



JOINT FAO/WHO FOOD STANDARDS PROGRAMME

CODEX ALIMENTARIUS COMMISSION

35th 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.¹

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 17th 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 |

¹ <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

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

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

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

² 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% |
| Total for 2011 | 84 | 51 | 60% |

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 65th Session of the Executive Committee of the Codex Alimentarius Commission and the 34th 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 65th CCEXEC and 34th CAC, and taking into account discussions at the Regional Coordinating Committees held in 2010 and 2011, the Commission agreed to the following³:

- 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 34th 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 16th Progress Report (see Part 2 of this document).

Codex Trust Fund monitoring and evaluation

As reported on in the 15th 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 16th 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

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

2012 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)

| Donor | Amount Received (in contribution currency) | Amount Received (in thousand USD) | Date Received |
|--------------------|---|--|--------------------------|
| 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 |
| Netherlands | USD 50,000 | 50,000 | May-06 |
| Sweden | SEK 3,000,000 | 416,089 | Jul-06 |
| New Zealand | NZD 50,000 | 33,040 | Dec-06 |
| Norway | USD 100,000 | 100,000 | Dec-06 |
| Germany | USD 66,250 | 66,250 | Dec-06 |
| United States | USD 60,292 | 60,292 | Dec-06 |
| Switzerland | CHF 200,000 | 163,934 | Jan-07 |
| Switzerland | CHF 68,000 | 55,738 | Jan-07 |
| Japan | USD 80,000 | 80,000 | Mar-07 |
| Sweden | SEK 3,000,000 | 441,000 | Jul-07 |
| Germany | EUR 30,000 | 41,004 | Aug-07 |

| | | | |
|--------------------|---------------|-------------------|--------|
| Japan | USD 50,000 | 50,000 | Sep-07 |
| Netherlands | EUR 50,000 | 73,746 | Dec-07 |
| Sweden | SEK 3,000,000 | 453,210 | Dec-07 |
| European Community | EUR 3004.75 | 4,262 | Jan-08 |
| United States | USD 175,000 | 175,000 | Feb-08 |
| European Community | EUR 210,000 | 310,651 | Feb-08 |
| Japan | USD 80,000 | 80,000 | Mar-08 |
| Canada | CAD 125,000 | 127,812 | Mar-08 |
| New Zealand | NZD 50,000 | 39,475 | Apr-08 |
| Germany | EUR 50,000 | 78,864 | May-08 |
| Australia | AUD 50,000 | 48,040 | Jun-08 |
| Malaysia | USD 10,000 | 10,000 | Aug-08 |
| European Community | EUR 200,000 | 278,551 | Sep-08 |
| Japan | USD 50,000 | 50,000 | Oct-08 |
| United States | USD 666,220 | 666,220 | Oct-08 |
| France | USD 100,000 | 100,000 | Nov-08 |
| Norway | NOK 712,000 | 100,125 | Dec-08 |
| New Zealand | NZD 50,000 | 27,778 | Dec-08 |
| Ireland | EUR 215,893 | 309,655 | Feb-09 |
| European Community | EUR 225,000 | 291,451 | Mar-09 |
| Japan | USD 80,000 | 80,000 | Apr-09 |
| Malaysia | USD 10,000 | 10,000 | Jun-09 |
| Germany | EUR 50,000 | 70,323 | Aug-09 |
| Netherlands | EUR 60,000 | 77,720 | Oct-09 |
| European Community | EUR 225,000 | 327,035 | Oct-09 |
| Japan | USD 50,000 | 50,000 | Nov-09 |
| Sweden | SEK 5,000,000 | 725,689 | Dec-09 |
| Japan | USD 80,000 | 80,000 | Feb-10 |
| United States | USD 450,000 | 450,000 | Mar-10 |
| Netherlands | USD 588,235 | 588,235 | Apr-10 |
| Malaysia | USD 10,000 | 10,000 | Jul-10 |
| Japan | USD 50,000 | 50,000 | Jul-10 |
| European Community | EUR 213,000 | 295,833 | Nov-10 |
| European Community | EUR 55,000 | 76,389 | Nov-10 |
| Sweden | SEK 5,000,000 | 720,949 | Nov-10 |
| Germany | EUR 50,000 | 65,445 | Dec-10 |
| New Zealand | USD 30,000 | 30,000 | Jan-11 |
| Japan | USD 50,000 | 50,000 | Feb-11 |
| Canada | CAD 150,000 | 154,479 | Apr-11 |
| Australia | USD 105,660 | 105,660 | Jun-11 |
| Finland | EUR 50,000 | 71,225 | Jun-11 |
| United States | USD 272,695 | 272,695 | Jun-11 |
| Malaysia | USD 10,000 | 10,000 | Aug-11 |
| United States | USD 149,642 | 149,642 | Oct-11 |
| Japan | USD 20,000 | 20,000 | Oct-11 |
| Sweden | SEK 5,000,000 | 758,150 | Oct-11 |
| Japan | USD 50,000 | 50,000 | Dec-11 |
| United States | USD 60,000 | 60,000 | Dec-11 |
| Total | | 13,592,748 | |

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

| Donor | Amount Received in US\$ |
|--------------------|------------------------------------|
| 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 |
| TOTAL | 13,592,748 |

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)**

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

| Group 1A – Least Developed Countries (LDC) <i>As listed by the Least Developed Countries Report 2010 (UNCTAD)⁴</i> | Group 1B – Other Low Income Countries (LIC) <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> |
|--|---|
| Africa 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 | Africa Kenya |
| Asia Afghanistan Bangladesh Cambodia Myanmar | Asia Democratic People's Republic of Korea |
| Europe | Europe Kyrgyzstan Tajikistan Uzbekistan |
| Near East Yemen | Near East |

⁴ Equatorial Guinea and Maldives graduate from LDC in January 2011

| | |
|--|---------------------------|
| South-West Pacific Kiribati Samoa Solomon Islands Vanuatu | South-West Pacific |
| 33 countries | 5 countries |

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> |
| Africa Cameroon Cape Verde Congo, Republic of Côte d'Ivoire Equatorial Guinea Nigeria |
| Asia Maldives Pakistan Sri Lanka Thailand |
| Europe Albania Armenia Azerbaijan, Republic of Georgia Moldova, Republic of Ukraine |
| Near East Iraq Jordan |
| South-West Pacific Micronesia, Federated States of Nauru, Republic of |
| 20 countries |

GROUP 3

| | |
|---|---|
| Group 3A <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> | Group 3B <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> |
| Africa Botswana Gabon Namibia South Africa | Africa Mauritius |
| Asia | Asia Malaysia |
| Europe | Europe Belarus Bosnia Herzegovina Bulgaria Kazakhstan Latvia Montenegro Republic of Serbia Romania Russian Federation The Former Yugoslav Republic of Macedonia |
| Latin America and the Caribbean Saint Lucia Saint Vincent and the Grenadines Suriname | Latin America and the Caribbean Brazil Dominica Grenada Saint Kitts and Nevis Venezuela |
| Near East | Near East Algeria Libyan Arab Jamahiriya |
| South-West Pacific | South-West Pacific - |
| 7 countries | 19 countries |

"Graduates" of the Codex Trust Fund⁵

| | |
|--|--|
| 2011 (27 Graduates) | 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 |
| 2010 (7 Graduates) | Egypt, Guyana, Honduras, Jamaica, Philippines, Syrian Arab Republic, Cook Islands |
| 2009 (13 Graduates) | Bolivia, Colombia, Croatia, Cuba, Dominican Republic, Ecuador, El Salvador, Guatemala, Iran, Morocco, Paraguay, Peru, Tunisia |
| 2008 (6 Graduates) | Antigua and Barbuda, Argentina, Chile, Mexico, Seychelles, Uruguay |
| 2007 (4 Graduates) | Costa Rica, Lithuania, Panama, Poland |
| Total number of graduated countries | 57 countries |

⁵ 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) 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>19th Session FAO/WHO Coordinating Committee for Africa, Accra, Ghana, 1-4 February 2011</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>22nd Session Codex Committee on Fats and Oils, Penang, Malaysia, 21-25 February 2011</p> <p>Myanmar Uzbekistan</p> |
| <p>32nd Session Codex Committee on Methods of Analysis and Sampling, Budapest, Hungary, 7-11 March 2011</p> <p>Angola Armenia Central African Republic Tajikistan</p> |
| <p>43rd Session Codex Committee on Food Additives, Xiamen, Fujian Province, China, 14-18 March 2011</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>5th Session Codex Committee on Contaminants in Foods, The Hague, Netherlands, 21-25 March 2011</p> <p>Cambodia Cameroon Côte d'Ivoire Ethiopia Kenya</p> |
| <p>43rd Session Codex Committee on Pesticide Residues, Beijing, China, 4-9 April 2011</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>31st Session Codex Committee on Fish and Fishery Products, Tromso, Norway, 11-16 April, 2011 Angola Maldives, Republic of Sierra Leone Solomon Islands Sri Lanka</p> |
| <p>16th Codex Committee on Fresh Fruits and Vegetables, Mexico City, Mexico, 2-6 May 2011 Gambia Kenya Moldova, Republic of Pakistan Senegal</p> |
| <p>39th Codex Committee on Food Labelling, Quebec City, Canada, 9-13 May 2011 Cambodia Cameroon Comoros Djibouti Haiti Kenya Kiribati Madagascar Moldova, Republic of Mozambique Nigeria Saint Kitts and Nevis Saint Lucia Samoa Tonga</p> |
| <p>34th Codex Alimentarius Commission, Geneva, Switzerland, 4-9 July 2011 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

19th 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

33rd 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

43rd 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****16th 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 34th 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

| Codex Region | No. of countries eligible | No. of applications received | % of eligible countries applying |
|-------------------------------|----------------------------------|-------------------------------------|---|
| 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% |
| Total for 2012 | 97 | 71 | 73% |

Given the number of applications received from different country sub-groupings, and the liquidity forecast for 2012, at its 20th 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". 4th 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 43rd Session of the Codex Committee on Food Hygiene⁶ 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 43rd 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 44th 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 44th 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

⁶ REP 12/FH 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 5th Session of the CCCF⁷ 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 project⁸ (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.

⁷ REP11/CF http://www.codexalimentarius.net/download/report/758/REP11_CFe.pdf (English)

⁸ 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

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

The carryover to 2012, together with the recorded and expected contributions in the table above will total approximately US\$ 3,835,647⁹.

The provisional budget for the Codex Trust Fund for 2012, agreed by the Consultative Group for the Trust Fund at its 20th 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.

⁹ 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

| Group 1A – Least Developed Countries (LDC) <i>As listed by the Least Developed Countries Report 2010 (UNCTAD)</i> | Group 1B – Other Low Income Countries (LIC) <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> |
|---|---|
| Africa 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 | Africa - |
| Asia Afghanistan Bangladesh Myanmar | Asia *Democratic People's Republic of Korea |
| Europe -- | Europe Kyrgyzstan Tajikistan |
| Near East Yemen | Near East -- |
| South-West Pacific Kiribati | South-West Pacific -- |

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> |
| Africa Cape Verde Congo, Republic of |

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

GROUP 3

| | |
|---|---|
| Group 3A <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> | Group 3B <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> |
| Africa Gabon Namibia South Africa | Africa Mauritius |
| Asia -- | Asia -- |
| Europe -- | Europe Azerbaijan, Republic of Belarus Bosnia Herzegovina Bulgaria Kazakhstan Montenegro Romania Russian Federation The Former Yugoslav Republic of Macedonia |
| Latin America and the Caribbean *Saint Vincent and the Grenadines Suriname | Latin America and the Caribbean Brazil Dominica Grenada Saint Kitts and Nevis Venezuela |
| Near East -- | Near East Algeria Libyan Arab Jamahiriya |

Group 4

Countries eligible for 2 years additional support at 50% for 2 priority Codex meetings in each calendar year¹⁰ (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

--

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

¹⁰ See http://www.codexalimentarius.net/download/report/767/REP11_CACe.pdf paragraphs 216-236 for deliberations and conclusions at 34th Session of the Codex Alimentarius Commission

"Graduates" of the Codex Trust Fund¹¹

| | |
|--|---|
| 2012 (18 Graduates) | Albania, Angola, Botswana, Cambodia, Cameroon, Ethiopia, Guinea Bissau, Kenya, Lesotho, Madagascar, Nigeria, Saint Lucia, Samoa, Senegal, Republic of Serbia, Solomon Islands, Sri Lanka, Vanuatu |
| 2011 (27 Graduates) | 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 |
| 2010 (7 Graduates) | Egypt, Guyana, Honduras, Jamaica, Philippines, Syrian Arab Republic, Cook Islands |
| 2009 (13 Graduates) | Bolivia, Colombia, Croatia, Cuba, Dominican Republic, Ecuador, El Salvador, Guatemala, Iran, Morocco, Paraguay, Peru, Tunisia |
| 2008 (6 Graduates) | Antigua and Barbuda, Argentina, Chile, Mexico, Seychelles, Uruguay |
| 2007 (4 Graduates) | Costa Rica, Lithuania, Panama, Poland |
| Total number of graduated countries | 75 countries |

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

| |
|---|
| Malaysia (Codex Trust Fund donor country) |
|---|

¹¹ 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) 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>33rd Session Codex Committee on Methods of Analysis and Sampling, Budapest, Hungary, 5-9 March 2012</p> <p>Cape Verde Central African Republic Georgia Mauritania Moldova, Republic of Montenegro Samoa Tajikistan Uzbekistan</p> |
| <p>44th Codex Committee on Food Additives, Hangzhou, China, 12-16 March 2012</p> <p>Côte d'Ivoire DPR Korea Maldives Mauritius Nepal Sierra Leone</p> |
| <p>6th Codex Committee on Contaminants in Foods, Maastricht, Netherlands, 26-30 March 2012</p> <p>Benin Burkina Faso Congo, Republic of Djibouti Liberia Mozambique Myanmar Nepal Seychelles United Republic of Tanzania</p> |
| <p>27th Codex Committee on General Principles, Paris, France, 2-6 April 2012</p> <p>Benin Burundi Central African Republic Comoros Côte d'Ivoire Georgia Guinea Bissau Lesotho Myanmar Niger</p> |
| <p>44th Session Codex Committee on Pesticide Residues, Shanghai, China, 23-28 April 2012</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.¹² 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

| | |
|-------------------------|--|
| Development goal | 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. |
| Key objective | Increased relevance ¹³ of Codex standards to developing countries. |
| Outcome 1 | Widened participation in Codex |
| Outcome 2 | Strengthened overall participation in Codex |
| Outcome 3 | Increased availability of scientific evidence in Codex |
| Output 1 | Participation sponsored |
| Output 2 | Capacity building performed |
| Output 3 | Scientific data produced |

¹² See http://www.who.int/foodsafety/codex/en/proj_doc_e.pdf

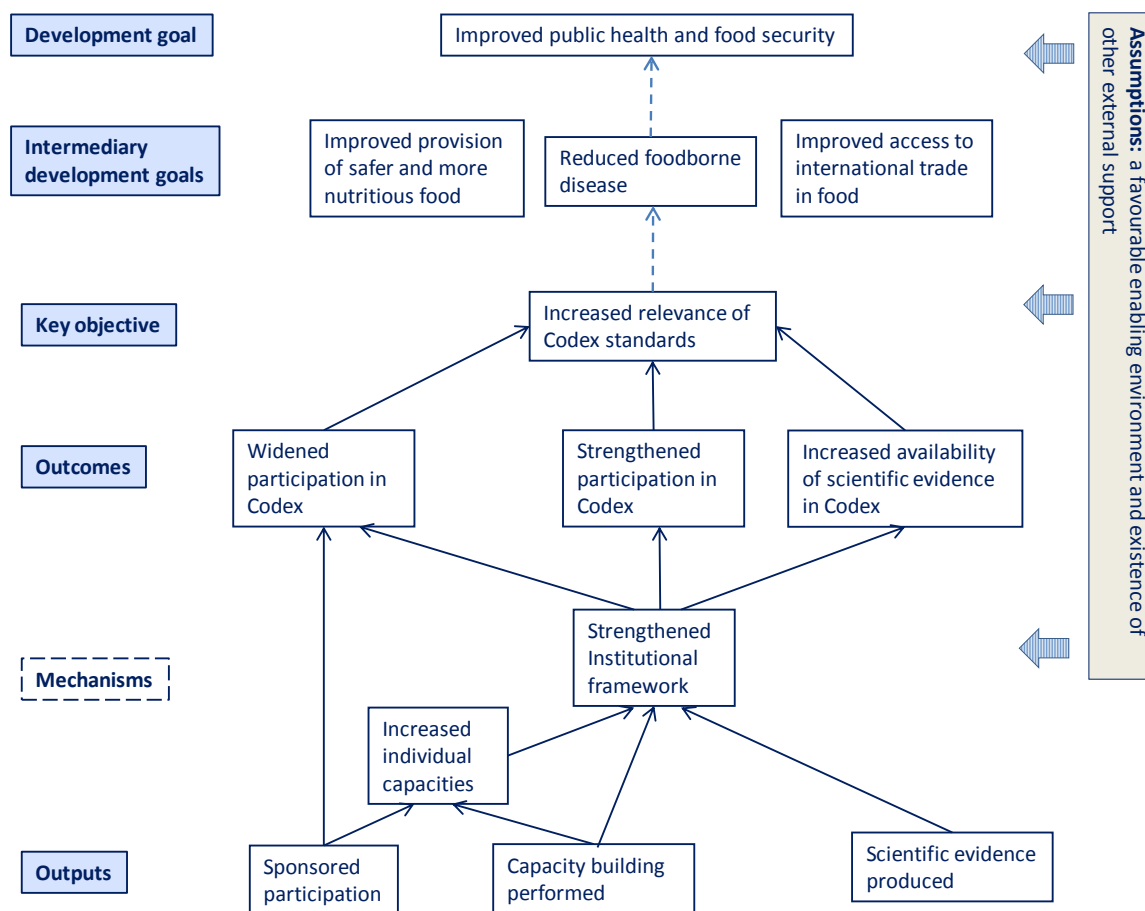
¹³ When all member states are involved in shaping the programme of Codex work and subsequently developing Codex standards the resulting standards are assumed to be more inclusive, equitable, relevant and usable for the widest possible number of Codex member states.

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

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

Output 1-2 Participants who are satisfied with their participation

| | |
|-----------------------------------|--|
| Monitoring question | Is the experience of participating in Codex meetings meaningful for participants in relation to future Codex work in their countries? |
| Indicator | Participants who are satisfied with their participation and likely to promote future participation in Codex |
| Data collection and source | 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

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

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

| | |
|-----------------------------------|--|
| Monitoring question | Is the knowledge learned in Codex capacity development activities likely to be applied in national administrations in a way that promotes participation in Codex? |
| Indicator | Participants who are satisfied with the capacity development activities and likely to apply the knowledge in their national administrations |
| Data collection and source | 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

| | |
|-----------------------------------|---|
| Monitoring question | Has CTF contributed to improved input of scientific and technical data to Codex discussions? |
| Indicator | Data generated from CTF-supported projects |
| Data collection and source | 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

| | |
|-----------------------------------|---|
| Monitoring question | Do CTF graduate countries continue to participate in Codex meetings when their participation is no longer sponsored by CTF? |
| Indicator | % of total graduate countries continuing to participate in Codex committees after graduation |
| Data collection and source | 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

| | |
|-----------------------------------|--|
| Monitoring question | Are there any overall changes in the extent of developing countries' participation in Codex? |
| Indicator | Total number of delegates from developing and transition economy countries participating in Codex meetings |
| Data collection and source | 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

| | |
|-----------------------------------|---|
| Monitoring question | Are CTF eligible countries meeting their 50% matched funding requirement? |
| Indicator | Total number of CTF eligible countries on 50% matched funding status using 1 or more options to match the CTF support |
| Data collection and source | 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

| | |
|-----------------------------------|--|
| Monitoring question | How does engagement in Codex work of CTF eligible countries evolve? |
| Indicator | Submission of written comments to Codex committees by CTF eligible countries |
| Data collection and source | 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

| | |
|-----------------------------------|---|
| Monitoring question | Are the CTF eligible countries increasing their capabilities to plan for and solicit support for participation in Codex committees? |
| Indicator | % 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 |
| Data collection and source | 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

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

Outcome 2-4 Participants in capacity development activities applying knowledge

| | |
|----------------------------|--|
| Monitoring question | Are participants in capacity development activities applying knowledge to strengthen their contribution to Codex standard-setting? |
|----------------------------|--|

| | |
|-----------------------------------|--|
| Indicator | % of participants in capacity development activities who state that they apply knowledge gained from activities |
| Data collection and source | 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

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

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

Administration 2- Satisfaction of beneficiaries

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

Management 1 Satisfaction of stakeholders

| | |
|-----------------------------------|---|
| Monitoring question | Is the CTF sufficiently responding to needs of Codex Member States for wide and effective participation in Codex? |
| Indicator | % of CTF stakeholders who are satisfied with the management of the CTF |
| Data collection and source | 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. |