

codex alimentarius commission

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FOOD AND AGRICULTURE
ORGANIZATION
OF THE UNITED NATIONS

WORLD
HEALTH
ORGANIZATION



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Agenda Item 8 a)

CX/EXEC 09/63/10

JOINT FAO/WHO FOOD STANDARDS PROGRAMME

EXECUTIVE COMMITTEE OF THE CODEX ALIMENTARIUS COMMISSION

Sixty-third Session, WHO Headquarters, Geneva, 8 – 11 December 2009

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

Prepared by the WHO Secretariat for the Trust Fund

TWELTH PROGRESS REPORT (JULY - DECEMBER 2009)

A. INTRODUCTION

1. This is the Twelfth Progress Report on the FAO/WHO Project and Fund for Enhanced Participation in Codex (Codex Trust Fund). It covers activities for the second half of 2009 and follows on from the information contained in the Eleventh Progress Report (ALINORM 08/32/9E, Part 2).

B. TECHNICAL SECTION

2009 Meeting Participation

2. For the period January to October 2009 193 delegates from 78 countries were supported to attend 13 Codex meetings. Annex A provides details of the countries supported. For the period November to December 2009, 52 delegates from 47 countries are expected to be supported to attend two Codex meetings. Annex B provides details of this projected support. The overall breakdown of participants from January to December 2009 is expected to be: 80% from Least Developed Countries and other lower income countries; 16% from lower middle income countries; and 4% from upper middle income countries.

3. Countries supported by the Trust Fund are required to submit concise but comprehensive reports outlining their activities before, during and after the meetings including the impact that attendance had on Codex activities at national level. A new on-line reporting system was piloted in the first half of 2009. Pilot participants were asked to provide feedback on the new reporting format and system and additional comments and feedback were solicited at the meeting of beneficiary countries held on the margins of the 32nd Session of the Codex Alimentarius Commission in July 2009. Comments and feedback were incorporated into the reporting format and system which was then generalized for use for participation in Codex meeting supported by the Codex Trust Fund from September 2009. First results from analysis of information and data using the new reporting format and system will be made available in the Codex Trust Fund Annual Report 2009.

2010 Applications

4. The "Call for Applications" for support in 2010 was made widely available in September 2009 using the following channels: Codex-L; WHO and FAO regional offices and representatives in countries, WHO, FAO, Codex Trust Fund and Codex Secretariat websites, WHO and FAO newsletters, direct e-mails to Codex Contact Points in eligible countries by the Codex Trust Fund Secretariat. Applications will be reviewed in November 2009 prior to consideration by the Consultative Group for the Trust Fund (CGTF) in December 2009 when decisions will be made on levels of support to be provided in 2010 as a function of funding available in the Codex Trust Fund and number of applications received from each country sub-grouping. Countries will be advised of the outcome of their applications before the end of 2009, or by the end of the first week in 2010.

C. FINANCIAL SECTION

2009 Finances

5. An additional contribution of Euros 50,000 (\$US 78,864) was received from Germany in 2008 which was not recorded in WHO accounts until 2009 and therefore does not appear in Table 5 of the Annual Report 2008 (ALINORM 08/32/9E, Part 1).

6-. During the period January to October 2009 a total of US\$ 883,350 was received in contributions from European Commission, Germany, Ireland, Japan, Netherlands, New Zealand, Malaysia. Table 1 provides the breakdown.

Table 1. Codex Trust Fund - Contributions received January to October 2009

Donor	Amount Received (in contribution currency)	Amount Received (in US\$)	Date Received
European Commission	Euros 225,000	\$291,451	January 2009
Germany	Euros 50,000	\$70,323	March 2009
Ireland	Euros 215,893	\$276,078	January 2009
Malaysia	\$10,000	\$10,000	January 2009
Japan	\$80,000	\$80,000	January 2009
New Zealand	NZ\$ 50,000	\$27,778	January 2009
Japan	\$50,000	\$50,000	July 2009
Netherlands	Euros 60,000	\$77720	October 2009

8. Additional contributions amounting to approximately US\$ 1,038,235 are expected by December 2009. Sources from which contributions are expected are: the United States of America and the Netherlands. As this progress report goes into print the only additional pledge that has been received for 2010 is from Sweden for SEK 5,000,000 (approx. US\$ 715,308). While efforts continue to be made to secure other donations for 2010 and beyond, as at October 2009, a figure of US\$ 2.4 million (including administrative and management costs) is being used to plan levels of participant support in 2010 to ensure that support levels remain constant with those of 2009. There is currently a US\$ 870,070 funding gap that would allow the Trust Fund to offer this level of support in 2010 with sufficient carryover to ensure participation in Codex meetings in the first quarter of 2011.

9. Total expenditure by the Codex Trust Fund in 2009 is projected to be US\$ 1.8 million (including administrative and management costs). The total average cost of supporting participants to Codex meetings, including all administrative functions related to the Trust Fund, is expected to be US\$ 4,000 per participant. The Codex Trust Fund continues to apply policies and procedures to reduce costs of travel including provision of economy class tickets to all participants and choice of most direct lowest cost routings.

D. OTHER ISSUES

Eligibility

12. In line with established policy and practice of the Trust Fund, country eligibility was reviewed in August 2009 for support in 2010 using the latest information available from the United Nations Conference on Trade and Development (UNCTAD) Least Developed Countries Report, the World Bank World Development Report, and the United Nations Development Programme (UNDP) Human Development Report. Changes in eligibility and country groupings were as follows:

- Comoros, Djibouti, Sao Tome and Principe, Somalia and Tajikistan as new Codex members added to group 1A (LDC status).
- Montenegro as new Codex member added to group 3B.
- India and Mongolia moved from Group 1B to Group 2 (due to lower middle income status).
- Fiji, Jamaica, Republic of Serbia and Suriname moved from Group 2 to Group 3A (due to upper middle income status).
- Belarus moved from Group 2 to Group 3B (due to upper middle income).
- Libyan Arab Jamahiriya and Russian Federation moved from 3A to 3B (due to high human development status).
- Oman, Hungary and Slovak Republic are no longer eligible due to ranking as high income OECD countries.

13. In accordance with the matched funding status requirement as stipulated in the initial project document (http://www.who.int/foodsafety/codex/en/proj_doc_e.pdf), and the revised matched funding scale adopted by the CGTF at their ninth meeting in April 2006, the following countries have "graduated" from the Codex Trust Fund:

Graduates of the Codex Trust Fund

2009	Bolivia, Colombia, Croatia, Cuba, Dominican Republic, Ecuador, El Salvador, Guatemala, Iran, Morocco, Paraguay, Peru, Tunisia
2008	Antigua and Barbuda, Argentina, Chile, Mexico, Seychelles, Uruguay
2007	Costa Rica, Lithuania, Panama, Poland
Total number of graduated countries	23

They were expected to be fully self-funding to participate in Codex meetings in 2009 and will not be eligible to submit an application for support in 2010.

Mid-term review of the Codex Trust

15. The Trust Fund is currently in its sixth year of operation, halfway through its planned duration. As specified in the Codex Alimentarius Commission Strategic Plan 2008-2013, a mid-term review (MTR) to assess the progress and sustainability of the Fund, should be carried out. The review will also serve as the basis to determine the focus of the Fund's activities for the remaining project duration. In line with established good practices in evaluations, the mid-term review will be carried out by an independent external evaluator/evaluation team.

16. A proposal for the mid-term review (LIM/32/19) was tabled at the 32nd Session of the Codex Alimentarius Commission for consideration and comments. Member States requested the opportunity to peruse the document and provide comments by electronic means. A request for comments was sent out on the Codex-L in July 2009. Comments were received from 11 Member States and one Member Organization. A summary table of comments received is attached in Annex D. The final text of the Terms of Reference for the mid-term review is included in Annex E

17. The "Call for Expression of Interest" was circulated widely using all Codex, FAO, and WHO channels in addition to targeted distribution to relevant networks, listserves and websites for posting. As at 9 October 2009, responses had been received from 46 candidates using the DataCol collection tool.

18. The main criteria for selection were: experience in leading evaluations for international organizations; experience in work related to food safety, Codex or other international standard setting organizations as well as experience in developing countries.

19. Based on additional information provided in formal tenders from the two best applicants, the Consultative Group for the Trust Fund decided on 27 October 2009 to award the contract for undertaking the mid-term evaluation to the team headed by Mr Kim Forss, Andante - tools for thinking AB. The team members are: Mr Kim Forss, evaluation specialist from Sweden; Ms Eve Kasirye-Alemu, food scientist, former head of the Uganda Bureau of Standards and former Coordinator of the Codex Coordinating Committee for Africa; Mr Jens Andersson, trade, aid and development specialist from Sweden.

21. The preliminary workplan and timetable of the mid-term review as proposed in the formal tender of the evaluation team is as follows:

1) Inception phase (November-December 2009) including initial desk study, interaction with CCEXEC (December 2009), development of review structure and inception report.

2) Data collection phase (January-February 2010) including country visits, in-person and telephone visits with stakeholders and WHO, FAO and Codex Secretariat, questionnaire to Codex Contact Points and others, including WHO/FAO country and regional staff.

3) Analysis and reporting phase (February-April 2010) including final report (30 April 2010) and presentation at sessions of CAC and CCEXEC (June-July 2010).

Annex A - Countries supported by the Codex Trust Fund, January-October 2009

Meeting	Country
5th Coordinating Committee for the Near East, 26-29 January 2009, Tunis, Tunisia (CCNE)	Lebanon Sudan Syria
21st Codex Committee on Fats and Oils, 16-20 February 2009, Kota Kinabalu, Malaysia (CCFO)	Ethiopia Gambia Maldives Syria Togo
18 th Coordinating Committee for Africa, 24-27 February 2009, Accra, Ghana (CCAFRICA)	Angola Benin Burundi Cameroon Central African Republic Congo, Democratic Republic of Côte d'Ivoire Gambia Guinea Lesotho Liberia Madagascar Malawi Sierra Leone Sudan Swaziland Uganda United Republic of Tanzania Fiji
30 th Codex Committee on Methods of Analysis and Sampling, 9 - 13 March 2009, Balatonalmádi, Hungary (CCMAS)	
41 st Codex Committee on Food Additives, 16-20 March 2009, Shanghai, China (CCFA)	Georgia Macedonia, Former Yugoslav Republic of Sierra Leone Rwanda Viet Nam
3 rd Codex Committee on Contaminants in Foods, 23-27 March 2009, Rotterdam, The Netherlands (CCCF)	Cambodia Ghana Kenya Pakistan Rwanda Serbia Sudan United Republic of Tanzania Uzbekistan Viet Nam
25th Session Codex Committee on General Principles, 30 March - 3 April 2009, Paris, France (CCGP)	Cambodia Central African Republic Côte d'Ivoire Egypt Georgia Guinea Bissau India Kyrgyzstan Mozambique Samoa Uganda Uzbekistan

41st Codex Committee on Pesticide Residues,
20-25 April 2009, Beijing, China (CCPR)

Angola
Cameroon
Cook Islands
Ghana
Guinée
Guinea Bissau
Ethiopia
Haiti
India
Jamaica
Kenya
Lao Peoples Democratic Republic
Lesotho
Malawi
Maldives
Mali
Mozambique
Mauritania
Pakistan
Serbia
Sierra Leone
Tajikistan
Togo
Tonga
Uganda

37th Codex Committee on Food Labelling
04-08 May 2009, Calgary, Canada (CCFL)

United Republic of Tanzania
Bulgaria
Guinea Bissau
Guyana
Haiti
Jamaica
Kyrgyzstan
Lao Peoples Democratic Republic
Lesotho
Mali
Mauritania
Micronesia, Federated States of
Nicaragua
Papua New Guinea
Saint Lucia
Samoa
Solomon Islands
Turkey
Vanuatu
Viet Nam

18th Codex Committee on Residues of Veterinary
Drugs in Foods, 11-15 May 2009, Natal, Brazil
(CCRVDF)

Cameroon
Kenya
Libyan Arab Jamahiriya
Malawi
Mali
Pakistan
Philippines
Serbia
Zambia
Zimbabwe

32nd Codex Alimentarius Commission, 29 June -
04 July 2009, Rome, Italy (CAC)

Afghanistan
Angola
Armenia
Belize
Benin
Bhutan
Bosnia & Herzegovina
Burkina Faso
Burundi
Congo, Democratic Republic of
Côte d'Ivoire
Democratic People's Republic of Korea
Egypt
Eritrea
Ethiopia
Gambia
Georgia
Guinea
Jamaica
Kyrgyzstan People's Democratic Republic
Lao People's Democratic Republic
Mauritania
Mozambique
Niger
Nigeria
Papua New Guinea
Rwanda
Samoa
Solomon Islands
Senegal
Swaziland
Syrian Arab Republic
Togo
Uganda
United Republic of Tanzania
Vanuatu
Viet Nam
Zimbabwe
Armenia
Cambodia
Cape Verde
Cook Islands
Cuba
Eritrea
Fiji
Gambia
Ghana
Guinea
Guinea-Bissau
Guyana
Honduras
Kiribati
Liberia
Libyan Arab Jamahiriya
Maldives
Mauritania
Micronesia, Federated States of
Pakistan
Papua New Guinea

30th Codex Committee on Fish and Fishery
Products, 28 September - 2 October 2009, Agadir,
Morocco (CCFFP)

3rd Ad hoc Codex Intergovernmental Task Force
on Antimicrobial Resistance, 12 - 16 October
2009, Jeju, Republic of Korea (TFAMR)
15th Codex Committee on Fresh Fruits and
Vegetables, 19-23 October 2009, Mexico City,
Mexico (CCFFV)

Philippines
Rwanda
Solomon Islands
Suriname
Philippines
Uzbekistan

Belize
Bhutan
Burkina Faso
Burundi
Cook Islands
Gambia
Ghana
Grenada
Guyana
Haiti
Honduras
Kenya
Kiribati
Madagascar
Mali
Nepal
Nicaragua
Samoa
Senegal
Sierra Leone
Swaziland
Togo
Tonga
Vanuatu
Zambia

Annex B - Countries to be supported by the Codex Trust Fund, November-December 2009

31st Codex Committee on Nutrition and
Foods for Special Dietary Uses, 2-6
November 2009, Duesseldorf, Germany
(CCNFSDU)

Benin
Burkina Faso
Congo, Democratic Republic of
Côte d'Ivoire
Democratic People's Republic of Korea
Eritrea
Ethiopia
Kiribati
Libyan Arab Jamahiriya
Mongolia
Mozambique
Niger
Sierra Leone
Sudan

41st Codex Committee on Food Hygiene, 16-20
November 2009, Washington, United States of
America (CCFH)

Algeria
Bhutan
Bosnia & Herzegovina
Bulgaria
Burundi
Cambodia
Cameroon
Cape Verde
Central African Republic
Congo, Democratic Republic of the
Egypt
Ghana
Guinea-Bissau
Honduras
Kiribati
Kyrgyzstan
Lao People's Democratic Republic
Lebanon
Madagascar
Malawi
Maldives
Mali
Mongolia
Nicaragua
Niger
Papua New Guinea
Rwanda
Saint Vincent and the Grenadines
Samoa
Senegal
Sudan
Tajikistan
Tonga
Turkey
Vanuatu
Viet Nam

Annex C - Grouping of Eligible Countries

GROUPING OF ELIGIBLE COUNTRIES - 2010 SUPPORT

116 countries in total (as 30 August 2009)

Changes: Comoros, Djibouti, Montenegro, Sao Tome and Principe, Somalia and Tajikistan as new Codex members added to group 1A (LDC status). India and Mongolia moved from Group 1B to Group 2 (due to lower middle income status). Fiji, Jamaica, Republic of Serbia and Suriname moved from Group 2 to Group 3A (due to upper middle income status). Belarus moved from Group 2 to Group 3B (due to upper middle income). Libyan Arab Jamahiriya and Russian Federation moved from 3A to 3B (due to high human development status). Oman, Hungary and Slovak Republic are no longer eligible due to ranking as high income OECD countries.

GROUP 1 (59 countries)

Group 1A – Least Developed Countries (LDC)

*As listed by the Least Developed Countries Report
2009 (UNCTAD)*

Africa

Angola
Benin
Burkina Faso
Burundi
Central African Republic
Chad
Comoros
Democratic Republic of the Congo
Djibouti
Equatorial Guinea
Eritrea
Ethiopia
Gambia
Guinea
Guinea-Bissau
Lesotho
Liberia
Madagascar
Malawi
Mali
Mauritania
Mozambique
Niger
Rwanda
Sao Tome and Principe
Senegal
Sierra Leone
Somalia
Togo
Uganda
United Republic of Tanzania
Zambia

Asia

Afghanistan

Group 1B – Other Low Income Countries (LIC)

*Listed as LIC by the World Development Report 2009 (World
Bank) and Low Human Development or Medium Human
Development by the Human Development Report 2007/2008
(UNDP). *except Democratic People's Republic of Korea for
which Human Development Index is not computed*

Africa

Côte d'Ivoire
Ghana
Kenya
Nigeria
Zimbabwe

Asia

*Democratic People's Republic of Korea

Bangladesh
Bhutan
Cambodia
Lao Peoples Democratic Republic
Maldives
Myanmar
Nepal
Europe
Tajikistan

Latin America and the Caribbean

Haiti

Near East

Sudan

Yemen

South-West Pacific

Kiribati

Samoa

Solomon Islands

Vanuatu

48 countries

Pakistan
Viet Nam

Europe

Kyrgyzstan

Uzbekistan

Latin America and the Caribbean

Near East

South-West Pacific

Papua New Guinea

11 countries

GROUP 2 (30 countries)

*Countries listed as Lower Middle income Countries (LMC) by the World Development Report 2009 (World Bank) and Medium Human Development (MHD) or High Human Development (HHD) by the Human Development Report 2007/2008 (UNDP). *except Cook Islands which is not ranked in either report and Iraq, Federated States of Micronesia for which Human Development Index is not computed.*

Africa

Cameroon
Cape Verde
Congo, Republic of
Namibia
Swaziland

Asia

China
India
Indonesia
Mongolia
Philippines
Sri Lanka
Thailand

Europe

Albania
Armenia
Bosnia Herzegovina
Georgia
Moldova, Republic of
The Former Yugoslav Republic of Macedonia
Ukraine

Latin America and the Caribbean

Guyana
Honduras
Nicaragua

Near East

Algeria
Egypt
*Iraq
Jordan
Syrian Arab Republic

South-West Pacific

*Cook Islands
*Micronesia, Federated States of
Tonga

30 countries

GROUP 3 (27 countries)

Group 3A	Group 3B
<i>Countries listed as Upper Middle income Countries (UMC) in the World Development Report 2009 (World Bank) and Medium Human Development (MHD) in the Human Development Report 2007/2008 (UNDP).</i>	<i>Countries listed as Upper Middle income Countries (UMC) in the World Development Report 2009 (World Bank) and High Human Development (HHD) in the Human Development Report 2007/2008 (UNDP).</i>
Africa	Africa
Botswana	Mauritius
Gabon	
South Africa	
Asia	Asia
	Malaysia
Europe	Europe
Kazakhstan	Belarus
Republic of Serbia	Bulgaria
Turkey	Latvia
	Montenegro
	Romania
	Russian Federation
Latin America and the Caribbean	Latin America and the Caribbean
Belize	Brazil
Dominica ¹	Saint Kitts and Nevis
Grenada	
Jamaica	
Saint Lucia	
Saint Vincent and the Grenadines	
Suriname	
Venezuela	
Near East	Near East
Lebanon	Libyan Arab Jamahiriya
South-West Pacific	South-West Pacific
Fiji	-
16 countries	11 countries
"Graduates" of the Codex Trust Fund²	
2009	Bolivia, Colombia, Croatia, Cuba, Dominican Republic, Ecuador, El Salvador, Guatemala, Iran, Morocco, Paraguay, Peru, Tunisia
2008	Antigua and Barbuda, Argentina, Chile, Mexico, Seychelles, Uruguay
2007	Costa Rica, Lithuania, Panama, Poland
Total number of graduated countries	23 countries

¹ As Dominica is on the list of Small Island Developing States and with population below 1 million, it is eligible for support in 2010.

² 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 D - Summary of Comments Received on Proposed Terms of Reference
for Codex Trust Fund Mid-term Review**

RESPONDENT	COMMENTS
1. Overall Objectives of the mid-term review	
Netherlands; New Zealand	Should be slanted towards the future
Japan	<i>Some comments from Japan on Part B relevant here</i>
Finland	In order to be worthwhile carrying out MTR would need assurances from FAO/WHO that CTF will continue beyond 2012
2. Timeline	
United States of America (US); United Kingdom (UK)	Final draft for 64th CCEXEC, review of recommendations at 33rd CAC
UK	Submission of exec summary and draft recommendations to 26th CCGP
	Submission of draft to stakeholder advisory panel 3 March 2010
Japan	draft or advance report by end of 2009 so outcomes can be considered first in 63rd CCEXEC (Dec 2009)
Costa Rica	Final report with recommendations from CCEXEC should be submitted for discussion at 33rd CAC. Main outputs should be published in all official CAC languages and distributed through Codex-L at same time as submission to CCEXEC.
Finland	Field work to start no later than Nov 2009, draft circulation by Feb 2010, discussion of report at 33rd CAC
3. Key skills and experience requirements of the evaluator(s).	
USA	Social scientist with experience in program evaluations, including development of survey instruments
	Do not include knowledge of food safety
	Do not include experience with international standard setting bodies
Norway	Experience in evaluations in general, in particular from developing countries, UN
	Food safety knowledge not essential
Netherlands; New Zealand	Knowledge of capacity building in developing countries
New Zealand	Knowledge of Codex programmes
UK	Evaluator should be independent of administration of donor or beneficiary country
Japan	Fluent in Eng, Fr, Sp. Well experienced in international activities and capability to ensure fairness in analysis
Finland	Familiarity with UN, Codex, experience in development aid. Meticulous, good database construction and analytical skills

RESPONDENT	COMMENTS
1.1 Specific objectives and key questions	
United States of America (USA)	Assess progress towards implementing recommendations from Connor and Slorach
	Address barriers to effective participation and recommend corrective actions;
	Identify metrics for effective participation in Codex;
Sudan	Add a 3rd specific objective: potential benefits and risks relative to potential continuation of the CTF after 12 years
Netherlands	Look at suitable indicators for monitoring performance and impact of CTF
	What further support can CTF provide at national and regional levels to generate sustainable and effective participation from developing countries?
Norway	Look at eligible countries who are not yet beneficiaries: what are barriers to applying for CTF funding?
United Kingdom (UK)	Provide recommendations on how Fund should operate "with value for money"
European Commission	Is the selection of beneficiary countries done in a transparent and equitable manner?
Paraguay	Look at effective participation of developing countries
	Examine who is attending Codex meetings (i.e. FAO mission reps or country delegates)
	Look at continuity of country participation in meetings
	CTF should not be funding capacity-building but focus on funding participation in meetings
Japan	Agree with specific objectives. Propose additional key questions: 1) What are real concerns and constraints in beneficiary countries? 2) What is expected of CTF in order to solve real problems? 3) What are the current roles played by beneficiaries in activities related to food safety and/or quality, food trade in their own country? 4) To what extent do beneficiary countries think the national Codex infrastructure has been strengthened to involve all stakeholders in Codex work at national level? 5) To what extent do beneficiary countries think capacity has been strengthened to participate, in particular with respect to use of written comments, provision of scientific data to chair of a working group etc.? 6) what are the perspectives of beneficiaries on ways to ensure sustainable participation in Codex after 2016?
Costa Rica	Assess progress made to date concerning principal outputs of CTF taking into consideration: criteria for allocation of resources; regional representation; effective and active participation; economic capacity of countries
	Include in assessment costs associated with participation of each region in Codex meetings
Sweden (SIDA)	Clarity in TORs in specifying need to analyse current objectives and criteria for support
	MTR should look at who is doing what in area of capacity-building that relates to scope of work of CTF and recommend "division of labour" in this regard
	Analyse impact of CTF at national level; look at national prep and coordination and follow up after Codex meetings; look at policy implications at national level thanks to increased Codex participation

Finland	Analysis of attendance but also evaluation of consequences of attendance for participant/country. Does the CTF-supported attendance lead to long term involvement in Codex work?
1.2. Evaluation criteria	
Paraguay	Call into question the criteria used for categorization of countries and distribution of funds. Suggestions made for new criteria and indicator to assess effective and continued participation in Codex
Japan	Add to (e - sustainability): what are the perspectives of beneficiaries after the termination of the CTF and what efforts would be needed to ensure sustainable participation? How to introduce self-funding mechanisms and improvement of capacity at national level?
Costa Rica	Relevance - Add following 2: Is the fund boosting participation in Codex meetings? Is this boost in participation effective and measurable?
	Effectiveness - Add following 2: Does this financial assistance support neutrality and regional representation? How effective are the criteria for allocation of resources?
	Efficiency - Add following: Are there any data, indicators or information to measure the effectiveness of the participation of beneficiary countries (e.g. cost per country; cost per attendance...).
	Impact - add following: Was the allocation of resources between regions fair?
	Sustainability - add following: In what way could countries that have "graduated" from CTF be eligible to access the Fund?
	Management - add following 2: How could funds be distributed among developing countries in accordance with the economic capacity of each country over the same period of time? Should information on administrative decisions and costs be included.
	Recommends inclusion of new para (g) where countries have opportunity to make proposals on improving the management, distribution and adm of CTF
Finland	OECD DAC principles for evaluation valid, workable and fitting for evaluating CTF
2.1. Inclusion of assessment of wider context	
Sudan	Support for assisting LDCs to initiate scientific/technical programmes at national level
	Capacity building activities
Haiti	Evaluation of FAO and WHO technical assistance for strengthening NCCs
	Assistance for strengthening national food safety capacities
Paraguay	CTF created only to support participation in Codex meetings. Everything else should be supported from other sources of funding
	Include examination of impediments to one government or company financing participation of another country

Japan	Send questionnaires to both beneficiary (eligible) countries and donor countries and use telephone interviews as appropriate to seek: clear answers on current situation/problems in use of CTF; constraints on national Codex activities; sustainable capacity of food safety competent authority; perspective on second term of CTF; ways to ensure sustainable participation after termination of CTF
	Source of data to include existing documents and statistics. Information to be collected through interviews and/or questionnaires with responses from as many as possible but content well-focused to reduce burden on respondents.
Costa Rica	Suggests setting up workshop in which evaluators, donor countries and developing countries can jointly assess the impact of CTF on each country
Finland	Use of regional committees - could perhaps generate data on penetration of Codex activities and standards in countries if given questionnaire instrument by evaluator/team.
3.1 Establishment of stakeholder advisory panel	
Japan	Does not agree if the membership does not include all donor countries (and potential donor countries). TORS of such group not clear.
3.2 Role, composition, selection of advisory panel	
USA	US requests to be a member of the panel
Haiti	Panel members should be chosen by vote of member states organized by FAO/WHO regional coordination committees
UK	Clearly define separate roles of panel and of CGTF to avoid many reporting lines
Paraguay	Should comprise members of donor countries, coordinators from each region, representatives of geographical groups.
Japan	See comments under 3.1. above
Costa Rica	Beneficiary countries to be represented on advisory pane. Composition should represent all developing countries in Codex regions. Idem for donor countries.
Finland	Proposed composition is good. Donor & beneficiary reps should represent diversity of CTF programme
3.3 Expected deliverables of midterm review	
UK	Recommendations on how the Trust Fund should operate to deliver the expected outputs of the Trust Fund effectively and efficiently
Sudan	Recommendations for strengthening Codex management capabilities at national level
Paraguay	Build a classification of countries in which factors in B41 are weighted
	Redefinition of criteria to enable reentry of LAC countries at Year 1

Japan	Identify real concerns and constraints in developing countries. Make concrete recommendations and/or proposals for solving these problems through CTF. Undertake in-depth analysis of possibility of self-funding or other mechanisms for sustainable participation after CTF.
	Answers to all key questions in 1.1. above
	FAO/WHO should commence consideration on development of guidance for use by developing countries regarding ways of ensuring transparency, fairness and equality in using sources from other funds for participating in Codex after end of CTF
SIDA	Recommendations in the area of fundraising and marketing and look at other potential contributors
	MTR to comment on how areas of gender equality and environment aspects could be strengthened in work of CTF (including commenting on existing draft TORs of CTF for gender and Codex study)
Finland	Not only hard data and numbers but also well-founded opinion on why objectives of CTF have not been reached if this is the case
4.1 Other comments	
Haiti	Evaluation should also examine the effectiveness of national food safety infrastructure (organization, resources)
Japan	Intent of mid-term review should not be to expand CTF.
	MTR should evaluate donor country satisfaction with management of CTF
	MTR should make recs on effective systems of reporting from beneficiaries to donor countries (wants to have access to full reports from countries)
	MTR to make full use of existing HR (reg coordinators, FAO/WHO reg officers) for efficient use of budgets and time
	MTR should examine difficulties in the administrative operation of CTF to eliminate frustration of beneficiary countries
	Current budget of CTF should not be used for carrying out MTR
Costa Rica	Requests that paras 33-34 and appendix II of report of 16th session of CCLAC be taken into consideration in MTR (discrimination against region; early graduation of countries in region; criteria used for categorization and fund distribution; administrative delays leading to cost increases; limited availability of CTF secretariat; proposal of new criteria for allocation of resources)
Finland	MTR to explore with beneficiary countries why they do not see work of Codex as important enough to merit continuous and adequate funding from national resources

**INDEPENDENT MIDTERM REVIEW OF THE FAO/WHO PROJECT AND FUND FOR
ENHANCED PARTICIPATION IN CODEX
(CODEX TRUST FUND)
TERMS OF REFERENCE**

I. Purpose and Objectives

The **purpose** of the mid-term review is to evaluate the progress of the Codex Trust Fund to date and provide actionable recommendations that can be applied looking forward to the second half of the Codex Trust Fund lifespan and beyond.

The specific **objectives** of the review are to:

1. Identify and learn from the successes and weaknesses of the Trust Fund in its first 6 years of operation in regards to progress towards its key expected results, with special emphasis on its impact at the national and regional levels.
2. Provide recommendations for refining or adjusting the focus of the Trust Fund's activities for the remaining project duration with a view to enable the Project to achieve a sustainable impact.
3. Provide recommendations with regards to continuing or discontinuing the project beyond its 12 year lifespan with benefits and risks of each.

II. Background

The FAO/WHO Project and Fund for Enhanced Participation in Codex (Codex Trust Fund, CTF) was launched in 2003 by the Directors-General of FAO and WHO to help developing countries and those with economies in transition to enhance their level of effective participation in the Codex Alimentarius Commission. It aims to achieve this goal by providing resources for eligible countries to participate in Codex meetings and training courses and enabling them to prepare scientific and technical data related to the Codex standard setting process.

The 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 supported 884 participants from 129 countries to attend Codex meetings, task forces, and working groups. As at December 2008, the Fund had received over US \$7.4 million from 14 Codex Member States and the European Union as a Codex Member Organization.

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. Daily management of the Fund is undertaken by the Fund's Secretariat, staffed by one full-time general service (secretarial) staff, and one part-time (50%) professional staff. The Codex Trust Fund Secretariat is located in the Department of Food Safety and Zoonoses at the Headquarters of WHO in Geneva.

Two independent assessments on the impact and performance of the Trust Fund were carried out in 2007:

- Connor, R.J. (2007) *Initiatives to explore linkages between increased participation in Codex and enhanced international food trade opportunities*. Funded by the UK Department for International Development (DFID).
- Slorach, S. (2007) *Enquiry Concerning the FAO/WHO Project and Trust Fund for Enhanced Participation in Codex*. Funded by Swedish International Development Agency (SIDA).

The assessments examined the performance and impact of the Trust Fund against the objectives and expected outputs of the Trust fund as stated in the Project Document establishing the Trust Fund (see Annex 1 for a

summary of objectives and outputs extracted from the Project Document³). Both of the assessments concluded that the Trust Fund has been successful in allowing developing countries to participate in setting global food standards (output 1), but that additional efforts were required to strengthen overall participation in Codex (output 2) and enhance the scientific/technical participation in Codex (output 3). Both reports also recommended that a monitoring and evaluation system be developed. In response to the conclusions of the evaluations, a strategic planning process was carried out in 2008 and a strategic action plan (2008-2009) drafted to guide the work of the Codex Trust Fund.

The Trust Fund is currently in its sixth year of operation, half way through its planned duration. As specified in the Codex Alimentarius Commission Strategic Plan 2008-2013, a mid-term review (MTR) to assess the progress and sustainability of the Fund, should be carried out. In line with established good practices in evaluations, the mid-term review will be carried out by an independent external evaluator/evaluation team.

It is envisaged that the results and recommendations of the mid-term review will be presented to Codex member states at the 33rd Session of the Codex Alimentarius Commission. The final report of the mid-term review will be published on the Codex Trust Fund website and circulated widely to relevant networks using electronic means. Recommendations agreed upon will be incorporated into a plan of action for 2010-2012 for implementation by the Codex Trust Fund and stakeholder groups as appropriate.

III. Evaluation Criteria

The mid-term review should address the following questions.

Performance shall be measured against the objectives and expected outputs of the Trust Fund as established in the Codex Trust Fund Project Document and outlined in Annex 1. The key objective of the Trust Fund 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 Codex Alimentarius Commission.

The expected outputs of the Codex Trust Fund are:

1. *Widening participation in Codex.* The number of countries routinely providing delegations to CAC sessions and to its committees/task forces, that address issues of priority health and economic concern for their specific countries, will have increased.
2. *Strengthening overall participation in Codex.* The number of countries routinely developing and putting forth national considerations in the Codex standard setting process will have increased along with their participation in Codex committees/task forces.
3. *Enhancing scientific/technical participation in Codex.* The number of countries that are actively providing scientific/technical advice in support of the Codex standard setting process will have increased.

In accordance with the OECD DAC Principles for Evaluation of Development Assistance⁴, the mid-term review should address the following key evaluation questions:

a) Relevance and Strategic Fit

- Taking into account changes in the external environment in which the project operates, to what extent are the objectives of the project still valid?
- Are the activities and outputs of the project consistent with the overall goal and the attainment of its objectives?
- Are the activities and outputs of the project consistent with the intended impacts and effects?
- What is the continuing added value of the Trust Fund in enhancing effective participation in Codex?
- How well does the Trust Fund complement other FAO and WHO projects and programmes, or other initiatives aimed at strengthening Codex capacity?

³ The full Project Document in English, French and Spanish, and summary objectives in all languages can be found at <http://www.who.int/foodsafety/codex/trustfund/en/index1.html>

⁴ *The Development Assistance Committee Criteria for Evaluating Development Assistance*, OECD (1991) available at http://www.oecd.org/document/22/0,2340,en_2649_34435_2086550_1_1_1_1,00.html

b) Progress and Effectiveness

- To what extent are the objectives achieved/are likely to be achieved?
- What are the major factors influencing the achievement or non-achievement of the objectives?
- What barriers to effective participation in Codex can be identified?
- What progress has the project made so far in implementing the Trust Fund's Strategic Action Plan as the comprehensive follow up to the recommendations in the two assessments carried out on the Codex Trust Fund in 2007?

c) Efficiency

- Are activities cost-efficient?
- Is the project likely to achieve its objectives on time?
- Is the project being implemented in the most efficient way compared to alternatives?

d) Impact

- What has happened as a result of the project?
- What has been the impact at the country/regional levels?
- Can changes be observed in beneficiary countries' Codex infrastructure or food safety systems that can be linked to the project's activities?
- Are the indicators currently being used/proposed for use by the project to measure performance and impact relevant and suitable, specific, measurable, achievable and time-bound (SMART)?

e) Sustainability

- To what extent are the benefits of the project likely to continue after donor funding has ceased?
- What are the major factors which will influence the achievement or non-achievement of sustainability of the project?

f) Project management

In order to capture elements specific to the operations of the Trust Fund, allocation and mobilization of resources, and to highlight learning, the evaluator(s) should give attention to the management arrangements of the Trust Fund:

- Are the current structure and staff arrangements of the Trust Fund Secretariat the most optimal for achieving the intended results?
- Is there adequate exchange between the CTF Secretariat, FAO, WHO and the Codex Alimentarius Secretariat to ensure technical, administrative and political information-sharing and support?
- Are the criteria used for country groupings valid for the purposes of participating in Codex, and do they ensure neutrality and fairness in resource allocation?
- Are financial resource allocations decided upon and administered to beneficiaries in a neutral, transparent and efficient manner?
- How successful has the Trust Fund been in securing resources from donors?
- Is it likely that sufficient financial contributions can be mobilized for the remainder of the project duration?

g) Recommendations

- How should the Trust Fund refine or adjust its focus for the remaining duration of the Project in order to deliver, with value for money, the objectives and outputs effectively?
- What corrective actions should be taken to address barriers to effective participation in Codex?
- What further support can the Trust Fund provide at national and regional levels to generate sustainable and effective participation in Codex from developing countries?
- How can monitoring the Trust Fund's performance be enhanced, particularly in terms of measuring impact at the country level?
- Should the project be extended? If so, under what framework?

IV. Scope and Methodology

The review will cover the Trust Fund's activities since it became operational in March 2004. The focus of the review is on the outcomes and the impact of the Fund on CTF eligible countries, both quantitatively and qualitatively. The Trust Fund should be reviewed taking into consideration the wider context in which the

Trust Fund is operating, particularly FAO and WHO projects and programmes, or other initiatives aimed at strengthening Codex capacity.

The review will collect information, opinions and data from a variety of sources, including through:

1. Desk study of existing Codex Trust Fund documentation and any other relevant data sources, including:
 - Project documents
 - Annual reports and progress reports
 - Financial reports and audited financial statements
 - Independent assessments of the Codex Trust Fund
 - Strategic planning documents
 - Country reports and analyses of country reports
 - Training materials for enhancing participation in Codex and training reports
 - Other key relevant publications and research
2. Information and data gathering from relevant WHO, FAO, Codex Trust Fund Secretariat and Codex Alimentarius Commission staff:
 - On-site interviews of the Trust Fund Secretariat and WHO staff in Geneva, and FAO and Codex Secretariat staff in Rome
 - Written or web-based survey questionnaire of a sample of FAO and WHO regional and country level staff involved with the Trust Fund
3. Data gathering from beneficiary countries, Trust Fund eligible countries who are not beneficiaries, and Trust Fund "graduates." This could include one or a combination of the following:
 - Telephone interviews of country representatives
 - Survey questionnaire of a sample of Codex Contact Points
 - Focus groups and individual meetings with country delegates (to be held during Codex meetings)
 - Field visits to a representative sample of Codex Trust Fund beneficiary countries
4. Telephone and/or in-person interviews with donors contributing to the Fund and non-donors.
5. Telephone, electronic and/or in-person interviews with: 1) countries currently serving as regional Codex coordinators; 2) countries currently hosting Codex committees.
6. Discussions with consultants involved in past evaluations of the Codex Trust Fund.

It is expected that all conclusions by the external evaluator would be based on solid evidence that includes a combination of quantitative and qualitative approaches. The evaluator will be expected to propose a program of meetings, interviews, proposed methodology and data collection instruments, timeline and milestones for progress for consideration by the Consultative Group for the Trust Fund.

V. Management Arrangements, Outputs and Timeline

The evaluator/evaluation team will be selected by the Consultative Group of the Trust Fund among responses to a "Call for Expression of Interest" that will be circulated widely using all relevant channels. The evaluator/evaluation team will report to the Consultative Group for the Trust Fund.

A stakeholder advisory panel be formed to enable the evaluator/evaluation team to have easy access to representatives of each of the key stakeholder groups, thereby enriching the design and implementation of the review with the perspectives and views of different stakeholder groups. It is envisaged that the stakeholder panel will work electronically with the evaluator/evaluation team to provide comments on the methodology and different instruments proposed for use in the evaluation, and serve as a resource for information and consultation as needed by the evaluator/evaluation team.

The **deliverables** expected are:

1. Detailed work plan and timeline which elaborate further the methodology proposed in the TOR.
2. Draft report containing preliminary findings/conclusions.

3. Final report of 50-60 pages in English, including an executive summary of 1-2 pages.
4. Presentation of conclusions and recommendations at the 64th Session of the Executive Committee of the Codex Alimentarius Commission, and 33rd Session of the Codex Alimentarius Commission which will be held in Geneva between 29 June and 9 July 2010.

The preliminary **timeline** for the review is:

- June 29th-July 4th 2009: Presentation of the proposal for the mid-term review at the 32nd Codex Alimentarius Commission for discussion.
- July 30th - October 19th 2009: Issuance of Call for Expressions of Interest, Finalization of Terms of reference
- October 30th 2009: Selection of evaluator/evaluation team.
- November 2nd 2009: Start of the assignment.
- November 2009 - March 2010: Visits to Rome, Geneva. Focus group discussions at Codex Committee meetings. Country visits. Administration of data-gathering instruments.
- March 15th 2010: Submission of first draft report to the Consultative Group for the Trust Fund for comments.
- April 30th 2010: Submission of final report.
- June 29th - July 2nd 2010: Presentation and discussion of final report at the 64th Executive Committee of the Codex Alimentarius Committee
- July 5th - 9th 2010 : Presentation, discussion and adoption of the review and its recommendations at the 33rd Session of the Codex Alimentarius Commission.

Annex: Summary of Codex Trust Fund Objectives and Expected Outputs (extracted from the Project Document)

Key objective:

To help developing countries and those with economies in transition (target countries of the CTF) to enhance their level of effective participation in the development of global food safety and quality standards by the Codex Alimentarius Commission (CAC).

Immediate objective 1

Countries that are members of the CAC, but which are unable to effectively participate in the CAC and its committee/task force process because of the limited availability of government funds to support an ongoing presence in the continuing work of the Commission and its committees, will be assisted to initiate a programme of participation in Commission meetings and in the work of those committees/task forces addressing issues of priority health and economic concern to them.

Immediate objective 2

Countries that are members of the CAC, that have as yet to routinely develop and put forth national considerations in the Codex standard setting process, will be empowered to effectively prepare for and participate in the work of those committees addressing issues of priority health and economic concern to them.

Immediate objective 3

Countries that are members of the CAC, that have as yet to participate actively in the provision of scientific/technical data in support of the standard setting process, will be assisted to initiate a programme of scientific/technical participation in committees addressing issues of priority health and economic concern to them.

Output I – Widening participation in Codex

The number of countries routinely providing delegations to CAC sessions and to its committees/task forces, that address issues of priority health and economic concern for their specific countries, will have increased.

Output II – Strengthening overall participation in Codex

The number of countries routinely developing and putting forth national considerations in the Codex standard setting process will have increased along with their participation in Codex committees/task forces.

Output III – Enhancing scientific/technical participation in Codex

The number of countries that are actively providing scientific/technical advice in support of the Codex standard setting process will have increased.
