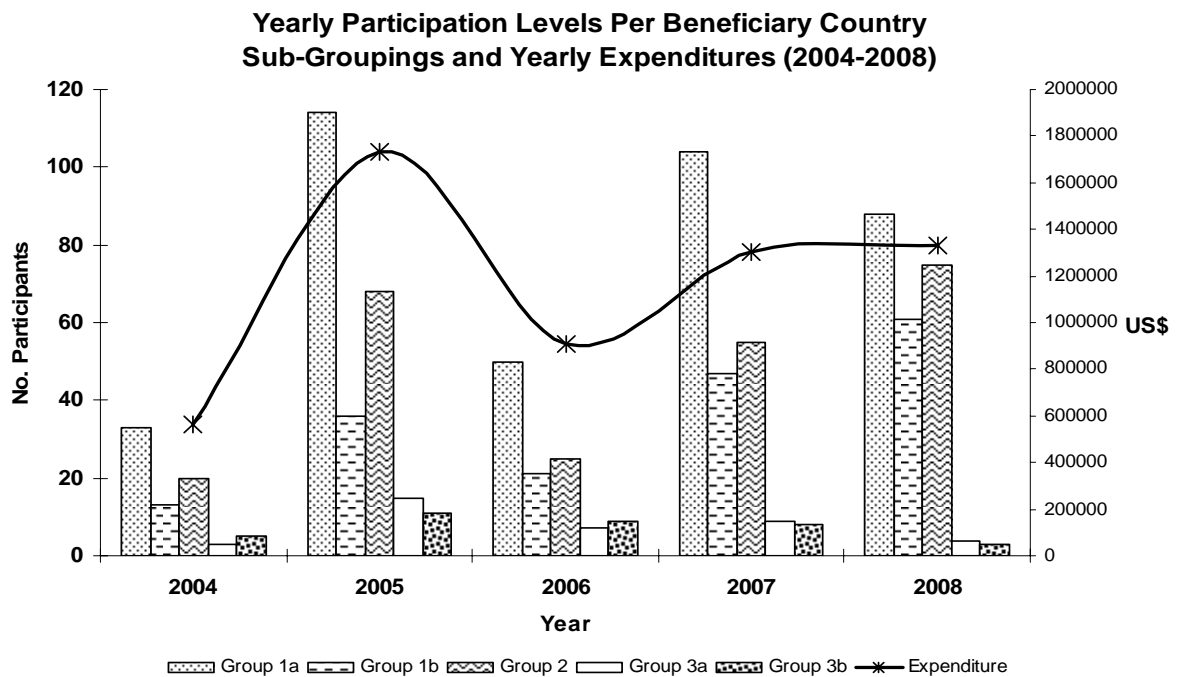
Graph 3

Total number of participants and countries supported per year (2004-2008)

³ Number of participants to be supported for each country grouping adjusted for increases in donor contributions



Graph 4
Yearly participation levels per beneficiary country sub-groupings and yearly expenditures (2004-2008)



Annex 3

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%				