World Health Organization

Food and Agriculture Organization of the United Nations

CODEX TRUST FUND-2

PROJECT DOCUMENT

(December 2015)

1. EXECUTIVE SUMMARY 4
2. BACKGROUND 4
2.1. Context 4
2.2. Link to global development goals and priorities 5
2.3. Link to priorities of WHO, FAO and Codex 5
2.4. Link to CTF1 and building on lessons learned, recommendations of evaluation 6
3. RATIONALE 7
3.1. Problem/issues to be addressed 7
3.2. Project justification 7
3.3. Value-added of the Codex Trust Fund 7
3.4. Target beneficiaries and stakeholders 8
4. PROJECT FRAMEWORK 8
4.1. Project period 8
4.2. Results framework 8
4.3. Project activities 9
4.4. Accountability and sustainability 11
4.5. Risks and assumptions 11
5. IMPLEMENTATION AND MANAGEMENT ARRANGEMENTS 12
5.1. Governance and management 12
5.2. Organization of project implementation 14
5.3. Coordination with other relevant programmes 17
6. REPORTING, MONITORING AND EVALUATION 17
6.1. Reporting 17
6.2. Arrangements for monitoring and knowledge sharing 18
7. ESTIMATED OPERATING COSTS 18
8. FUNDING 18
8.1. Sources of funding and funding restrictions 18
8.2. Complementarity with other relevant funding mechanisms 18
9. Gender, Human Rights and the Environment 18
9.1. How gender concerns will be incorporated into the project 18
9.2. How human rights concerns will be incorporated into the project 19
9.3. How environmental concerns will be incorporated into the project 19
10. ANNEXES 19
Annex 1. Findings and recommendations of the final project evaluation of CTF1 20
Annex 2. Results-based framework for CTF2 23
Annex 3. Provisional list of countries eligible for support from CTF2 (as at 15 October 2015) 24
Annex 4. Table of budget ceilings for group applications 25

Annex 5. Application process steps 26
Annex 6. Prioritization scoring table 27
Annex 7. Logframe matrix of the project 28
Annex 8. Indicative annual budget for full operational years 31

PROJECT DOCUMENT

CODEX TRUST FUND SUCCESSOR INITIATIVE

1. EXECUTIVE SUMMARY

Building on the success of the FAO/WHO Project and Fund for Enhanced Participation in Codex (Codex Trust Fund) which ran from 2004-2015, FAO and WHO are launching a follow up initiative to the Codex Trust Fund for the period 2016-2027. The new Codex Trust Fund (CTF2) builds on the experience gained over the past 12 years and takes the next step in supporting developing and transition economy countries to help build their capacity to engage fully and effectively in the Codex Alimentarius Commission where international food safety standards are established. As such CTF2 will shift from a primary focus on supporting physical participation in Codex meetings, to helping build strong, solid and sustainable national capacity to engage in Codex.

CTF2 is designed to provide support for a limited period of time to individual countries or groups of countries to address specific barriers at national level that inhibit full and effective engagement in Codex at national, regional and international levels with a view to helping build and/or strengthen Codex structures at national level in a manner that will be sustainable over time. The goal of the project is that developing and transition economy countries will be sustainably engaged in Codex. The increased capacity of countries to engage in Codex, and the sustainability of this engagement will be monitored throughout the entire period of CTF2.

An application process is at the core of CTF2 support to countries or groups of countries. Through the application process, resources will be provided to eligible countries on a multiannual basis to support activities that are considered key elements that will contribute to more effective engagement in Codex. CTF2 adheres to the principles of effective development cooperation that puts country leadership and ownership at the heart of achieving effective and sustainable results through development interventions. It is expected that countries wishing to receive support will make efforts to take the leadership in identifyign needs, designing support packages, implementing activities and monitoring and reporting results. CTF2 and its partners will strive to provide support that is effective and tailor-made to the priorities, needs and contexts of the supported countries.

The work of the Codex Trust Fund forms an integral part of global efforts to develop capacity in the area of food safety and standard setting and is designed to be complementary to the efforts of other organizations, institutions, and agencies working through multilateral or bilaterial channels to build capacity in this area. CTF2's uniqueness in this field is in providing global coverage of targeted support at the national level to address specific barriers to full and effective engagement in Codex.

This document outlines the new Codex Trust Fund. It builds on the project proposal that was tabled at the 38th Session of the Codex Alimentarius Commission and agreed to by all Codex member countries. This document will serve as the founding project document for CTF2.

2. BACKGROUND

2.1. Context

Global food standards such as those developed by the Codex Alimentarius Commission are increasingly important in a world with an ever-growing international food trade to ensure the availability of safe and nutritious food for all, to promote fair practices in the food trade and to allow more countries to participate in international food trade. The FAO/WHO Project and Fund for Enhanced Participation in Codex (Codex Trust Fund) worked to these ends for 12 years over the period 2004-2015 and arrives at the end of its mandate in December 2015.

During the 50th anniversary celebrations of the Codex Alimentarius Commission, which took place at FAO Headquarters in Rome, Italy in July 2013, the Directors-General of WHO and FAO agreed that a successor initiative to the Codex Trust Fund should be established to begin operation in 2016. FAO and WHO secretariats were tasked with designing and developing the successor initiative. The successor initiative builds on the experiences, external reviews and final evaluation of the first Codex Trust Fund (CTF1), and takes into account the changing context and needs in relation to the Codex-related capacity of developing countries.

2.2. Link to global development goals and priorities

CTF2 is linked to a number of the Sustainable Development Goals, particularly Goal 2 (End hunger, achieve food security and improved nutrition and promote sustainable agriculture). Under this goal CTF2 contributes to achieving the following targets: a) by 2030, end hunger and ensure access by all people, in particular the poor and people in vulnerable situations, including infants, to safe, nutritious and sufficient food all year round; b) correct and prevent trade restrictions and distortions in world agricultural markets, including through the parallel elimination of all forms of agricultural export subsidies and all export measures with equivalent effect, in accordance with the mandate of the Doha Development Round.

CTF2 contributes to achieving Goal 3 (Ensure healthy lives and promote well-being for all at all ages) in that when developing and transition economy countries engage effectively in the development of Codex standards, and use these standards as the basis for national standards, they are protecting the health of consumers, both in their countries and outside national borders.

CTF2 also contributes to achieving Goal 1 (End Poverty in all its forms everywhere) and Goal 8 (Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all) through the link to using effective engagement in Codex to boost economic development in countries and access international food trade.

CTF2 is designed with a view to following the principles of aid effectiveness as spelled out in the Busan Partnership for Effective Development Cooperation in 2011[1]: ownership of developing countries, focus on results, inclusive development partnerships, and transparency and accountability. A core lesson of the CTF1 is that support to national Codex activities can only yield sustainable results if developing countries take leadership in reforming their Codex structures, which includes putting in place the necessary human and financial resources needed.

2.3. Link to priorities of WHO, FAO and Codex

WHO has a specific mandate for the protection of human health. WHO member states have recognized that ensuring the safety of food is an essential public health function and WHO was given the mandate from its Member States to take action in these areas through World Health Assembly resolutions in 2000 (WHA53.15) and in 2010 (WHA63.3). CTF2 contributes to the achievement of these resolutions and contributes to the 12th Global Programme of Work of WHO (2014-2019); specifically in contributing to WHO's work on Category 5 "Preparedness, surveillance and response".

Achieving food security for all is at the heart of FAO's efforts to make sure people have regular access to enough safe food, of appropriate quality to lead active, healthy lives. Food safety is increasingly recognized as an intrinsic aspect of food security due to its impact on people's health and nutritional status, as well as its impact on market access and poverty reduction. FAO plays a unique role in supporting food safety management along the farm to fork continuum. A programme of work is ongoing with multi-disciplinary teams contributing to FAO's work on global food safety governance and food safety capacity development. In September 2014, FAO member countries strongly endorsed FAO's Strategy for Improving Food Safety

[1] See http://www.oecd.org/development/effectiveness/busanpartnership.htm

Globally at the 24th Session of the Committee on Agriculture. This included renewed support to FAO's work to enhance the capacities of developing countries to participate effectively in Codex standard setting processes.

The Second International Conference on Nutrition (ICN2) held at the headquarters of FAO in Rome in November 2014 reaffirmed the right of everyone to have access to safe, sufficient, and nutritious food and that improvements in diet and nutrition require relevant legislative frameworks for food safety and quality, including for the proper use of agrochemicals, by promoting participation in the activities of the Codex Alimentarius Commission for the development of international standards for food safety and quality. Countries have committed themselves to take part actively in the work of the Codex Alimentarius Commission on nutrition and food safety, and implement internationally adopted standards at the national level (Framework for Action - Recommendation 54)[2].

CTF2 contributes to the Codex Strategic Plan (2014-2019), and specifically to strategic goal 3 "Facilitate the effective participation of all Codex Members[3]."

2.4. Link to CTF1 and building on lessons learned, recommendations of evaluation

The first Codex Trust Fund (2004-2015) principally focused on widening participation in Codex by bringing representatives of developing and transition economy countries to Codex meetings. This was important when the CTF1 was designed and many developing countries had no, or very little previous exposure to Codex. The support of the Codex Trust Fund to physical participation and capacity building for effective participation in Codex has been shown to have contributed successfully to improvements in both the quantity and quality of participation in Codex.

In order to respond to the changing needs of beneficiary countries to enhance their participation in Codex, in the second half of CTF1 there was an increased focus on capacity building activities, mainly through regional and sub-regional workshops. While it was recognized in the final project evaluation that both support to physical participation and capacity building for effective participation in Codex resulted in improvements in both the quantity and quality of participation in Codex, it was also recognized that funding physical participation would have more sustained results and impact if this was more closely linked to targeted capacity development support to country level processes. This is because participation in the Codex process (physical or non-physical) can only be effective when key elements at national level are in existence and are functional. These include functioning and resourced Codex Contact Points (CCPs), functioning national Codex coordinating mechanisms, such as national Codex committees (NCCs), functioning national processes for the preparation of delegates to participate in Codex meetings and to feed-back outcomes of Codex meetings into national deliberations around Codex, and political and economic support for Codex activities at national, regional and international levels.

In light of this there is now a need to move from a primary focus on supporting physical participation, to a focus on helping to build strong, solid and sustainable national capacity to engage in Codex. This switch in focus is supported by the findings of the final project evaluation of the Codex Trust Fund which took place in 2014 (see Annex 1 for the Executive Summary of the final project evaluation. The full report of the evaluation can be found at http://www.who.int/foodsafety/areas_work/food-standard/codextrustfund/en/). Since priorities, needs and levels of capacity of individual countries are different, this calls for a tailored approach, rather than a "one-size-fits-all" approach. This will require a move from allocating funds widely with equal distribution to all countries in a particular country grouping, to allocating funds based on the identified needs of different countries at different stages in developing their capacities to engage effectively in Codex at national, regional and global levels. Recognizing that certain countries may still face serious

[2] http://www.fao.org/3/a-mm215e.pdf

[3] ftp://ftp.fao.org/codex/Publications/StrategicFrame/Strategic_plan_2014_2019_EN.pdf

obstacles to physical participation, support is foreseen for attendance at Codex sessions where such support is part of an integrated request to build more effective and sustainable participation in Codex. Support will only be effective and lead to sustainable results if countries take a lead in the reform and development of the way they organize their participation in Codex and use of Codex standards.

3. RATIONALE

3.1. Problem/issues to be addressed

Over the last century the amount of food traded internationally has grown significantly, and a quantity and variety of food never before possible travels the globe today. This development offers both trade and health-related opportunities and challenges for developing and transition economy countries. Many of these countries have a particular interest and comparative advantage in exporting both processed and unprocessed food products, but in order to be competitive in world markets they need to comply with international food safety standards. In addition, they need to be able to gain the trust of consumers, both domestic and abroad, on the safety and quality of the food products they sell. Other countries are heavily food import dependent and need to put in place transparent, risk-based requirements at the point of import. Codex standards are developed to address these health and trade concerns and their role in the global trading system has been acknowledged through reference in the World Trade Organization's Agreement on Sanitary and Phytosanitary measures (SPS Agreement) and the Agreement on Technical Barriers to Trade (TBT Agreement). In addition to supporting international food trade, Codex standards are a ready-made set of standards which can be used to ensure the safety and quality of foods available and traded at domestic and regional level.

More and more developing and transition economy countries are taking an active part in the Codex process, since they recognize the benefits of internationally recognized food safety and quality standards. However, the capacity to participate in Codex standard-setting in many of these countries is still low or *ad hoc*. This is particularly true among least developed countries (LDCs), other low income countries (LICs), and small-island developing states (SIDS) who share characteristics of LDCs and/or LICs. Middle-income countries also have gaps in their capacities to participate effectively in more specific areas of Codex standard-setting work.

Although progress has been made by many countries, partly helped by CTF1, capacity constraints still exist and provide a barrier to developing and transition economy countries engaging effectively in and benefitting from the Codex standard setting process, and being able to sustain Codex work at national level. The consequences of this are multiple and include: 1) reduced likelihood for developing and transition economy countries to adopt and use standards to meet public health objectives; 2) difficulties for developing countries to take part in international food trade; 3) Codex standards that are less reflective of global realities.

3.2. Project justification

Developmental justification: Global food standards are key in ensuring that food everywhere in the world is as safe as possible and of good quality. Populations of developing countries and countries with transition economies also benefit from the economic development that comes when the private sector and governments of their countries have better access to international trade in food through use of Codex standards.

Project justification: The persistent gaps in capacity of developing and transition economy countries to participate fully and effectively in the Codex standard-setting process and to benefit from these standards for health and economic gains at national level.

3.3. Value-added of the Codex Trust Fund

It is vital that CTF2 has a focus that corresponds to its unique value-added, given that there are a number of other actors that are involved in supporting developing countries to build Codex capacities and food safety infrastructure more broadly. The unique value-added of CTF2 can be summarized in the following ways:

- CTF2 is a development partnership, located at the heart of the global Codex system, and based on a mandate given directly by all Codex member countries comprising both developing and transition economy countries, developed countries and FAO and WHO.
- CTF2 focuses explicitly on supporting more effective engagement of developing and transition economy countries in the Codex system.
- CTF2 has direct entry into the national Codex systems of developing countries, in particular national Codex Contact Points and national Codex coordinating structures.
- CTF2 has access to the internal capacities and external networks of the Codex Secretariat and its parent organizations FAO and WHO.

3.4. Target beneficiaries and stakeholders

The main target group consists of ministries, agencies, and institutions in developing and transition economy countries which are directly or indirectly involved in the development and implementation of Codex standards.

The ultimate beneficiaries are all citizens and actors in the food supply chain in all countries who will benefit from food that is safe and of good quality. Populations of developing and transition economy countries will also benefit from the economic opportunities that come from enhanced food safety and better access to international trade in food.

Key stakeholder groups are:

- Beneficiary countries;
- FAO/WHO (HQ, regional and country levels);
- Codex Secretariat;
- Codex members with capacity to provide financial and in-kind support or share experiences with other Codex members;
- Multilateral and bilateral agencies providing financial and/or in-kind support;
- Regional organizations active in the field of food safety standards and/or Codex capacity-building.

Many of these stakeholder groups will be key for implementation of activities and provision of technical assistance while donor countries, organizations, foundations and others will be key in providing financial and in-kind resources to support activities.

4. PROJECT FRAMEWORK

4.1. Project period

The successor initiative will run for a period of 12 years (2016-2027).

4.2. Results framework

A results-based framework that represents the programme theory (theory of change) for CTF2 is attached in Annex 2. This outlines the activities, expected outputs and outcome as well as the project goal and development goals toward which CTF2 will work. It is recognized that many factors influence the possibility to achieve the results beyond the outputs and that CTF2 only can make a contribution to its expected outcome, project goal and global development goal.

4.2.1. Development goal

The global development goals of CTF2 relate to the dual mandate of the Codex Alimentarius Commission and are:

- Improved food safety and public health in developing and transition economy countries and;
- Increased participation of developing and transition economy countries in international trade in food.

4.2.2. Project goal (impact)

- Developing and transition economy countries sustainably engaged in Codex.

4.2.3. Project outcome

In order to contribute to the project goal, CTF2 aims to contribute to the following outcome:

- Increased capacity of developing and transition economy countries to engage in Codex

4.2.4. Project outputs

The two expected outputs of CTF2 are:

- Awareness and knowledge of Codex among policy, decision-makers and experts increased;
- Technical capacity of national administrations to engage effectively in Codex increased.

It is recognized that many factors influence the possibility to achieve results beyond the outputs. The global development goalsare included to indicate how CTF2 is situated within a development context, but it is not envisaged that the contribution of CTF2 to achieving these development goals will be evaluated.

4.3. Project activities

CTF2 needs to balance global ambitions with limited human and financial resources in implementing its activities. This means relying on streamlined procedures and leveraging food safety resources and activities within FAO and WHO in particular. Country ownership, accountability and commitment to country level activities are also key.

Two types of support will be available:

1) The first type of support will be multi-annual support to one country submitting a national application, or a group of countries submitting a group application (the latter approach is encouraged where it is considered more cost-effective and efficient).

2) The second type of support will be to tailored capacity development activities carried out by FAO/WHO targeted at regional, sub-regional and global levels.

4.3.1. Support in response to individual country/group applications

An application process will be at the core of CTF2 building on the experiences of CTF1. Through the application process, resources will be provided to eligible countries on a multiannual basis to support activities that are considered key elements that will contribute to more effective engagement in Codex. In their application countries/groups of countries will be able to choose a combination of activities from the areas of support that appear below to develop a tailored, multi-year (up to three years) package of support to their country/group of countries that best responds to their specific needs at a particular time.

Types of activities that could be supported in country or group applications include the following:

- National workshops involving policy and decision-makers from key sectors and stakeholder groups aimed at securing political and economic support for Codex activities.

- Twinning between a developed/transition economy country with well-functioning national Codex structures, and a less-experienced country to share their experience and help the latter country to strengthen their own Codex structures and build more effective engagement in Codex.

- Diagnosis of national Codex structures and development of a national plan of action to strengthen Codex engagement. Under this activity a Codex expert could work with a country/group of countries to assist them in the diagnosis of strengths and weaknesses in national Codex structures/activities, and on the establishment of a national plan of action for strengthening Codex engagement.

- Building capacity for more effective engagement in Codex. This activity could consist of using different delivery methods and experienced trainers to build capacity in individual countries (or several countries in the context of a group application) through e-learning, blended learning (distance learning coupled with workshops/training courses), training focused on specific technical areas (e.g. how to identify and provide scientific and technical data to improve the development and implementation of Codex standards).

- Codex "coaching". Countries could apply to work with a "coach" (person with recognized expertise in a specific Codex area of work) before, during and after session of a specific Codex committee to help build their understanding of and improve their capacity to participate effectively in both the committee in question, as well as in any future standard setting process. Coaching can take place during Codex sessions.

- Physical participation at Codex sessions. Such support could be considered where it is integrated as one element of an application and is a key complement to and a critical success factor for other capacity development activities aimed at a sustainable improvement in Codex participation and engagement.

- Technical assistance for time bound activities. Countries could apply for time limited technical assistance to assist them in preparing a technical piece of work for input to Codex. An example of this would be assistance with the preparation of a project document for new work (e.g. proposal for new global or regional standard, or revision of an existing Codex standard).

- Specific and targeted technical and/or financial support to the collection and/or generation of data in a group of countries to meet a specific data gap for standard setting work.

- Translation of Codex documents into local languages. Support for this activity would fill a resource gap in specific countries where translation of Codex advocacy material and/or key Codex standards/guidelines/codes of practice into local languages is essential for raising awareness around Codex, and building national capacity for Codex engagement.

While these activities are presented above individually, the intention and concept of the list modality is to maximize the effect through a combination of activities.

4.3.2. FAO/WHO targeted support to regional, sub-regional and global capacity building for effective engagement in Codex

Areas of support may include:

- FAO/WHO workshops linked to Codex sessions and/or Regional Coordinating Committees to be organized on themes directly linked to enhancing engagement in Codex and;

- stand-alone FAO/WHO sub-regional workshops targeting groups of countries with similar needs. These workshops can not only complement/reinforce the multi-annual support given to countries/groups of countries described above, but also benefit other countries which are not receiving support through the application process but are facing the same barriers to effective engagement in

Codex. The subject for each workshop is to be chosen from among themes that directly increase countries' capacity to engage effectively in Codex.

4.4. Accountability and sustainability

Decades of experience with international development cooperation has clearly shown that country leadership and ownership is at the core of achieving effective and sustainable results through development interventions. This is clearly reflected in the founding principles of the Global Partnership of Effective Development Co-operation[4]:

- ownership by developing countries;
- results as a focus of development efforts;
- partnerships for inclusive development; and,
- transparency and accountability to one another.

CTF2 fully adheres to these principles. This means a dual responsibility in the context of the CTF2. On the one hand countries wishing to receive support must make efforts to take the leadership in identifying needs, designing support packages, implementing activities and monitoring and reporting results. On the other hand CTF2 and its partners must strive to provide support that is effective and tailor-made to the priorities, needs and contexts of the supported countries. CTF2 has been developed with this dual responsibility in mind.

CTF2 is designed to provide support for a limited period of time to individual countries or groups of countries to address specific barriers at national level that inhibit full and effective engagement in Codex at national, regional and international levels with a view to helping build and/or strengthen Codex structures at national level in a manner that will be sustainable over time. In addition to the support provided to countries and groups of countries through the application process, support will be provided to a wide range of countries to build capacity for effective engagement in Codex through targeted FAO/WHO Codex training courses and workshops.

The goal of the project is that developing and transition economy countries will be sustainably engaged in Codex. The increased capacity of developing and transition economy countries to engage in Codex, and the sustainability of this engagement will be monitored throughout the entire period of operation of CTF2.

4.5. Risks and assumptions

CTF2's contribution to its various results is based on the following assumptions:

- Commitment among political leaders and senior management in developing and transition economy countries;
- Compliance with the application and accountability processes of the Codex Trust Fund;
- Appreciation within the wider Codex community of the value in strengthening participation of developing and transition economy countries;
- Financial and in-kind support from countries, donors, agencies and foundations.

[4] http://effectivecooperation.org/about.html

The following risks and risk mitigation strategies have been identified:

Risk	Risk mitigation strategy
Lack of political understanding of and commitment to Codex among supported countries	Justification and criteria in application. Requires financial commitment of CTF2-recipient governments to send CCPs/others to relevant Committee meetings.
Lack of ownership of support package and activities	Strengthen the role of CCPs by giving them support from FAO/WHO/Codex Secretariat. Increased visibility and demands on CCPs will lead them to take ownership. FAO/WHO/Codex Secretariat To survey the activity and working of CCPs at the start of the CTF2 (2016), and then again at 3 or 6 year intervals.
Lack of financial and human resources of CTF2	Develop monitoring and capacity building efforts related to CTF2 in close cooperation with FAO/WHO/Codex Secretariat Maintain visibility of and support for CTF2 in the parent organizations
Lack of interest from donors	Increase visibility of CTF2, increase high level commitment to support CTF2 on a sustainable basis. Widen donor base
Concentration of applications from one Codex region	CTF2 Steering Committee to use results of prioritization scoring and distribution of support over the lifespan of the programme to ensure equitable coverage.

5. IMPLEMENTATION AND MANAGEMENT ARRANGEMENTS

5.1. Governance and management

5.1.1 Steering Committee (SC):

Terms of Reference:

The Steering Committee makes decisions on matters related to the core activities of CTF for implementation by the CTF Secretariat, makes decisions on funding of applications, discusses strategic issues and refers them as necessary to FAO/WHO senior management for guidance, and provides information as appropriate to Codex Members and relevant Codex bodies, through the CTF Secretariat.

In particular, the Steering Committee is tasked to:

(i) Review the funding situation and make decisions on resource allocations in the Codex Trust Fund;

(ii) Decide on the acceptance and budget of each CTF application taking into account the findings of the Technical Review Group (TRG) and other relevant factors;

(iii) Decide on the timing for implementation of accepted applications, including the priority between applications within a region;

(iv) Decide on corrective actions to be taken on issues in project implementation in countries brought to their attention by the TRG, including the discontinuation of projects as appropriate;

(v) Provide guidance to the CTF Secretariat on the conduct of programmatic monitoring and evaluation (M&E) and make management decisions on the basis of M&E results;

(vi) Engage and dialogue with the Advisory Group.

Composition: Two senior staff members each from FAO, WHO and the Codex Secretariat, serviced by the CTF Secretariat.

5.1.2 Technical Review Group (TRG):

Terms of Reference:

The Technical Review Group operates through physical meetings or in teleconferences and undertakes the following tasks:

(i) Consider single country and group applications that have already passed initial screening by the CTF Secretariat and that have been commented on by the FAO/WHO Regional Offices of the region concerned;

(ii) Assess the robustness of applications according to established criteria;

(iii) Assign a priority score for each applications received;

(iv) Forward robust applications, together with priority scores, to the Steering Committee through the CTF Secretariat;

(v) Return other applications to the CTF Secretariat for on forwarding to applicants for revision (with assistance from FAO/WHO HQ and regional offices), while informing the Steering Committee;

(vi) Monitor the implementation status of CTF projects and activities and bring problems and other findings to the attention of the Steering Committee.

Composition: One technical staff member each from FAO, WHO and the Codex Secretariat, serviced by the CTF Secretariat.

5.1.3 Advisory Group

Terms of Reference:

The Advisory Group operates at a strategic level to ensure that the views of key stakeholders (e.g. donors, beneficiaries, other Codex members) can be taken into consideration in the operations of CTF2. Physical meetings of the Advisory Group may be held at least once a year on the margins of meetings of CCEXEC (e.g. on the report-translation day) to take advantage of the presence of its members.

The Advisory Group will interact with the Steering Committee and will be tasked to:

(i) Provide strategic advice on focus and implementation of CTF2;

(ii) Provide advice on the procedures and working methods of CTF2;

(iii) Share information on other relevant activities and evolving needs of Codex.

Composition: The Chairperson and Vice-Chairpersons of the Codex Alimentarius Commission (4) and delegates representing Regional Coordinators at a CCEXEC session (6), as well as one representative each from up to three donors chosen by the Steering Committee (maximum of 3). The Chairperson of the Commission acts as ex-officio chairperson of the advisory group.

5.1.4 Codex Trust Fund Secretariat

The day to day management and administrative functions associated with the Codex Trust Fund will be undertaken by the CTF Secretariat. The staffing of the Secretariat is under consideration and may consist of 1 coordinator, 1-2 technical staff (possibly one located in WHO Geneva and 1 located in FAO Rome), 1-2 support staff (depending on administrative workload). While paying careful attention to optimizing efficiency of the operation of the CTF2 Secretariat, the latter needs to be larger than the current CTF1 Secretariat (1 administrator and 1 support staff), because of the tailored approach taken by CTF2 to build country capacities and the matching project management and technical work that will be required. Discussion is ongoing on how to ensure effective work by the CTF2 Secretariat and associated FAO and WHO food safety officers.

Tasks of the Secretariat will include:

(i) Management and administration of project processes (e.g. application process);

(ii) Technical input and advice as relevant and required;

(iii) Management of workplans, budget and financial activities;

(iv) Coordination with HQ, regional and country offices of FAO and WHO;

(v) Administrative support to FAO/WHO capacity building activities supported by CTF2;

(vi) Organize and act as secretary to meetings of the Steering Committee, Technical Review Group, Advisory Group, meetings with stakeholders etc.;

(vii) Donor relations and fundraising;

(viii) Communication activities;

(ix) Monitoring and evaluation activities;

(x) Reporting (including reporting of the CTF1 activities carried out in 2015).

5.2. Organization of project implementation

5.2.1. Operational rules

Operational rules will provide the framework of the operation of CTF2.

5.2.2. Country eligibility

The list of countries as at 30 October 2015 which are eligible for support from CTF2 appears in Annex 3. This list is based on the human development status of individual countries as per the Human Development Index established by the United Nations Development Programme (UNDP). The criteria for inclusion in the list of eligible countries is as follows:

- Least Developed Countries (LDCs);
- Countries with low or medium human development status;
- Small Island Developing States (SIDS) with high human development status (with the exception of high income SIDS);

- Landlocked Developing Countries (LLDCs) with high human development status.

This list was established according to the published UN listings[5] relating to human development status, small island developing states, landlocked developing countries as at 15 October 2015 and may change as new countries who fulfill one or more of the criteria above become members of the Codex Alimentarius Commission.

5.2.3. Scope of support

Support can be provided to the project activities described in section 4.3. National personnel, infrastructure, office equipment, internet connections, incentives for participation in meetings (e.g. meetings of the NCC) and other local costs cannot be funded. These national costs are considered as normal operational costs at country level that should be the object of a line item in national budgets.

Amounts of funding made available to different countries/group of countries (in the case of a group application) will differ according to needs of the country/group of countries and activities being supported. Multi-annual support is capped at three years maximum. Maximum budgets that will be allocated to any individual country for a full three years of support is capped at $150,000. Maximum budgets that will be allocated to group applications will follow a logarithmic discounting table. For example, total funding for three years of support to a group application would be:

- $US 272,894 for an application with 2 countries;
- $US 352,309 for an application with 3 countries;
- $US 411,095 for an application with 4 countries.

Additional examples are available in Annex 4.

If funding is sufficient throughout the lifespan of CTF2, it is assumed that eligible countries that apply for support will be granted multi-annual support at least once during the 12-year period of operation (either as a result of an individual country application, or through inclusion of their country in a group application). Countries may only reapply for new support packages once all the commitments of the previous support have been fulfilled, reported and formally closed by the Steering Committee.

5.2.4. Application process

The application process will involve the following steps. A visual representation of the application process is attached in Annex 5.

1. Call for applications. Application processes will be formally opened by the CTF2 Secretariat with a "Call for Applications" that will be posted on the CTF2 website and sent out to all Codex Contact Points (CCPs using the Codex-L listserve, as well as through WHO and FAO communication channels. The period during which applications will be received will be clearly indicated, as will deadlines for the submission of applications which will be firmly applied.

2. Preparation of applications.

    a. *Diagnosis of Codex capacity in countries*. All countries wishing to apply for support from CTF2 either as an individual country or as part of a group application will be required to undertake a diagnosis of Codex capacity in the country. FAO/WHO are developing a Codex Diagnosis Tool.

[5] For human development status – http://hdr.undp.org/en/content/table-1-human-development-index-and-its-components
For income status - http://data.worldbank.org/about/country-and-lending-groups
For lists of SIDS and LLDCs - http://unohrlls.org/about-sids/country-profiles/ and http://unohrlls.org/about-lldcs/country-profiles/

The purpose of the Diagnostic Tool is to provide a framework for self-assessment of the current status of national Codex capacity, including capacity to effectively plan and participate in Codex sessions and help with identification of areas in need of strengthening and capacity development. The diagnosis of Codex capacity in the country will be carried out using a national consultative process and coordinated by the official Codex Contact Point (CCP).

b. *Preparation of the application for support*. Building on the results of the Codex diagnosis, countries/groups of countries will be required to fill out an application form which will follow a standard template. Applications will be prepared in countries and will be the result of a national consultative process involving all relevant stakeholders and coordinated by the CCP. In this capacity, and as part of the process of developing a solid application at country level, CCPs may approach FAO/WHO Regional Officers and/or FAO/WHO technical officers at country level (where relevant) to discuss different aspects of a proposed application and to elicit their guidance and advice. The application will be signed off by the National Codex Committee or equivalent, and by the WHO and FAO representatives in the country.

Group applications involving a number of countries will follow a similar format, will have to be the result of national consultative processes in each of the countries forming part of the group application, will need to be coordinated and signed off on by the official CCP in each of the countries as well as by the WHO and FAO representatives. However, one country should be delegated by all the countries participating in the group application to submit the group application to CTF2 on behalf of all participating countries. This "reference country" will also form the sole correspondent with CTF2 for the group application.

3. Submission of applications. Applications will be submitted using an on-line platform. Applications received after the stipulated deadline will not be accepted for consideration in the current round, but will be kept for consideration in the next round of applications, unless revoked or revised by the applicant.

4. Pre-screening. All applications will be pre-screened by the CTF2 Secretariat to ensure that they fulfil all formal requirements and meet eligibility criteria. The CTF Secretariat will forward applications to relevant FAO/WHO regional officers for comment.

5. Technical review of applications. Applications that have passed the pre-screening will be technically reviewed by the Technical Review Group. Applications will first be reviewed by members of the technical committee working individually and using a template of standard criteria (currently being developed by FAO/WHO) to guide review and assessment. After individual review the technical committee will then meet using WebEx or other platform to share assessments of applications and agree on recommendations for applications to be supported. These recommendations will be forwarded to Steering Committee.

6. Prioritization of applications. Where the number of technically robust applications exceeds funds available to support, applications will be prioritized according to the criteria and scoring table that appears in Annex 6. The administration of the prioritization scoring table to applications will be done by the TRG.

7. Decision. The Steering Committee will review the recommendations of the TRG and the results of the prioritization process (if prioritization has been necessary due to budget constraints). The Steering Committee will make final decisions on applications that will be supported in the current round, taking into consideration regional coverage, mix of group and individual country applications, and availability of financial and human resources for support to implementation. Successful applications that cannot be supported in any application round due to budgetary constraints will be given priority for funding in the subsequent application round.

5.2.5. Implementation of support

The list of countries/groups of countries that have been successful in each application round will be reported to Codex member countries and posted on the CTF2 website.

A WHO or FAO regional food safety officer will be designated for each country/group of countries and will take the lead on technical aspects to assist countries as necessary in project preparation, technical oversight and management of in-country activities and implementation, monitoring and reporting with input from FAO/WHO Headquarters as needed. Best practice and approaches for implementation of capacity development projects will be followed, and will include close collaboration with the CCP to encourage ownership and dialogue. External experts with expertise in different areas of Codex may be drawn on to support project activities (e.g. assisting countries in strengthening national Codex structures, carrying out training for a country or group of countries to build national Codex capacity and/or, serving as a Codex "coach" at sessions of Codex committees etc.). Over time a repository of knowledge and experience will be harnessed by CTF2 – building resource materials, sharing lessons, identifying skilled experts available to support CTF2 activities, and maximizing the support and interest from the Codex family to support the full and effective engagement of all countries in Codex.

The CTF Secretariat will take the lead in overall oversight and administrative processes and all reporting, including donor reporting. Management and implementation of country projects will take place through FAO and WHO regional and country office channels with payments against deliverables being made by FAO and WHO country offices (depending on the lead organization for the particular country). Projects in countries/groups of countries will be managed according to action plans established as part of the application process. Such action plans will include the specific activities to be carried out. Each activity will be further defined in terms of expected outputs and deliverables, milestones and deadlines, person responsible and estimated resources needed. Where contracts need to be established to carry out specific activities, such contracts will be managed according to the relevant financial rules and regulations of the lead organization.

5.3. Coordination with other relevant programmes

The CTF2 will continue to align CTF-funded activities with other activities of FAO and WHO in the area of Codex capacity. The Trust Fund will specifically work in close collaboration with the food safety expertise in FAO and WHO in order to benefit from the roles and experience of FAO and WHO in building the capacities of developing and transition economy countries in Codex, and with food safety capacity building more broadly.

Many other actors are involved in different aspects of Codex-related support and capacity-building such as the Standards and Trade Development Facility (STDF), the Global Food Safety Partnership (GFSP), regional and sub-regional organizations, as well as multilateral agencies and bilateral donors. CTF2's uniqueness in this field is in providing global coverage of targeted support at the national level to address specific barriers to full and effective engagement in Codex. To ensure synergies and complementarity, CTF2 will seek opportunities to work with a wide range of relevant partners and actors. As part of the application process, countries/groups of countries will be taking stock of ongoing or recently completed activities carried out by different organizations (including FAO/WHO) and reporting these on the application form so that duplication of efforts is avoided and past support is further built on and strengthened wherever possible.

6. REPORTING, MONITORING AND EVALUATION

6.1. Reporting

Annual narrative and financial reports will be prepared for tabling at the Codex Alimentarius Commission. These will serve as annual donor reporting.

6.2. Arrangements for monitoring and knowledge sharing

A draft logframe for the programme is attached in Annex 7. A monitoring and evaluation (M&E) framework will be developed during the early implementation phase of CTF2. Baselines will be established for indicators in the first year of operation (to the extent possible).

Annual monitoring will be carried out on a limited but key set of indicators from the M&E framework and an annual monitoring report, including management implications, will be prepared for tabling at the Codex Alimentarius Commission. Similar to the current Codex Trust Fund, dialogue and exchange will continue with all stakeholder groups (including donors and beneficiaries) at planned events on the margins of Codex sessions, including the CAC, and other meetings as required. It is envisaged that periodic reviews (e.g. light management and operational reviews) will be carried out every 3-4 years to allow for revisions of CTF2 as appropriate.

An independent external evaluation will be carried out mid-way through the CTF2 and a final project evaluation will be carried out in Year 10 or 11.

7. ESTIMATED OPERATING COSTS

An indicative annual budget for full operational years appears in Annex 8.

8. FUNDING

8.1. Sources of funding and funding restrictions

Funding for CTF2 will be sought from multilateral institutions, governmental aid agencies and foundations which are acceptable under WHO's policy for engagement with non-State actors. In order to avoid any potential conflict-of interest situations, private sector funding will neither be sought nor accepted for CTF2 as per the WHO policies that governed CTF1.

8.2. Complementarity with other relevant funding mechanisms

The Steering Committee will be responsible for ensuring that the work of the Codex Trust Fund forms an integral part of global efforts to develop capacity in the area of food safety and standard setting and that it will be complementary with respect to other funds which focus on capacity building in relevant areas.

9. Gender, Human Rights and the Environment

9.1. How gender concerns will be incorporated into the project

By participating in different ways in the production and consumption of food, women and men, and people in different communities may be affected differently by Codex standards. Gender, equity and human rights issues will be considered by CTF2 as they arise.

Women play an important economic role in food production and transactions in many countries and Codex standards and facilitated safe food trade thereby indirectly help them to improve their social and economic status.
Where possible and relevant, gender balance in participants being supported to e.g. FAO/WHO Codex training courses and workshops will be encouraged, as will equal participation of women and men in Codex activities at national level supported by the Codex Trust Fund.

9.2. How human rights concerns will be incorporated into the project

In the Rome Declaration emanating from the Second International Conference on Nutrition (ICN2) member states of the United Nations reaffirmed the right of everyone to have access to safe, sufficient, and nutritious food, consistent with the right to adequate food and the fundamental right of everyone to be free from hunger consistent with the International Covenant on Economic, Social and Cultural Rights and other relevant United Nations instruments. The international food safety and quality standards developed by the Codex Alimentarius Commission are an important instrument in ensuring the right to safe, sufficient and nutritious food. The Codex Trust Fund, through its support to the full and effective engagement of developing and transition economy countries in Codex is a key link in helping ensure that all people everywhere in the world can benefit from this basic human right.

9.3. How environmental concerns will be incorporated into the project

International food standards address environmental contaminants of public health concern and the development and implementation of these standards support reduction in environmental pollutants and promote sustainable agriculture.

10. ANNEXES

Annex 1: Findings and recommendations of the final project evaluation of CTF1

Annex 2: Results-based framework for CTF2

Annex 3: Provisional list of countries eligible for support from CTF2 (as at 15 October 2015)

Annex 4: Table of budget ceilings for group applications

Annex 5: Application process steps

Annex 6: Prioritization scoring table

Annex 7: Logframe matrix of CTF project

Annex 8: Indicative annual budget for full operational years

Annex 1. Findings and recommendations of the final project evaluation of CTF1

The CTF has been very successful at fulfilling its primary mandate. Widening participation of developing countries has been the primary focus of the CTF, and the principal area of activity every year since the Fund started. It addressed, and continues to address, a real need of developing countries and countries in transition, and has been an explicit area of focus for many donors. The CTF has supported 2,078 participations from 2004 to December 2013, or 14% out of a total of 14,800 CTF eligible country participations. The CTF has expended $9,666,434 on this output during this same period, or on average $4,654 per participation. The expenditure reflected 55% of total expenditure, or 80% of activity expenditure. A vast majority of participants (95-97%) are satisfied to very satisfied with their participation. A major achievement is that, presently, there are more developing countries self-funding their participation than there were before the start of the CTF.

The CTF was able to take note of the changing needs of countries and introduce more activities related to the second outcome of the CTF, "strengthening participation", principally through the provision of regional workshops. While initiated as early as 2005, the regional workshops took root in 2007 and continued. The CTF has supported 893 participations at 33 CTF capacity building events between 2004 and 2013 at a total expense of $1,832,576 (or 10% of total expense, or 15% of activity expenditure), or approximately $2,052 per participation. The events ranged in size and duration from 1 day (11 events), 2 days (4 events) or 3 days or more (20 events) for a total of 2,914 person days of training at a cost of approximately $53 per person day of training.

The third CTF outcome relates to "increased availability of scientific evidence in Codex". There have been mixed results in this area, partially due to activities in this area starting as recently as 2012. This was due to a variety of reasons, including the intentional, continued focus on the primary outcome of widening participation and difficulty in defining appropriate interventions for this outcome. The principal activity has been the Mycotoxin in Sorghum Project, which has generated a significant amount of scientific data. The final results of that project, however, are not known as of the time of this report.

The report contains further conclusions regarding each of the evaluation criteria. In addition to the conclusions on effectiveness listed above, some of the more prominent conclusions are:

1. If the objective of widening participation is maintained, some developing and transition economy countries will require continued assistance for physical participation. Effective participation has become a greater focus for eligible countries, but needs to be supported on a more country-by-country basis.
2. Further needs identification and program design is required for "increased availability of scientific evidence in Codex", that will allow the CTF, if it decides to retain this outcome in the future, to design appropriate approaches and activities given the operational and financial realities of CTF.
3. The higher level development goal in the CTF results framework was set too high. While the contribution of standards to food safety is theoretically clear, in practice there are too many factors, and stakeholders, that influence a country's food safety system for it to be the basis on which to assess progress and results of an initiative such as CTF. The CTF results framework needs to be set more appropriately to the scope of the Fund, and reasonable sphere of influence. The CTF results framework should be more focused on effective participation and standard development, rather than standard implementation and impacts on food safety systems, international trade or safe and nutritious food.
4. Sustainability will be determined by the national context. The turnkey solution involves raising the priority of Codex participation at a national level with central ministries and political decision-makers. The project has never designed specific activities to address this root problem.
5. It is apparent that CTF has had a positive impact on the increased awareness and importance of Codex in eligible countries through exposing participants to the international food standard setting process that

takes place in the Codex Alimentarius Commission and has provided valuable information on how to structure and establish Codex infrastructures at the national level.

6. The CTF program design, given its current form and expectations that range from enhancing effective participation to support for generation of scientific data, is not optimal. With a greater emphasis on capacity building, and the development and delivery of the Mycotoxins in Sorghum Project, there has been a reliance on WHO and FAO in-kind contribution of staff time that may not be sustainable in the long-term.
7. The CTF effectively assesses, evaluates and monitors its work. As a result, it has identified many lessons learned, but only a few have been taken further for action, and in some cases, only for very limited periods. As an example, mentoring was raised as an area for support in 2007 but a pilot was only conducted in 2012. By most accounts the pilot was well received and successful but never repeated.

Recommendations

The following recommendations are submitted to the CGTF for their consideration.

- **Develop a Codex promotional and engagement strategy with the Codex Secretariat to advocate for national support for Codex programs**. This aligns with the Codex Strategic Plan Objective 3 and will help address the root cause of the factors that impact on the sustainability of developing country participation in Codex. There is also a need to raise the priority and profile of food safety within WHO and FAO itself. Conditions at national level are often a reflection of the international landscape and if food safety is not a priority item on WHO and FAO governance bodies it is hard to make a case for it at national level.
- **Redefine program objectives in light of evolving needs of eligible countries**. A recurring theme throughout the findings of the evaluation is that the CTF was a 12-year program and that adjustments were made throughout the period based on ongoing assessments and monitoring. The changes, however, were limited by the original scope (project document) and were, in some cases, slow to be implemented. There is an opportunity, as the WHO and FAO consider a successor program, to ensure that an iterative planning process is established that will allow for timely adjustments to project scope and objectives to accommodate changes in the operating environment, as well as evolving eligible country needs and priorities.
- **Improve financial reporting**. Year-by-year comparisons should be presented to permit comparisons. The costs of any Program Support Costs (overhead), in addition to Project Management and Administration costs, should be clearly indicated. WHO and FAO should make efforts to accurately collect and report on the level of in-kind contribution that is being expended on the CTF.
- **Improve the cost analysis of the CTF**. There can be better definitions of costs (e.g., what costs are included in training workshops before a Codex meeting, what allowance is made for in-kind contributions) in order to be able to provide cost analysis of project activities. [6]
- **For effective participation, an approach that assesses both the individual delegate and country conditions needs to be in place**.

  For individuals, this may include:

  - First time, newer delegates have to be fully justified in application;
  - First time, newer delegates must complete online training course (tested);

[6] As an example, is a one-day training before a Regional Coordinating meeting cost effective, or is there greater value in a 2 or 3 day workshop? Does pooling Daily Subsistence Allowance (DSA) for workshops result in cost savings? The idea of "pooling the Daily Subsistence Allowance" is that the host or administrator of the event receives the participants' DSA instead of the individual. This allows the host/administrator a "pooled" fund from which they can negotiate discounts for block booking hotels, meals and transportation. Some percentage of the DSA can still be received by the individuals for incidentals.

- First time, newer delegates be twinned with/mentored by with more experienced members, subject matter experts, or third parties; and
- First time, newer delegates should be assessed by mentor/partner at end of meeting and report submitted to country.

For countries, this may include:

- Change the application process: multi-year application available, based on engagement strategies demonstrating consistency and outlining proposed role of CTF support and flexible package of assistance;
- For other countries unable to comply with requirements of multi-year funding, their support can be funded based on current application processes; and
- Respect your own guidelines. Applications can be too late and not accepted. Applications can be refused for being incomplete or unsatisfactory.

- **Undertake an analysis in regards to country needs regarding increasing availability of scientific evidence** and develop a clear range of project activities that can be supported by an initiative such as CTF. There is consensus across the project's stakeholders that the provision of scientific data to the Codex process is critically important. There is however, a wide range of opinions on possible areas of intervention for CTF to support this objective. This wide range of opinions indicates that further needs assessment and identification should be conducted in order to better target project activities that are appropriate to CTF. The activities should be realistic given that historically the CTF has over 130 eligible countries and has expended $640,000 over 10 years (from 2004 to 2013) on the overall objective.

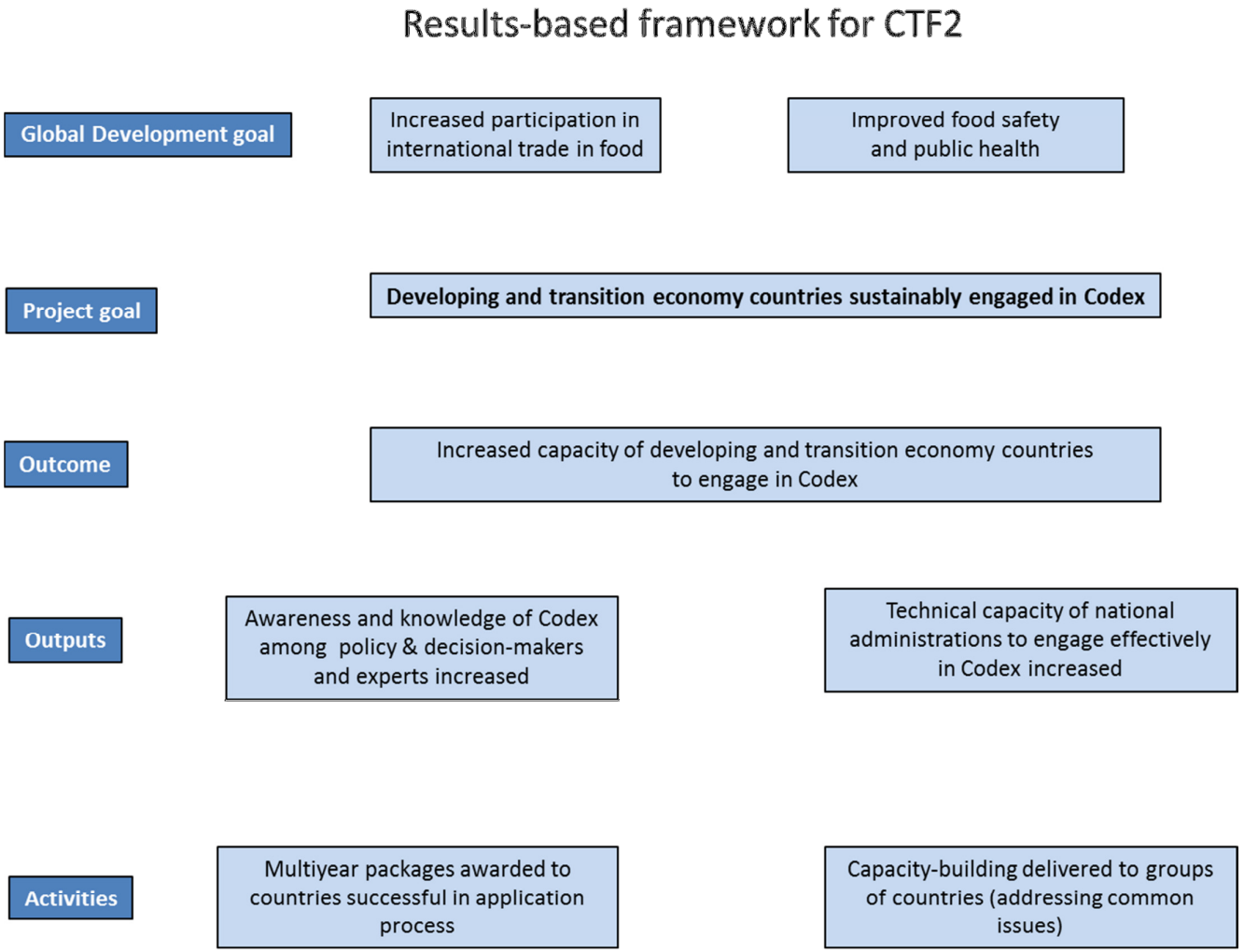
- **Better align staffing to project scope**. The structure and staffing of a CTF Secretariat will need to take into consideration project goals, objectives and activities to ensure the right balance of capacity and technical competency to meet project objectives, without an unsustainable, over-reliance on in-kind contributions of WHO and FAO staff.

- **Develop strategies and plans to increase predictability of funding**. In the future, if there are shifts of focus to effective participation, and a shift to more tailor-made capacity building approaches that intend to impact on institutional capacities, long-term activities and strategies need to be utilized which cannot be supported with current funding patterns. There is a need for longer-term, more predictable funding. The project has made some progress in this regard but more diverse sources of long-term funding are needed.

- **Continue development of Monitoring and Evaluation frameworks**. The CTF has made commendable progress in developing and utilizing an M+E framework. The framework should continue to evolve and any new results frameworks should also include baselines and targets, with objectives that are SMART (i.e., Specific, Measurable, Achievable, Relevant, and Time-bound).

- **Lessons learned and new best practices should be integrated more quickly and with more consistency** into the regular project supported activities of the CTF, within the operational realities of the UN and Codex systems.

Annex 2. Results-based framework for CTF2



Annex 3. Provisional list of countries eligible for support from CTF2 (as at 30 October 2015)

Currently 103 eligible countries Subject to change with new Codex members
Includes all countries with low & medium HDI, other low or middle income SIDS and LLDCs with high HDI
LDCs & LICs are indicated in **bold font**

Codex region					
Africa (49)	**Asia** (14)	**Europe** (9)	**Latin American & Caribbean** (16)	**Near East** (5)	**South-West Pacific** (10)
Angola, Benin, Botswana**, Burkina Faso, Burundi,** Cabo Verde**,** Cameroon, **Central African Republic, Chad, Comoros,** Congo Rep., Côte d'Ivoire, **DR Congo, Djibouti, Eritrea, Ethiopia, Equatorial Guinea,** Gabon, Ghana, **Gambia, Guinea, Guinea-Bissau, Kenya, Lesotho, Liberia, Madagascar, Malawi,** Maldives, **Mali, Mauritania,** Mauritius, Morocco, **Mozambique**, Namibia, **Niger,** Nigeria, **Rwanda, Sao Tome and Principe, Senegal, Sierra Leone, Somalia,** South Africa, South Sudan, Swaziland, **Togo, Uganda, United Rep. of Tanzania, Zambia,** Zimbabwe	**Afghanistan**, **Bangladesh**, **Bhutan**, **Cambodia**, **DPR Korea**, Indonesia, India, **Lao PDR**, Mongolia, **Myanmar**, **Nepal**, Pakistan, Philippines, Vietnam	Armenia, Azerbaijan, Kazakhstan, Kyrgyzstan, FYR of Macedonia, Republic of Moldova, Tajikistan, Turkmenistan, Uzbekistan	Belize, Bolivia, Dominica, Dominican Rep., El Salvador, Grenada, Guatemala, Guyana, **Haiti**, Honduras, Jamaica, Nicaragua, Paraguay, St. Lucia, St Vincent & the Grenadines, Suriname,	Egypt, Iraq **Sudan**, Syrian Arab Rep., **Yemen**	Cook Islands, Fiji, **Kiribati**, Micronesia (FS of), Nauru, Papua New Guinea, **Samoa**, **Solomon Islands**, Tonga, **Vanuatu**

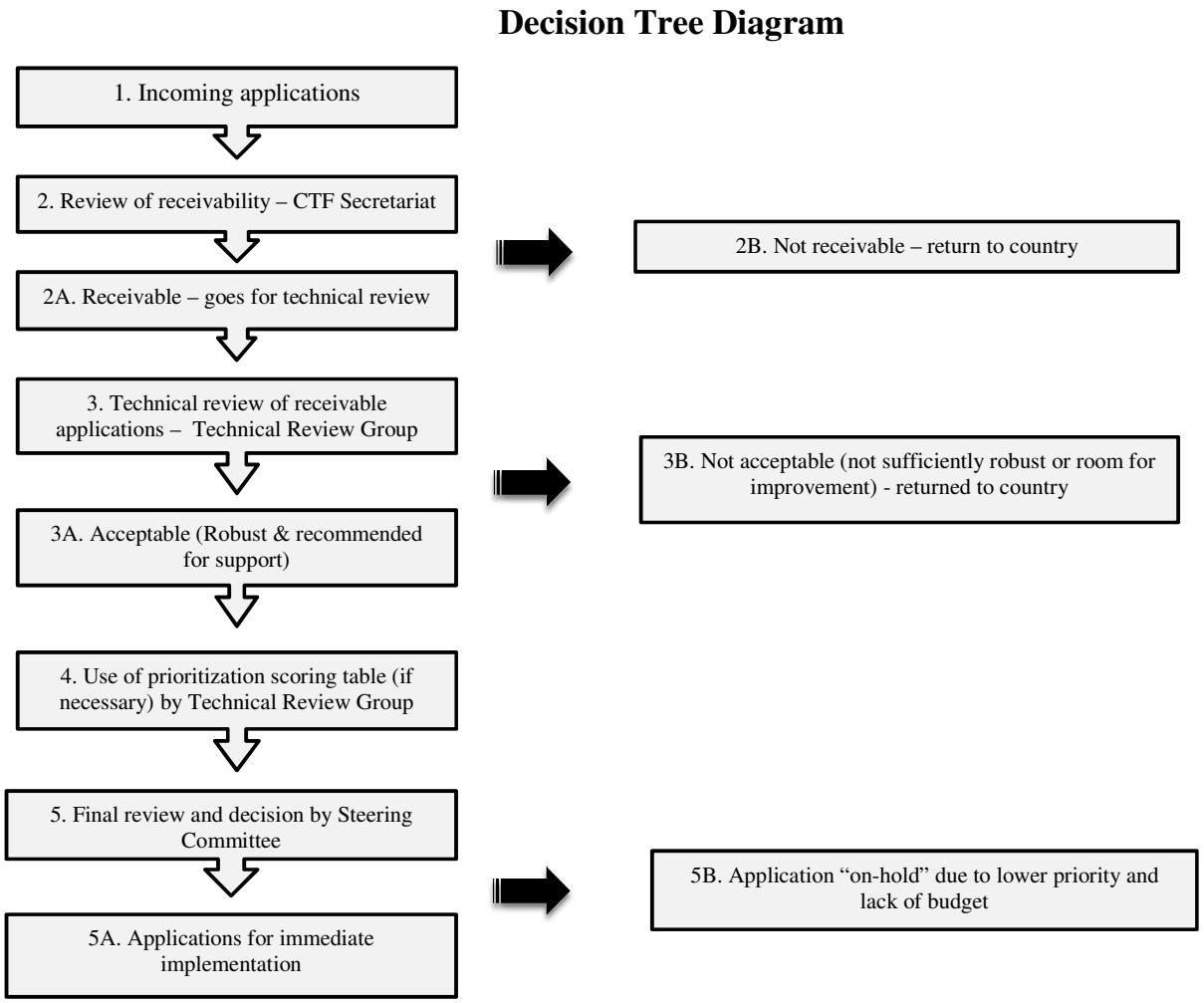
Abbreviations:
LDC – least developed country
LIC – low income country
HDI – human development index
SIDS – small island developing state
LLDC – landlocked developing country

Sources of information:
For human development status – http://hdr.undp.org/en/content/table-1-human-development-index-and-its-components
For income status - http://data.worldbank.org/about/country-and-lending-groups
For lists of SIDS and LLDCs - http://unohrlls.org/about-sids/country-profiles/ and http://unohrlls.org/about-lldcs/country-profiles/
For list of LDCs - http://unctad.org/en/Pages/ALDC/Least%20Developed%20Countries/UN-list-of-Least-Developed-Countries.aspx

Annex 4. Table of budget ceilings for group applications

No. of countries in group application	Maximum support for a 3 year period (US$)
2	272,894
3	352,309
4	411,095
5	457,790
6	496,527
7	529,629
8	558,529
9	584,175
10	607,225

Annex 5. Application process steps



Annex 6. Prioritization scoring table

Higher-score applications are given priority for implementation before lower-score applications within the same region

	+5	+3	+1	0	Rationale
LDC status	Yes		Mixed group application (LDC & non-LDC)	No	LDCs should receive priority.
Codex membership (for the group application, the average of the two youngest members)		Less than 5 years since accession	5 to 10 years since accession	10 years or more since accession	Young Codex members are yet to develop national Codex structures
Group application	4 countries or more	3 countries	2 countries	Single country	Group application encourages networking and saves resources through joint activities
Population (for group applications, the average of the two largest members)		1 million inhabitants or less	1 to 5 million inhabitants	5 million inhabitants or more	National Codex structure has a fixed cost regardless of the size of country
Other support on Codex received by FAO, WHO or other donors in the last 5 years			No	Yes	Overlapping support should be avoided for better equity.

Annex 7. Logframe matrix of the project

The global development goal of the FAO/WHO Codex Trust Fund (CTF2) relates to the dual mandate of the Codex Alimentarius Commission and is:

- Increased participation of developing and transition economy countries in international trade in food; and
- Improved food safety and public health in developing and transition economy countries.

	Intervention logic	Indicators	Baseline (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective: Impact	<u>Project goal</u> Developing and transition economy countries sustainably engaged in Codex	Number of CTF2 eligible countries applying for support from CTF2 with budget lines for Codex activities included in national budgets	Number of countries applying for support in 2016 application round with budget lines for Codex activities included in national budgets	Increase in the number of countries with budget lines for Codex activities included in national budgets	Codex Diagnostic Tool used prior to application for support package and after completion of package.	Sustained political commitment to Codex in countries Availability of funding and success in achieving high level commitment at country level
		Use of Codex texts as a basis for national standards	Not applicable	Increase in number of countries using Codex texts as a basis for national standards in countries having received support from CTF2	MTR and final evaluation and/or final reports of relevant projects	

Specific objective(s): Outcome(s)	<u>Outcome 1</u> Increased capacity of developing and transition economy countries to engage in Codex	Physical participation of developing and transition economy countries in Codex meetings disaggregated by sex (not supported by CTF2)	Physical participation in Codex meetings in 2015 disaggregated by sex	Sustained physical participation in at least one priority Codex meeting per year of all developing and transition countries	Codex meeting reports and lists of participation	Political & economic commitment to Codex in countries Resources available to fund multi-year programmes of support to countries/groups of countries
		Number of written comments from developing and transition countries	Number of written comments submitted by developing & transition economy countries in 2015	Increase in the number of written comments from developing & transition economy countries	Reports of Codex meetings used as basis for CTF2 databases	
		Results from support package activities plan implemented	N/A	80% of expected results in the support packages achieved at the end of support period	Monitoring reports from countries on expected results on action plans	
		Changes in the national Codex system that result in improved preparedness for an participation in the international Codex process.	Status as determined through use of Codex Diagnostic Tool	Positive change in elements focused on in 80% of countries.	Codex capacity Diagnostic Tool used prior to application for support package and after completion of package	
		Application by participants of knowledge & information acquired in a sample of workshops and trainings	N/A	70% of respondents applying knowledge & information acquired.	Midterm review after six years from start of CTF2 Follow up evaluations undertaken on a sample of events	

Outputs	Output 1.1 Awareness and knowledge of Codex among policy, decision-makers and experts increased	Number of individual countries supported through country or group applications	N/A	N/A	CTF2 databases and annual reports	CTF2 Sec. sufficiently staffed & funded & with right profiles of staff to carry out activities, including support from FAO & WHO staff
	Output 1.2 Technical capacity of national administrations to engage effectively in Codex increased	Status of implementation of support packages compared to activity plan	Activity plans from CTF2-supported countries/groups of countries in 2016 application round	In periodic reviews by CTF Sec. 80% of support packages showing "on track" for implementation	Reports from countries with support packages	Sufficient human resources available in FAO/WHO to carry out planned capacity development activities Efficient procedures for providing support packages established Demand for support from countries Sufficient management commitment and capacity in countries to apply for and implement support packages
		Number of countries & people (disaggregated by sex) participating in FAO/WHO Codex training activities supported by CTF2.	N/A	N/A	CTF2 databases from data collected during events	
		Level of satisfaction among participants in training courses/workshop supported.	N/A	80% satisfaction rate	End of training and workshop evaluations	
		No. of participants in activities delivered by FAO/WHO at Codex sessions supported by CTF2.	N/A	N/A	CTF2 databases from data collected during events	

Annex 8. Indicative annual budget for full operational years

(Estimates based on YEARS 3-10 representing fully operational years)

Type of cost	Description	Estimated annual cost ($US)
Staff costs	Dedicated CTF technical and administrative staff located in Geneva or Rome	900,000
Administrative costs	Supplementary human resources (short-term admin staff, consultants), administrative costs (translation, communication, office equipment…)	50,000
Total annual staff and admin costs		**950,000**
Activity costs	Contracts with countries in support of successful applications	1,800,000
	Technical support to project countries/ country groupings	100,000
	Support to pre-RCC regional workshops (average 3 per year)	270,000
	Support to stand-alone Codex training courses/workshops (average 2 per year)	200,000
	Monitoring & Evaluation	30,000
Total annual activity costs		**2,400,000**
TOTAL ESTIMATED ANNUAL COSTS		**3,350,000**