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Продовольственная и
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организация
Объединенных
Наций

Organización
de las
Naciones
Unidas
para la
Agricultura
y la
Alimentación

Item 3.5 of the Provisional Agenda

COMMISSION ON GENETIC RESOURCES FOR FOOD AND AGRICULTURE

INTERGOVERNMENTAL TECHNICAL WORKING GROUP ON ANIMAL GENETIC RESOURCES FOR FOOD AND AGRICULTURE

Fifth Session

Rome, 28-30 January 2009

TOWARDS A FUNDING STRATEGY FOR THE IMPLEMENTATION OF THE *GLOBAL PLAN OF ACTION FOR ANIMAL GENETIC RESOURCES*

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TOWARDS A FUNDING STRATEGY FOR THE IMPLEMENTATION OF THE *GLOBAL PLAN OF ACTION FOR ANIMAL GENETIC RESOURCES*

I. INTRODUCTION

1. The *Global Plan of Action for Animal Genetic Resources (Global Plan of Action)* and the *Interlaken Declaration on Animal Genetic Resources* were adopted by the International Technical Conference on Animal Genetic Resources for Food and Agriculture held in Interlaken Switzerland in September 2007.¹ The *Global Plan of Action* is a comprehensive international framework aimed at advancing efforts to achieve the sustainable use, development and conservation of animal genetic resources.
2. The Implementation and Financing section of the *Global Plan of Action* clearly notes that the implementation of the *Global Plan of Action* will require substantial and additional financial resources and long-term support for national, regional and international animal genetic resources programmes and activities, consistent with relevant international agreements.²
3. The *Global Plan of Action* indicates that support for implementation must come from national investments and international cooperation. Countries are invited to make efforts to provide, in accordance with their capacities, support for national priorities that will achieve the objectives of the *Global Plan of Action*. The *Global Plan of Action* calls for strengthening of international cooperation to support and complement country efforts of developing countries and countries with economies in transition. The major multilateral and bilateral funding and development institutions are indicated as possible sources of investment in the implementation of the *Global Plan of Action*; it is also indicated that and non-traditional sources should be explored.³
4. The *Global Plan of Action* calls on FAO to ensure adequate regular programme support to facilitate its implementation, and to pursue with other relevant organizations, mechanisms, funds and bodies, means by which they might contribute to the implementation of the *Global Plan of Action*. The *Global Plan of Action* also encourages voluntary contributions, in particular from the private sector and from non-governmental organizations, and indicates that this could entail establishment of an FAO Trust Account.
5. The *Global Plan of Action* requests the Commission on Genetic Resources for Food and Agriculture (the Commission) to develop a Funding Strategy for the implementation of the *Global Plan of Action*.⁴
6. In November 2007, the FAO Conference, at its Thirty-fourth Session, welcomed the outcomes of the Interlaken Conference, the *Global Plan of Action* and the *Interlaken Declaration on Animal Genetic Resources*, through Resolution 12/2007. In doing so, the FAO Conference acknowledged the need for substantial and additional resources for the successful implementation of the *Global Plan of Action*.⁵ The FAO Conference agreed that financial support, capacity-building and technology transfer were necessary to successfully implement the *Global Plan of Action* in developing countries. It requested the Commission to develop a Funding Strategy for the implementation of the *Global Plan of Action*.⁶

¹ Report of the International Technical Conference on Animal Genetic Resources for Food and Agriculture, ITC-AnGR/07/REP; available on the internet at: http://www.fao.org/ag/againfo/programmes/en/genetics/ITC_docs.html

² *Global Plan of Action for Animal Genetic Resources*, paragraph 64.

³ *Global Plan of Action for Animal Genetic Resources*, paragraph 68.

⁴ *Global Plan of Action for Animal Genetic Resources*, paragraph 54.

⁵ *Global Plan of Action for Animal Genetic Resources*, paragraph 50; *Interlaken Declaration on Animal Genetic Resources*, paragraph 17.

⁶ CGRFA/WG-AnGR-5/09/Inf. 9

7. As the Commission will be considering, at its next Regular Session, the development of a Funding Strategy for the implementation of the *Global Plan of Action* (Funding Strategy), as called for by participants to the International Technical Conference, as well as by the FAO Conference, this document has been prepared to seek the views of the Working Group on the possible objective, aims, and elements of a Funding Strategy.

8. A number of existing facilitating and funding mechanisms that are hosted by FAO and other organizations were examined in the course of the preparation of this document. Information on these mechanisms, their governance, eligibility, participant obligations, and the secretariat support required for their execution, is provided in *Appendix 1* to this document, to assist the Working Group in developing its advice to the Commission. During the preparation of this document, FAO developed and widely disseminated questionnaires on country needs and donor priorities. The results of these surveys are given in the document *Results of questionnaires on country needs and donor priorities to implement the Global Plan of Action for Animal Genetic Resources*.⁷

II. THE POSSIBLE OBJECTIVE AND AIMS, AND ELEMENTS AND COMPONENTS OF A FUNDING STRATEGY FOR THE *GLOBAL PLAN OF ACTION FOR ANIMAL GENETIC RESOURCES*

Objective and aims

9. The Working Group may wish to provide advice to the Commission on the objective and aims of a Funding Strategy. In doing so, the Working Group may wish to consider the following paragraphs of the Implementation and Financing section of the *Global Plan of Action*:

“implementation of the *Global Plan of Action for Animal Genetic Resources* will require substantial and additional financial resources and long-term support for national, regional and international animal genetic resources programmes and priority activities, provided such incentives are consistent with relevant international agreements.”⁸

“International cooperation should be strengthened to facilitate the implementation of the *Global Plan of Action for Animal Genetic Resources*, in particular to support and complement the efforts of developing countries and countries with economies in transition”⁹

10. In light of the above text, a possible objective for the Funding Strategy might be:

The objective of the Funding Strategy is to enhance mobilization of substantial and additional financial resources, and to strengthen international cooperation, to support and complement the efforts of developing countries and countries with economies in transition in the implementation of the *Global Plan of Action for Animal Genetic Resources*.

11. The aims of the Funding Strategy might be derived from the direction provided in the Implementation and Financing section of the *Global Plan of Action*, which calls for mobilizing resources from both traditional and innovative sources; notes the importance of national priority setting; calls for capacity-building, including training and technology transfer; notes the need to assess and report progress on implementation measures and on the status and trends of animal genetic resources; and indicates that FAO should play an important role in implementation. Accordingly, the following are suggested as the possible aims of the Funding Strategy:

Possible aims of the Funding Strategy:

- To seek and further mobilize necessary financial resources from all possible sources, including bilateral, regional and multilateral channels; voluntary contributions from countries;

⁷ CGRFA/WG-AnGR-5/09/Inf. 3

⁸ *Global Plan of Action for Animal Genetic Resources*, paragraph 50.

⁹ *Global Plan of Action for Animal Genetic Resources*, paragraph 64.

foundations, the private sector, non-governmental organizations and other sources; and to continue supporting the programme through the regular programme resources of FAO, to provide timely support for developing countries and countries with economies in transition, to complement their efforts to implement the *Global Plan of Action*.

- To **strengthen international cooperation to enhance the provision of capacity-building**, including training and technology transfer for improved management of animal genetic resources, based on country-identified needs, with FAO providing technical assistance and facilitating collaboration and partnerships among countries and relevant international organizations and institutions.
- To ensure the **effective and transparent use of financial resources and incentives in implementing the *Global Plan of Action***, consistent with relevant international agreements, with oversight and periodic assessment of progress made provided by the Commission on Genetic Resources for Food and Agriculture.

The possible main elements of a Funding Strategy

12. The Working Group may wish to provide advice to the Commission on the possible main elements of the Funding Strategy. The following elements are envisaged: Financial Resources; Capacity-Building; Information Exchange; Monitoring and Progress Reporting; Priority Setting; and Eligibility Criteria.

13. **Financial Resources:** The Commission may wish to include in a Funding Strategy for the implementation of the *Global Plan of Action* known and potential sources of financial resources, including:

- the Regular Programme resources of FAO dedicated to the implementation of the *Global Plan of Action*;
- extra-budgetary resources received by FAO directed toward the implementation of the *Global Plan of Action*;
- bilateral, regional and multilateral support to countries for the implementation of the *Global Plan of Action*; and
- support to countries for the implementation of the *Global Plan of Action* provided by foundations, the private sector, non-governmental organizations and other sources.

14. The Commission may also wish to consider other sources of financial support for the implementation of the *Global Plan of Action*; such as the establishment of a FAO Trust Account as noted in the *Global Plan of Action*, or an independent financial mechanism, similar to the Global Crop Diversity Trust.

15. The Working Group may wish to provide advice to the Commission on the sources of funding to be included in the Funding Strategy, considering those listed above. It may wish to indicate possible alternative and innovative ways to raise the financial resources necessary to complement national investments in the implementation of the *Global Plan of Action*.

16. **Capacity-Building:** The Commission may wish to include capacity-building as a main element of the Funding Strategy. Potential areas for capacity -building identified in the *Global Plan of Action* include:

- development and transfer of environmentally sensitive technologies related to inventory, characterization, sustainable use, development and conservation of animal genetic resources, and other aspects of the management of these resources;¹⁰ and

¹⁰ *Global Plan of Action, Implementation and Financing*. paragraph 59

- technical assistance, technical guidelines, and coordinated training programmes prepared by FAO¹¹, in partnership with other relevant organizations.

17. The Working Group may wish to provide advice to the Commission on the inclusion of a capacity-building component in the Funding Strategy, and on possible priority areas for capacity-building that should be supported by the Funding Strategy. Also see priority setting below in paragraphs 22 and 23.

18. **Information Exchange:** The Commission may wish to include an information exchange component within the Funding Strategy. It is envisaged that the information exchange component would assist countries to identify potential sources of funding for animal genetic resources initiatives. Information on donor mandates, policies, eligibility criteria, and procedures for submitting funding proposals would be provided. This information would be provided by linking DAD-IS and the Facilitating Mechanism for Plant Genetic Resources for Food and Agriculture.

19. The Working Group may wish to provide advice to the Commission on the need for an information exchange component within the Funding Strategy, and its nature. It may also wish to indicate the types of information that would be most useful to countries.

20. **Monitoring and Progress Reporting:** The Commission may wish to include a Monitoring and Progress Reporting component within the Funding Strategy. Various approaches to monitoring and reporting may be required depending on the range and types of financial sources that are included in the Funding Strategy.

21. The Working Group may wish to provide advice on the need for a monitoring and progress reporting component in the Funding Strategy, including possible modalities for monitoring and reporting and the frequency. It should keep in mind that the Commission will be considering progress reporting on the implementation of the *Global Plan of Action*, and status and trends reports, at its next Regular Session, and that the Working Group is requested to provide advice on the frequency and modalities of these reports under Agenda Item 3.2.

22. **Priority Setting:** The Commission may wish to include a priority setting component within the Funding Strategy.

23. The *Global Plan of Action* identifies priority actions for the sustainable use, development and conservation of animal genetic resources. Moreover, countries have identified priorities in their Country Reports for Animal Genetic Resources and are encouraged to prepare National Strategies and Action Plans for Animal Genetic Resources.¹² A successful Funding Strategy would require a more focussed approach to enable donors to have a clear idea of how their resources are being allocated, and to allow these resources to meet pressing needs. The Working Group may therefore wish to advise the Commission to identify a subset of priorities within the set of Strategic Priorities laid out in the *Global Plan of Action*, which will be addressed with more urgency in the Funding Strategy.

24. **Eligibility Criteria:** The Commission may wish to establish eligibility criteria for consideration in the Funding Strategy, for the use of resources that would be under the direct control of the Commission.

25. The Working Group may wish to provide advice to the Commission on the need for eligibility criteria for the use of resources that would be under the direct control of the Commission, and suggest possible criteria.

III. GUIDANCE REQUESTED FROM THE WORKING GROUP

26. The Working Group is requested to provide advice on the development of the Funding Strategy for the implementation of the *Global Plan of Action for Animal Genetic Resources*, including its possible objective and aims, main elements and components, and host arrangements.

¹¹ *Global Plan of Action, Implementation and Financing*, paragraph 60 and 61

¹² CGRFA/WG-AnGR-5/09/Inf. 6

27. The Working Group may wish to recommend adopting the skeleton of the Funding Strategy laying out its most important elements and elaborating each of them further, as necessary, at future sessions of the Commission. The Working Group may wish to use the following draft text as a basis for a recommended draft decision of the Commission:

“The Working Group recommends that the Commission adopt a decision along the following lines:

FUNDING STRATEGY FOR THE IMPLEMENTATION OF *THE GLOBAL PLAN OF ACTION FOR ANIMAL GENETIC RESOURCES*

Objective

The objective of the Funding Strategy is to enhance mobilization of substantial and additional financial resources, and to strengthen international cooperation, to support and complement the efforts of developing countries and countries with economies in transition in the implementation of the *Global Plan of Action for Animal Genetic Resources (Global Plan of Action)*.

Aims of the Funding Strategy:

The Funding Strategy aims

- To seek and further mobilize necessary financial resources from all possible sources, including bilateral, regional and multilateral channels; voluntary contributions from countries; foundations, the private sector, non-governmental organizations and other sources; and to continue supporting the programme through the regular programme resources of FAO, to provide timely support for developing countries and countries with economies in transition, to complement their efforts to implement the *Global Plan of Action*.
- To strengthen international cooperation to enhance the provision of capacity-building, including training and technology transfer for improved management of animal genetic resources, based on country identified needs, with FAO providing technical assistance and facilitating collaboration and partnerships among countries and relevant international organizations and institutions.
- To ensure the effective and transparent use of financial resources and incentives in implementing the *Global Plan of Action*, consistent with relevant international agreements, with oversight and periodic assessment of progress made provided by the Commission on Genetic Resources for Food and Agriculture.

Financial resources covered by the Funding Strategy

The Funding Strategy for the implementation of the *Global Plan of Action* covers all known and potential sources of financial resources, including:

- The Regular Programme resources of FAO dedicated to the implementation of the *Global Plan of Action*;
- Extra-budgetary resources received by FAO directed toward the implementation of the *Global Plan of Action*;
- Bilateral, regional and multilateral support to countries for the implementation of the *Global Plan of Action*; and
- Support to countries for the implementation of the *Global Plan of Action* provided by foundations, the private sector, non-governmental organizations and other sources.

Elements of the Funding Strategy

The Funding Strategy includes, in particular, the following elements:

- Capacity-building: Potential areas for capacity-building identified in the *Global Plan of Action* include:
 - Development and transfer of environmentally sensitive technologies related to inventory, characterization, sustainable use, development and conservation of animal genetic resources, and other areas related to the management of these resources; and
 - Technical assistance, technical guidelines, and coordinated training programmes prepared by FAO, in partnership with other relevant organizations.
- Information exchange: The information exchange component will assist countries to identify potential sources of funding for animal genetic resources initiatives. Information on donor mandates, policies, eligibility criteria, and procedures for submitting funding proposals will be provided. This information will be provided by linking DAD-IS and the Facilitating Mechanism for Plant Genetic Resources for Food and Agriculture.
- Monitoring and progress reporting: Monitoring and reporting requirements will vary depending on the range and types of financial sources that are included in the Funding Strategy. Progress reporting on the implementation of the *Global Plan of Action*, and status and trends reports, may form an important part of the monitoring and progress reporting within the Funding Strategy.
- Priority setting: The Funding Strategy may provide for a mechanism to set priorities for funding. The *Global Plan of Action* identifies many priority actions for the sustainable use, development and conservation of animal genetic resources. Moreover, countries have identified priorities in their Country Reports for Animal Genetic Resources and are encouraged to prepare National Strategies and Action Plans for Animal Genetic Resources.
- Eligibility criteria: The Funding Strategy will establish eligibility criteria for the use of resources that are under the direct control of the Commission.”

28. The Working Group may wish to request the Secretariat to prepare, on the basis of the Working Group’s recommendations and comments, a draft Funding Strategy for consideration by the Commission with a view to its adoptions at the Commission’s next Session.

APPENDIX 1

EXAMPLES OF EXISTING FACILITATING AND FUNDING MECHANISMS HOSTED BY FAO

Different models of funding and facilitating mechanism are hosted by FAO. Information on several of these mechanisms is provided below. Their similarities and differences are highlighted in Table 1 of this Appendix.

- The Integrated Pest Management Facility (IPMF);
- The National Forest Programme Facility (NFPF);¹³
- The Codex Alimentarius Trust Fund (CTF);¹⁴
- The Funding Strategy of the International Treaty on Plant Genetic Resources for Food and Agriculture (FS IT-PGRFA), encompassing resources within and outside the control of the Governing Body¹⁵, including priorities¹⁶, eligibility criteria¹⁷, and procedures¹⁸;
- The Global Crop Diversity Trust Fund (CDTF);¹⁹
- FishCode;²⁰ and
- The Secretariat of the International Plant Protection Convention (IPPC).²¹

Funding and facilitating mechanisms support legally binding agreements: IT-PGRFA and the IPPC, and voluntary arrangements: Codex Alimentarius, Code of Conduct of Responsible Fisheries and the non-legally binding instrument on all types of forests of the United Nations Forum on Forests (E/2007/42).

The mechanisms differ with regard to country eligibility criteria and country obligations, which are very well defined for the CTF and the NFPF, but are less defined for the others mechanisms. They differ with regard to their target groups, from governments (CTF) to gene banks (CDTF) or field programmes (IPMF), and with regard to the obligations to include non-governmental organizations in the implementation of projects. This latter requirement is strongest in the NFPF. In the Funding Strategy of the IT-PGRFA, beneficiaries can be directed towards organizations other than governments, but the project proposals must be presented through the Contracting Party or Parties concerned.

Some mechanisms have clear matching fund obligations and phase-out strategies built in (CTF). Others provide staggered funding based on annual achievements and reporting (NFPF). Some require milestones to be defined in the project document (FS IT-PGRFA, FishCode).

¹³ <http://www.nfp-facility.org/home/en/>

¹⁴ <http://www.who.int/foodsafety/codex/trustfund/en/>

¹⁵ Funding Strategy - Resolution 1/2006 GB-1/06/REPORT. Appendix F IT/GB-1/06/Report Appendix F, ftp://ftp.fao.org/ag/agp/planttreaty/funding/fundings1_en.pdf

¹⁶ Annex 1 of the Funding Strategy, Priorities GB-2/07/REPORT. Appendix D.1 ftp://ftp.fao.org/ag/agp/planttreaty/funding/priorities_en.pdf

¹⁷ Annex 2 of the Funding Strategy, entitled Use of Resources under the Direct Control of the Governing Body: Draft Eligibility Criteria GB-2/07/REPORT. Appendix D.2 ftp://ftp.fao.org/ag/agp/planttreaty/funding/eligibility_en.pdf

¹⁸ Annex 3 of the Funding Strategy, Use of Resources under the Direct Control of the Governing Body: Operational Procedures.GB-2/07/REPORT. Appendix D.3 ftp://ftp.fao.org/ag/agp/planttreaty/funding/procedures_en.pdf

¹⁹ <http://www.croptrust.org/main/>

²⁰ <http://www.fao.org/fishery/fishcode/en>

²¹ <https://www.ippc.int/IPP/En/default.jsp>

Some mechanisms have annual calls for proposals from countries, while others review incoming requests on a continuous basis.

The GCDT is an endowment fund. The FS IT-PGRFA makes use of financial resources resulting from the sharing of monetary benefits from the commercialization of plant genetic resources for food and agriculture under Article 13.2d(ii) of the Treaty. Others are special multidonor trust funds.

Some mechanisms have a steering or executive committee composed of different stakeholder groups (NFPF, CDTF). Others have regular review meetings (IPMF), while in another group the secretariat makes operational decisions in line with agreed programmes and procedures (CTF, IPPC, FishCode). In the case of the FS IT-PGRFA, the Governing Body of the Treaty and its Bureau, and a panel of experts will provide recommendations on project proposals.

The administrative burden and the costs of managing the funds in the mechanism secretariats increase with the complexity of the governance structure and the technical inputs provided by the secretariat. The staffing levels vary significantly (CTF – 1.5 staff; IT-PGRFA – 4 staff; NFPF – 15 staff; and CDTF – 18 staff members).

Table 1: Overview of major facilitating and funding mechanisms hosted by FAO

Mechanism	Governance	Secretariat	Fund type	Funding options	Beneficiaries and eligibility	country obligations
IPMF	Ad-hoc Independent Technical Advisory Groups for specific issues of common concern. FAO, UNDP, UNEP and the World Bank since 1997.	3 FAO based staff; FAO staff technical support.	Bi- and multi-lateral FAO-based trust fund programme.	Technical support to IPM field programmes in a large number of countries. This includes assistance in project or programme design, fundraising and facilitation of collaboration among IPM programmes.	developing countries based on FAO technical criteria.	
NFPF	Multistakeholder Steering Committee which includes representatives from beneficiary countries, the World Bank, funding partners, research institutions, NGOs, foundations, the private sector and FAO, since 2002.	15 professional and support staff at FAO headquarters and in regions; FAO staff technical support.	multidonor trust fund supported by 13 funding partners; intended ca. US\$45 million for 10 years.	Catalytic funding to support activities such as workshops, fora and training; policy analysis and specific studies; information sharing and knowledge management initiatives. One-time US\$300 000 over 3 years to develop national forest programme..	<ul style="list-style-type: none"> • countries ranked as low and medium according to HDI* • broad range of stakeholders • signature of FAO-country partnership agreement. 	<ul style="list-style-type: none"> • establish Multistakeholder National Steering Committee (MNSC) and assure allocation of Facility grants to non-government stakeholders • successive one-year programmes are developed by the MNSC and agreed upon with the Facility • progress reporting in line with FAO standards. • competitive process of calling and selecting proposals
FS IT-PGPFA	IT-PGRFA is an FAO Art 14 body with its own IT-Governing Body (GB).		A) Funds not under the direct control of the GB B) funds under the direct control of the GB (benefits arising from the use of PGRFA shared under the Multilateral System +	A) ensure a balanced approach to the implementation of the Treaty and the Global Plan of Action PGR. B) conservation and sustainable use of PGRFA.	B) Contracting Parties that are developing countries. B) Project cycle with call for proposals, approval and re-submission, list of technical selection criteria.	B) standard reporting, monitoring and evaluation procedures.

			voluntary contributions + FAO RP			
CTF	Codex is an FAO Art 6.1 body. FAO/WHO Consultative Group consisting of senior FAO and WHO staff who meet periodically to review and discuss funding policy and expenditure plans.	1.5 staff based at WHO	FAO/WHO Trust Fund for Participation in Codex meetings, intended for 12 years and ca. US\$40 million; funding from government agencies only.	Enhance countries' level of effective participation in the development of global food safety and quality standards by the Codex Alimentarius Commission; through (i) funding of travel (air tickets and DSA) to attend Codex sessions or working group sessions; and (ii) organization of regional workshop to build capacity of national Codex contact points and delegates to Codex meetings.	Eligibility is reviewed annually and is based on the three official classifications produced within the UN system: the list of Least Developed Countries established by the UN Economic and Social Council, the World Bank classification of economies and the UNDP HDI. Conditions: Members of the Codex Alimentarius Commission. The country has an identified Codex Contact Point. A work plan is presented. Matching funds requirements call for gradual increase in financial participation of countries and time limits. "Sunset clause" after having benefited from x number of years.	<ul style="list-style-type: none"> • Prior to the meeting undertake relevant country-level consultations, discussions and research. • Be continuously present in the session. • After the meeting, debrief to interested parties at country level. • Within one month after the meeting, submit a report to the Trust Fund Secretariat in conjunction with the Codex Contact Point and interested parties. • Submission of an annual summary report.
Fish Code	Established by the FAO Fisheries and Aquaculture Department as a special programme of Global Partnerships for Responsible Fisheries in support	FishCode Programme, 1 Coordinator plus FAO staff.	Bi- and multi-lateral trust funds.	Open contributions to the FishCode Trust or specific project agreements for work related to policy advice, technical assistance and capacity building to promote responsible fisheries and aquaculture.	Developing countries and countries with economies in transition; regional fisheries bodies and arrangements. Donor partners may include bilateral international development agencies,	Establish and operate national and regional task groups as required by specific project activities, and reporting as required.

	of the Code of Conduct for Responsible Fisheries (CCRF). Established as an umbrella facility under the office of the ADG/FI, with FI Directors and Chiefs comprising the Programme Advisory Group.				intergovernmental organisations, NGOs, foundations, and industry groups.	
IPPC	FAO and the Commission on Phytosanitary Measures (CPM – governing body of the IPPC).	Staff based in FAO.	Multilateral and bilateral trust funds.	Developing country travel for active participation in standard setting, the annual governing body meeting and limited regional country consultations on draft standards.	Only contracting parties to the IPPC. Eligibility is reviewed annually and is based on a combination of the official classifications produced within the UN system: the list of Least Developed Countries established by the UN Economic and Social Council, the World Bank classification of economies.	

*HDI = Human Development Index.