

Mike O'Neill

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Food Standards Agency of the United Kingdom













Codex vTPA Guidelines: Origin and timeline

2015

CODEX ALIMENTARIUS COMMISSION





Viale delle Terme di Caracalla, 00153 Rome, Italy - Tel: (+39) 06 57051 - E-mail: codex@fac.org - www.codexalimentarius.org Agenda Item 10 CX/FICS 16/2/2/9 November 2015

JOINT FAO/WHO FOOD STANDARDS PROGRAMME

CODEX COMMITTEE ON FOOD IMPORT AND EXPORT INSPECTION
AND CERTIFICATION SYSTEMS

Twenty-second Session

Melbourne, Australia, 6-12 February 2016

DISCUSSION PAPER ON CONSIDERATION OF EMERGING ISSUES AND FUTURE DIRECTIONS FOR THE WORK OF THE CODEX COMMITTEE ON FOOD IMPORT AND EXPORT INSPECTION AND CERTIFICATION SYSTEMS

Prepared by the European Union

2018

CODEX ALIMENTARIUS COMMISSION





Viale delle Terme di Caracalla, 00153 Rome, Italy - Tel: (+39) 06 57051 - E-mail: codex@(ao.org - www.codexalimentarius org Agenda item 6 CX/FICS 18/24/6 August 2018

JOINT FAO/WHO FOOD STANDARDS PROGRAMME

CODEX COMMITTEE ON FOOD IMPORT AND EXPORT INSPECTION AND CERTIFICATION SYSTEMS

Twenty-Fourth Session

Brisbane, Australia, 22 - 26 October 2018

PROPOSED DRAFT PRINCIPLES AND GUIDELINES FOR THE ASSESSMENT AND USE OF VOLUNTARY THIRD-PARTY ASSURANCE PROGRAMMES

(At Step 3)

Prepared by an electronic working group1(EWG) led by the United Kingdom with Canada and Mexico

2017

CODEX ALIMENTARIUS COMMISSION



Food and Agriculture Organization of the United Nations



Viale delle Terme di Caracalla, C0153 Rome, Italy - Tel: (+39) 06 57051 - E-mail: codex@fao org - www.codexailmentarius org Agenda item 8 CX/FICS 17723/8 February 2017

JOINT FAO/WHO FOOD STANDARDS PROGRAMME

CODEX COMMITTEE ON FOOD IMPORT AND EXPORT INSPECTION
AND CERTIFICATION SYSTEMS

Twenty-third Session

DISCUSSION PAPER ON REGULATORY APPROACHES TO THIRD PARTY CERTIFICATION IN FOOD SAFETY

Prepared by Canada and the United Kingdom

2020

CODEX ALIMENTARIUS COMMISSION





Viale delle Terme di Caracalla, 00153 Rome, Italy - Tel: (+39) 06 57051 - E-mail: codex@fao.org - www.codexalimentarius.org

CXFICS 20/25/4

February 2020

JOINT FAO/WHO FOOD STANDARDS PROGRAMME

CODEX COMMITTEE ON FOOD IMPORT AND EXPORT INSPECTION AND CERTIFICATION SYSTEMS

Twenty-fifth Session

Hobart, Australia, 27 April - 1 May 2020

DRAFT PRINCIPLES AND GUIDELINES FOR THE ASSESSMENT AND USE OF VOLUNTARY THIRD-PARTY
ASSURANCE (vTPA) PROGRAMMES (Updated Text)

(Report prepared by the Electronic Working Group chaired by the United Kingdom and co-chaired by Canada and Mexico)

(At Step 7)



vTPA Principles (Step 7)

D: PRINCIPLES

11. When considering the potential role of vTPA programmes and the potential contribution they may make to FBO compliance with regulatory requirements and broader NFCS objectives, competent authorities should be guided by the following principles:



Principle 1 Planning and decision making

 Competent authorities retain discretion whether and how to consider information/data from vTPA programmes in their regulatory oversight, inspection and control framework, planning and decision-making process.



Principle 2 Role and responsibilities

 Competent authorities remain responsible for maintaining appropriate oversight of the implementation of regulatory requirements and controls including enforcement actions regardless of the participation of FBOs in vTPA programmes.

Principle 3 Transparency of policies and processes

 Any arrangement to use vTPA information/data to support NFCS objectives, including the assessment criteria, should be based on transparent policies and processes in line with Principle 3 of CAC/GL 82-2013⁵.



Principle 4 Regulatory framework

The vTPA standard, its audit and inspection does not replace regulatory requirements or controls carried
out by the competent authority and could be complementary to the regulatory controls.

Principle 5 Proportionality

 The depth and extent of any assessment of the vTPA programme should be commensurate with the intended use of the vTPA information/data.



Principle 6 Confidentiality

 Competent authorities should ensure the confidentiality of information/data shared by vTPA owners in line with the relevant legal requirements in their countries.

Principle 7 Avoiding burdens on business

 The processes and policies of the competent authority to make use of vTPA information/data should not directly or indirectly mandate additional requirements, costs or restrictions on FBOs over and above regulatory requirements

Principle 8 Rights and obligations

In developing an appropriate approach to leverage the vTPA compliance information/data, competent
authorities should ensure that their approach is consistent with international rights and obligations.



vTPA Accreditation and Certification arrangements

F: CRITERIA TO ASSESS THE CREDIBILITY AND INTEGRITY OF VTPA ROGRAMMES

13. Competent authorities that choose to use vTPA programmes in their NFCS should satisfy themselves that the vTPA information/data can be trusted and is fit for purpose. In order to do this, they may carry out a full or partial assessment of the credibility and integrity of the vTPA programme, commensurate with their intended use of the vTPA information/data. When carrying out such an assessment, competent authorities should select the criteria below that are appropriate to the extent of their intended use of the vTPA programme as a start point for this assessment.

Governance Arrangements



4) Does the vTPA programme have an accreditation arrangement with an accreditation body with international standing⁶, recognition and credibility? If not, how does the vTPA programme owner ensure that accreditation bodies have the capacity and competency to perform effectively?"

Accreditation of Certification Bodies

- Does the vTPA programme have an independent process to ensure the use of appropriately accredited certification bodies?
- 2) Is the accreditation of certification bodies subject to a periodic review and renewal?



- Does the accreditation body assess the certifying body using relevant and internationally recognized standards⁷?
- 4) Is the certifying body accredited for the vTPA programme according to the relevant accreditation standard?



⁶ For example, the International Accreditation Forum (IAF) and the International Laboratory Accreditation Co-operation (ILAC).

⁷ Examples include: ISO/IEC 17020, ISO/IEC 17065 or ISO/IEC 17021-1 supplemented with ISO/TS 22003, ISO/IEC 17011



Steve Wearne

Vice Chair of Codex Alimentarius Commission

Director of Global Affairs at the UK Food Standards Agency







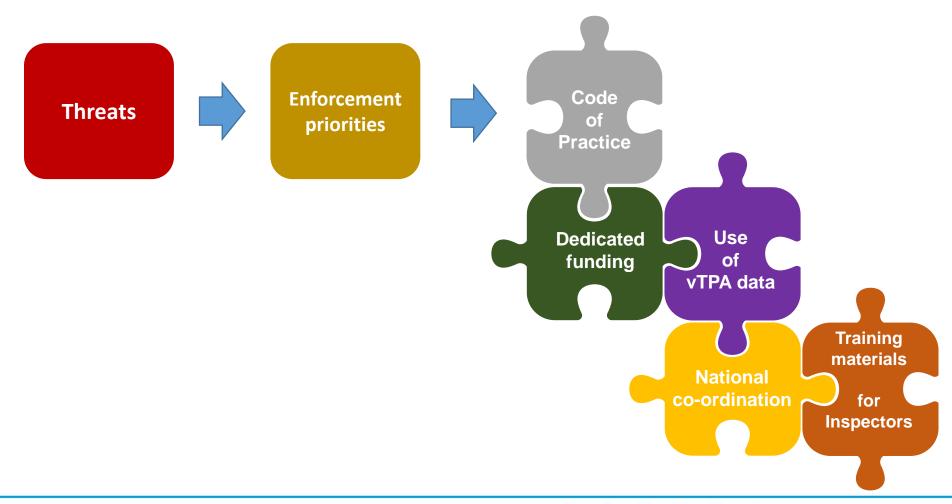








Integrating vTPA into a new approach

















Criteria to demonstrate robustness of schemes

Standard Setting (how standards are developed and reviewed), and standards mapped against all relevant parts of the legislation

Compliance and Certification (including accreditation)

Assessment Process (effectiveness and frequency of assessments)

> **Assessor Authorisation/Competence (induction and** continued learning)

Data Sharing and Communications (on membership status and details of non-conformities)









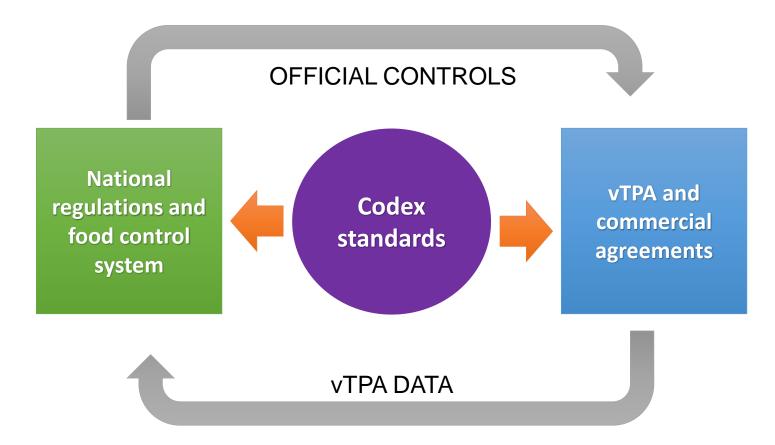








The role of Codex standards















A global partnership to facilitate

safe trade







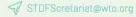














STDF's contribution to the Global Goals

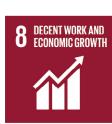
STDF'S VISION LINKED TO THE SDGs

SUSTAINABLE **ECONOMIC GROWTH, POVERTY REDUCTION** and FOOD SECURITY

STDF's 2020-2024 Strategy supports:











In addition, the Strategy contributes to:



















Regional vTPA projects in Central America and West Africa









Regulatory approaches to voluntary third-party assurance (vTPA) programmes

Opportunity: Support risk-based approaches, better target resources, reduce regulatory burden, improve compliance

Concerns: Accountability, transparency, cost, dual systems

STDF regional projects: Pilot and learn from the vTPA approach in the draft Codex guidelines









Mr. Ali Badarneh

Chief of Sustainable Food Systems UNIDO











UNIDO's Mandate - ISID

Quality Infrastructure and Smart Production Division

Build national & regional quality infrastructure systems to provide internationally recognized services

Sustainable Food Systems Division

Promote sustainable food systems that deliver food safety and nutrition security and improve the competitiveness of the agri-food processing sector



Food Safety Approach

Safer food for sustainable and resilient businesses





Food Safety Approach



https://www.unido.org/food-safety-driver-human-and-economic-development









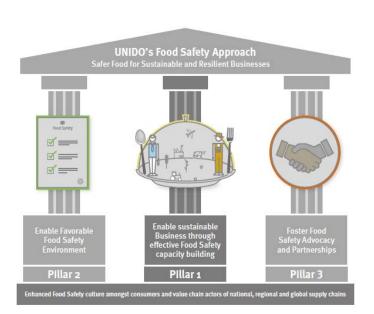








UNIDO's Food Safety Approach





Enable sustainable business through effective food safety capacity building

> Building block 1.1 – Tallored and Scalable Food Safety schemes adopted by value chain operators Building block 1.2 - Enhanced and Sustained Local Food Safety Competencies along the value chain

Tailored and Scalable Food Safety schemes adopted by value chain operators

- Support less-developed food and agri-food businesses gain market access and buyers trust, by implementing relevant schemes such as UNIDO's Sustainable Supplier Development Program (SSDP), through public and private partnerships.
- Assist small and medium food businesses to comply with recognized food safety schemes relevant to their market needs.
- Design and implement supply chain-driven safety and quality assurance schemes, covering all supply chain actors e.g., growers, collectors, packers, processors, distributors, traders etc.















vTPAs in developing countries

International / GFSI bechmarked schemes

- BRC, IFS, FSCC, SQF GLOBALGAP,
- Other international schemes / standards

National schemes

- National GAP
- National HACCP
- National code of practice

Sector /
industry / value
chain-specific
schemes

- Retail-specific
- Group –specific
- Industry specific
- Value chain specific















AGRO-INDUSTRIAL PARKS

* AERIAL VIEW OF IAIP



















National Accreditation system

National metrology system

Accredited testing labs

Certification / auditing services

> Training – advisory services

Retail- food service chains (national-/ multi-nationals) with their own food safety schemes

business with no certification

Food Regulator

Food businesses certified against national GAP & **National HACCP**

MSMEs food

in place

Informal food businesses in all sectors with no FS systems in place

CODEX COMMITTEE ON FOOD IMPORT AND EXPORT INSPECTION AND CERTIFICATION SYSTEMS DRAFT PRINCIPLES AND GUIDELINES FOR THE ASSESSMENT AND USE OF VOLUNTARY THIRD-PAR ASSURANCE (VTPA) PROGRAMMES (Updated Text ared by the Electronic Working Group chaired by the United Kingdom and co-chaired by Canada

CODEX ALIMENTARIUS COMMISSION

Exporters and multinationals certified against **GFSI-recognized** scheme

> **Industry groups** with their own FS scheme for their supply chains

Data sharing and management ecosystem















Kevin Swoffer

Senior Expert on Food Safety Schemes













Consultation on sector / scope, interested partners

> Conduct baseline assessment on practices and capacities of food safety stakeholders (FBOs, CAs, CBs, vTPA owner)

Building the PPP at country level (government, industry, multinationals & partners) to form policies

Localisation of the VCBP program (requirements, training and guidance)

Identify and build competences of a pool of local mentors, trainers and assessors

> Sustainability **Assessment**

Business selection and awareness building

FBO training and assessment of defined

Incorporation into national / regional strategies & policies

requirements

Monitoring, evaluation and reporting on results + advocacy & communication





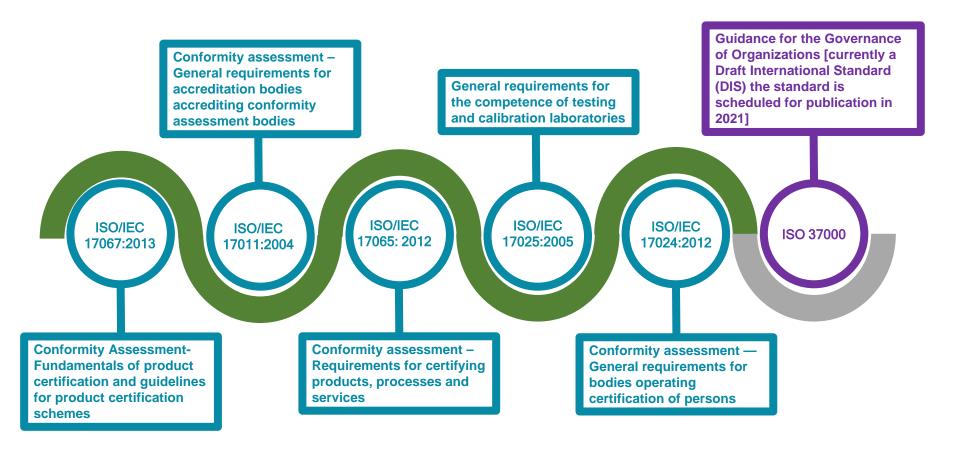








Relevant ISO Standards and best practice



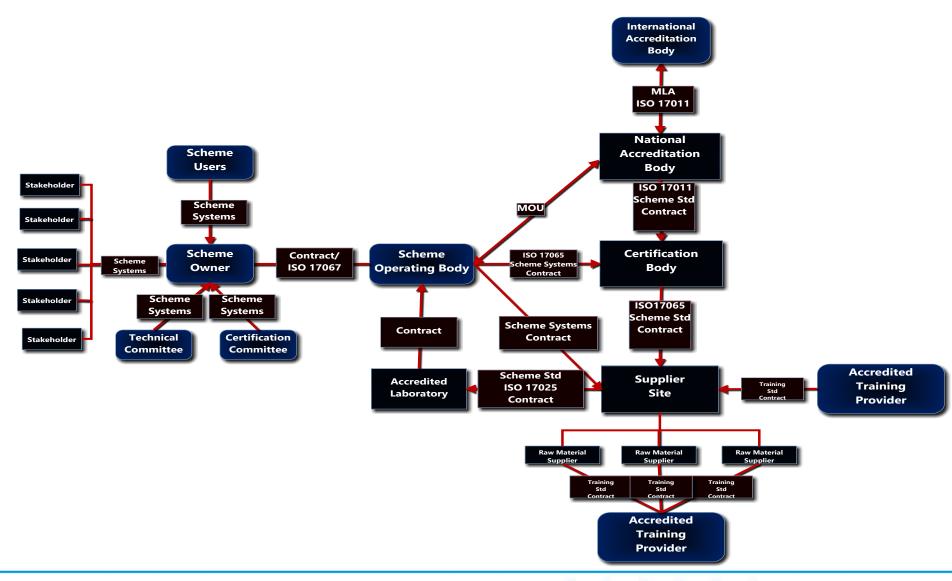












in













Policy, Operational Manual, Systems and Procedures for **Voluntary Capacity Building Programme**



Programme governance: Overview, structure & responsibilities Appointment and Training of Technical Experts Procedures for Trainers, Mentors & Assessors





Operational procedures

Procedure on FBO selection





Overview of the programme





Process steps for voluntary capacity building programme







Agreement on Project Steering Committee Terms of Reference

Provision of Training and Mentoring Services: Procedure for FBO training & mentoring





Agreement on Project Implementation Plan, incl. **Programme Rules**

Procedure FBO assessment





Program Management and Sustainability: Identification of experts

Business Review, Development and Continual











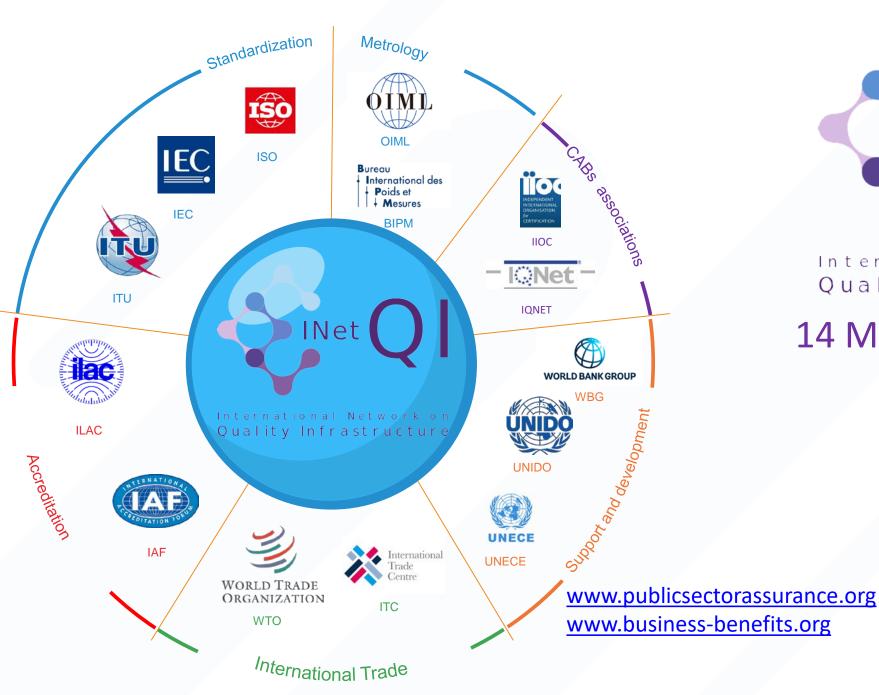






INetQI (International Network on Quality Infrastructure)







International Network on Quality Infrastructure

14 Member Organizations



9 June 2020 Merih Malmqvist Nilsson INetQI Chair





Accreditation Roles

Cost Efficiency

Efficiency in industry is promoted by accreditation

which leads to the avoidance of costs, for example, of waste and re-working arising from non-conforming product or measurement.

Impact on public services

Conformity-assessed services have impacts on public services, in particular health and welfare through applications in the health services or economic activities with health risks.

International trade enabled

through the assurance of quality and reliability while international mutual recognition of accredited testing and certification reduces potential barriers to trade.

Risk Management

Public health and safety are advanced by accredited services in areas as diverse as diagnostic imaging, pathology laboratories, forensic testing, water quality and the management of the risks from asbestos in buildings, and the safety of electrical and other products and personal protective equipment.

Commercial benefit

Gaining accreditation also has commercial benefit, in that it is often regarded as a marketing and reputational advantage.

Effective Market operations

Accreditation improves the effective operation of markets because buyers and sellers can be more confident in the reliability and competence of their partners and confidence in goods and services

Accreditation roles identified by Frenz and Lambert

ILAC's Global Role

Principal international forum for:

- Recognition of competent test and calibration labs, inspection bodies, proficiency testing providers (PTP) and reference material producers (RMP) world-wide through its Mutual Recognition Arrangement (MRA)
- Development and appropriate harmonization of laboratory, inspection body, PTP and RMP accreditation practice
- Promotion of laboratory and inspection accreditation as a trade facilitation tool
- Assisting with the development of laboratory, inspection, PTP and RMP accreditation systems

IAF's Global Role

Principal international forum for:

- Recognition of competent Certification bodies
 (Management systems, products, persons) and Validation
 and verification bodies world-wide through its Multilateral
 Recognition Agreement (MLA)
- Development and appropriate harmonization of accreditation practices
- Promotion certification as a trade facilitation tool
- Assisting with the development of accreditation systems





tested, certified, inspected once...accepted everywhere

ILAC MRA in summary

ILAC MRA 2019

AROUND THE WORLD

TESTING
LABORATORIES
USING ISO / IEC 17025
99 signatories to the ILAC MRA
60,014 accredited CABs

CALIBRATION LABORATORIES USING ISO / IEC 17025

86 signatories to the ILAC MRA 11,376 accredited CABs

MEDICAL TESTING
USING ISO 15189
70 signatories to the
ILAC MRA
8,405 accredited CABs





INSPECTION BODIES
USING ISO / IEC 17020
77 signatories to the
ILAC MRA
11.310 accredited CABs

PROFICIENCY
TESTING PROVIDERS
USING ISO / IEC 17043"
34 signatories to the
ILAC MRA
461 accredited CABs



REFERENCE MATERIAL PRODUCERS USING ISO 17034**

**The ILAC MRA was extended in May 2019 to include accreditation of Proficiency Testing Providers to ISO/IEC 17043 and Reference Material Producers to ISO 17034 in April 2020

5 regional cooperation bodies recognised under the ILAC MRA

102 signatories to the ILAC MRA from 104 economies.

The MRA/MLAs of the recognised regions underpin the ILAC Arrangement (MRA).

Currently, the MRA/MLAs of 5 of the 6 Regional Cooperation Body members in ILAC are recognised by ILAC (IAAC, AFRAC, APAC, ARAC, and EA).

Recognition of a region is achieved after successful peer evaluation by ILAC. Each recognised region is then re-evaluated by ILAC every 4 years.

Signatories to the <u>IAAC</u>, AFRAC, APAC, ARAC and EA MRA/MLAs, who are also members of ILAC, are entitled to become signatories (Full Members) to the ILAC Arrangement, eg ONAC and JANAAC.

•Over 91 600 labs, inspection bodies, PT providers and RM producers accredited by the 102 signatories to the ILAC MRA!



Key International partners

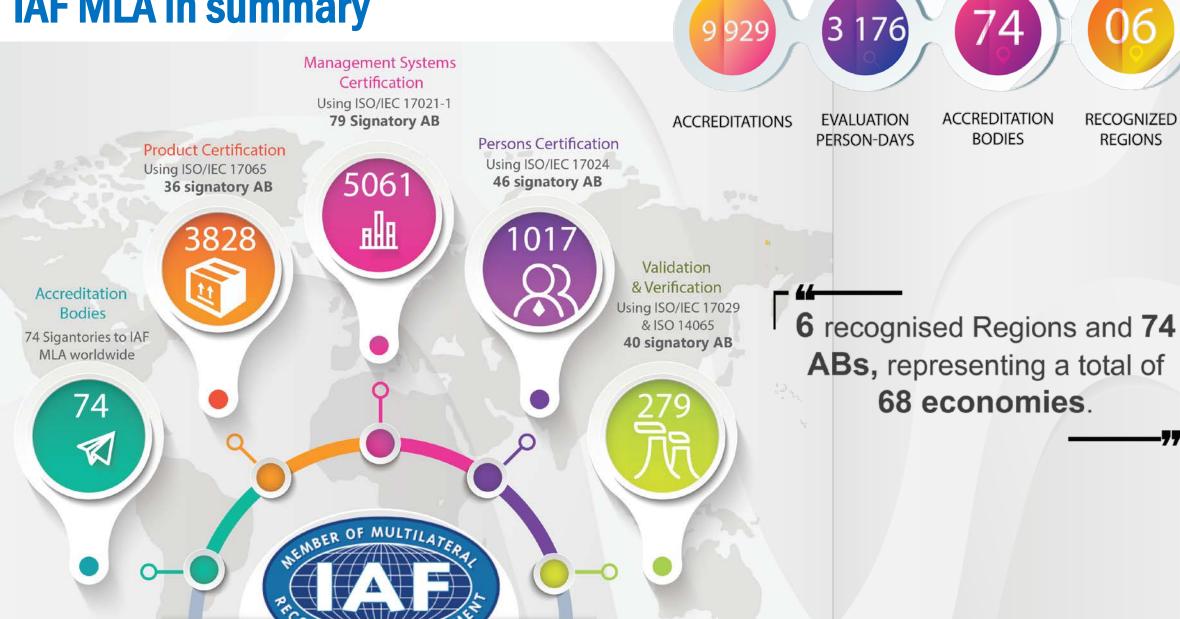
World Anti-Doping Agency International Accreditation International **Forum Organization of** IAF **Legal Metrology World Bank** International WORLD BANK GROUP **Electrotechnical Commission International Halal Accreditation Forum International Federation** for Clinical Chemistry International International **Telecommunications Organisation for** Union **Standardisation** Bureau International des Poids et

International Committee on Weights & Measures

↓ Mesures

UN Industrial Development Organisation

IAF MLA in summary



The IAF MLA Mark

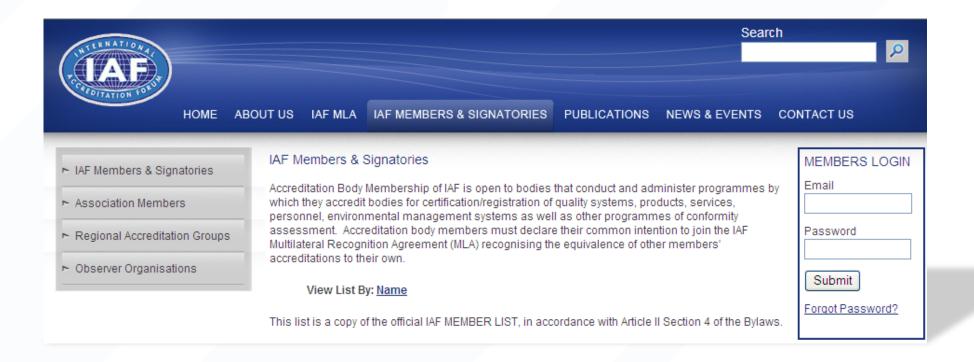
Use of the IAF MLA Mark allows a business seeking certification to confirm at a glance that a certification body is accredited by an accreditation body that is a signatory to the IAF MLA.

AB SYMBOL

As a result, businesses will benefic the IAF MLA Mark, that requirements have actually been met.

How to find an IAF MLA Signatory

A 'live' and complete list of signatories can be found on the IAF website at www.iaf.nu/articles/IAF_Members_Signatories/



IAF Partners

IAF works with a number of organisations and cooperates with many international bodies, including numerous MoU partners, to achieve shared objectives.



International Laboratory Accreditation Cooperation



International Organization of Legal Metrology



UN Industrial Development Organisation



World Bank



GLOBALG.A.P.



The Quality and Safety System for Specialty Feed Ingredients



International Telecommunications Union



International Organisation for Standardisation



International Electrotechnical Commission



International Halal Accreditation Forum



International Personnel Certification Association



The Global Food Safety Initiative



International Civil Aviation Organization



INetQI











World Accreditation Day Material

#WAD2020



Poster

- WAD is a global initiative
- Established by ILAC and IAF
- Opportunity to promote accreditation through common theme each year
- Materials provided by ILAC and IAF each year to support local economy and regional events

https://youtu.be/B1rKwVClahw





Joint statement

Brochure



Accreditation in the **Food Supply Chain**



Testing (ISO/IEC 17025) Laboratories carry out chemical and microbiological testing to assure the quality and safety of raw foods, feed, pesticide and antibiotic residues, plant health, vaccines, disease control and animal by-products.



Inspection (ISO/IEC 17020) Farm inspections check compliance with hygiene standards, animal welfare and disease control.



Certification (ISO/IEC 17065) Organizations check compliance with food scheme requirements e.g organic food standards.



Inspection (ISO/IEC 17020) Inspection insures road worthiness and animal protection.



Testing (ISO/IEC 17025) Laboratories carry out chemical and microbiological testing of raw materials and final products.



Certification (ISO/IEC 17065) Organizations check compliance with food and packaging standards.



Certification (ISO/IEC 17021-1) Third-party organizations audit and certify management systems of the food production plants.



Inspection (ISO/IEC 17020) Pre-shipment inspection of cargo vehicle inspection scheduled aircraft inspection



Transportation



Processing and Packaging



Crop and animal Production



Food safety supports the fight against COVID-19

WHO Director-General's opening remarks at the Mission briefing on COVID-19 - 16 April 2020



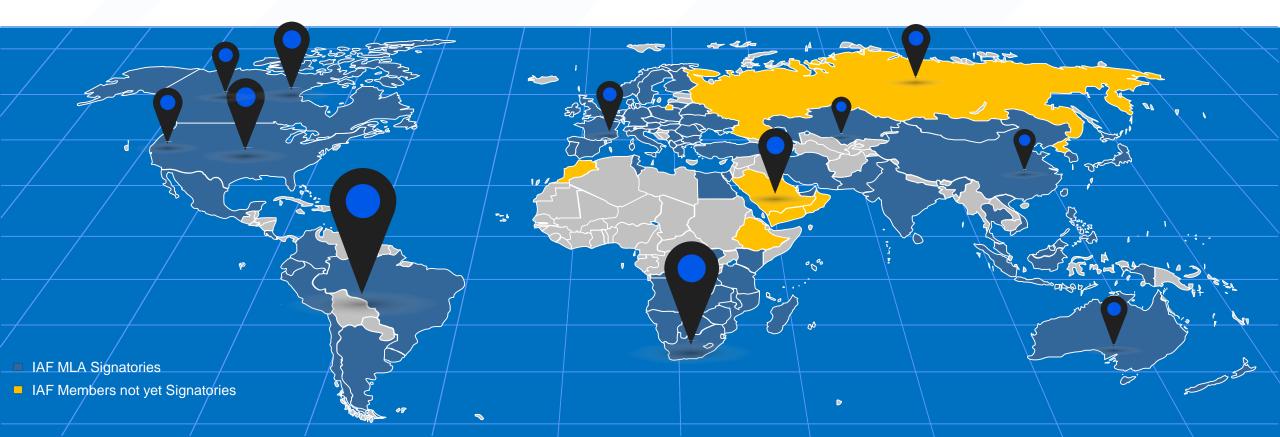
WHO maintains that governments ... must enforce food safety and hygiene regulations to ensure that food that is sold in markets is safe.

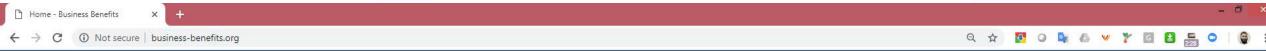
WHO has provided guidance and support to countries on safe and healthy markets, including guidance for food businesses on COVID-19 and on food safety and live markets.

Accreditation Business Benefits











Standards, certification, testing, inspection and accreditation, help businesses to reduce costs, increase productivity and access new markets. This site provides the evidence through case studies and research.















Accreditation Business Benefits for UK



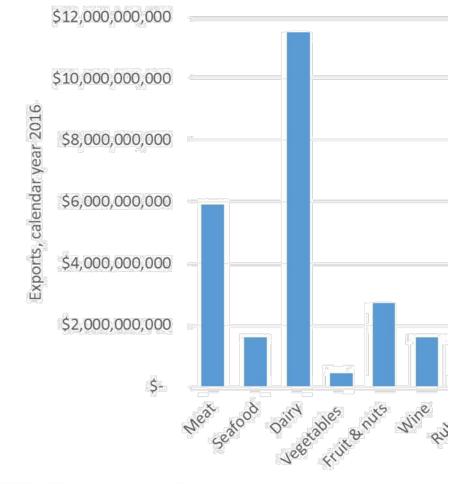
Accreditation Business Benefits for New Zealand



Economic research carried out by the <u>New Zealand Institute of Economic Research (NZIER)</u>, a specialist consulting firm, reveals that accreditation facilitates **\$27.6** billion of New Zealand exports – over 56% of total exported goods.

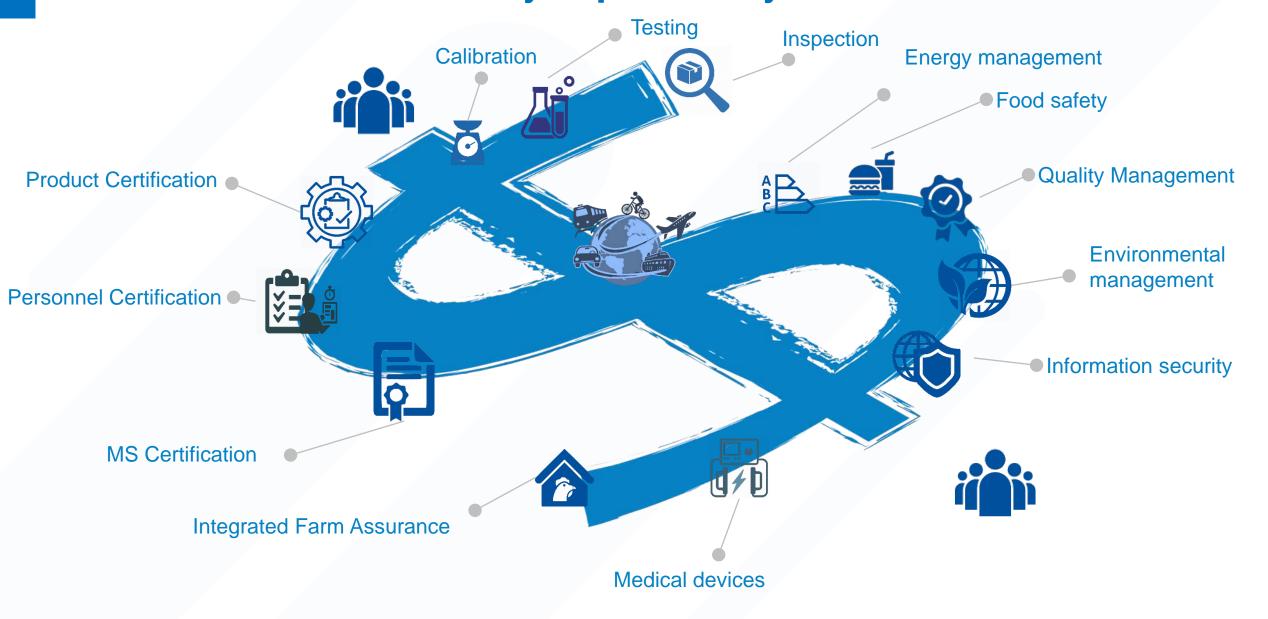






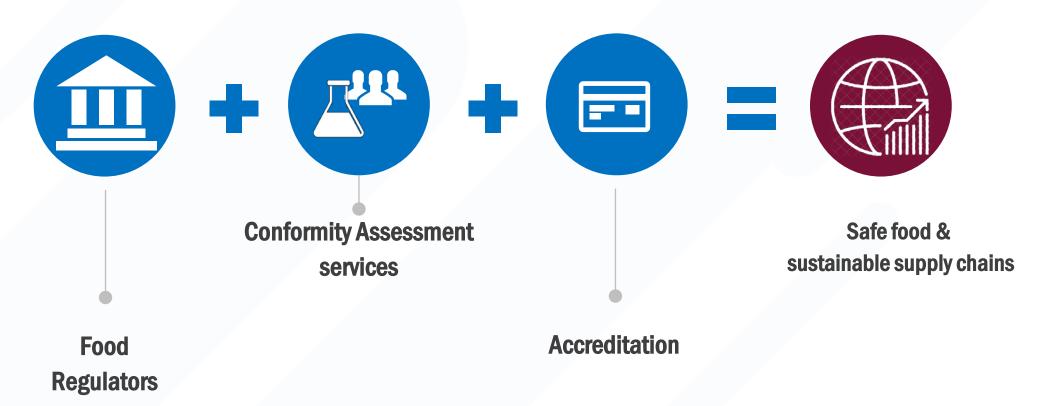
IANZ plays an important role in the domestic economy. Its accreditation services support industries that account for £25.8 billion of GDP, and which employ almost 358,000 workers (17% of total employment).

Accreditation adds value every step of the way



Regulators and accredited services

Accreditation enables complementarity between the Regulators and conformity assessment bodies



Contact Details

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Email: <u>Secretary@iaf.nu</u>

- https://twitter.com/IAF_Global
- in https://www.linkedin.com/company/ international-accreditation-forum-inc/
- https://www.youtube.com/ user/IAFandILAC

The ILAC Secretariat

Phone: +61 2 9736 8374

Email: <u>ilac@nata.com.au</u>

- https://twitter.com/ILAC_Official
- https://www.youtube.com/ user/IAFandILAC





Thank you and stay safe







Together we protect our consumers better!

Merih Malmqvist Nilsson INetQl Chair