Mike O’Neill

Head of Codex Policy and Strategy

Food Standards Agency of the United Kingdom
Codex vTPA Guidelines: Origin and timeline

2015

CODEX ALIMENTARIUS COMMISSION

Food and Agriculture Organization of the United Nations

20th Session

Codex Committee on Food Import and Export Inspection and Certification Systems

November 2015

JOINT FAO/WHO FOOD STANDARDS PROGRAMME

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

2017

CODEX ALIMENTARIUS COMMISSION

Food and Agriculture Organization of the United Nations

22nd Session

Codex Committee on Food Import and Export Inspection and Certification Systems

February 2017

JOINT FAO/WHO FOOD STANDARDS PROGRAMME

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

Prepared by Canada and the United Kingdom

2018

CODEX ALIMENTARIUS COMMISSION

Food and Agriculture Organization of the United Nations

25th Session

Codex Committee on Food Import and Export Inspection and Certification Systems

August 2018

JOINT FAO/WHO FOOD STANDARDS PROGRAMME

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

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

2020

CODEX ALIMENTARIUS COMMISSION

Food and Agriculture Organization of the United Nations

28th Session

Codex Committee on Food Import and Export Inspection and Certification Systems

February 2020

JOINT FAO/WHO FOOD STANDARDS PROGRAMME

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

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 82-2013.

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 PROGRAMMES

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 standing\(^6\), 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

1) 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?

3) Does the accreditation body assess the certifying body using relevant and internationally recognized standards\(^7\)?

4) Is the certifying body accredited for the vTPA programme according to the relevant accreditation standard?

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\(^6\) 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

- Threats
- Enforcement priorities
- Code of Practice
- Dedicated funding
- Use of vTPA data
- National co-ordination
- Training materials for Inspectors
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

- National regulations and food control system
- Codex standards
- vTPA and commercial agreements
- OFFICIAL CONTROLS
- vTPA DATA
A global partnership to facilitate safe trade
STDF’s contribution to the Global Goals

SUSTAINABLE ECONOMIC GROWTH, POVERTY REDUCTION and FOOD SECURITY

STDF’s 2020-2024 Strategy supports:

1. NO POVERTY
2. ZERO HUNGER
8. DECENT WORK AND ECONOMIC GROWTH
17. PARTNERSHIPS FOR THE GOALS
3. GOOD HEALTH AND WELL-BEING
5. GENDER EQUALITY
10. REDUCED INEQUALITIES
12. RESPONSIBLE CONSUMPTION AND PRODUCTION
14. LIFE BELOW WATER
15. LIFE ON LAND

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

UNIDO’s Food Safety Approach

Pillar 1 –
Enable sustainable business through effective food safety capacity building

Building block 1.1 – Tailored 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

Building block 1.1 – 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 benchmarked 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
Food Regulator

- MSMEs food business with no certification in place
- Food businesses certified against national GAP & National HACCP
- Informal food businesses in all sectors with no FS systems in place
- Retail- food service chains (national- / multi-nationals) with their own food safety schemes
- 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
Starting point:
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, multi-nationals & 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

FBO training and assessment of defined requirements

Business selection and awareness building

Incorporation into national / regional strategies & policies

Monitoring, evaluation and reporting on results + advocacy & communication
Relevant ISO Standards and best practice

- ISO/IEC 17067:2013
  Conformity Assessment – General requirements for accreditation bodies accrediting conformity assessment bodies

- ISO/IEC 17011:2004

- ISO/IEC 17065:2012
  General requirements for the competence of testing and calibration laboratories

- ISO/IEC 17025:2005

- ISO/IEC 17024:2012
  Conformity assessment — General requirements for bodies operating certification of persons

- ISO 37000
  Guidance for the Governance of Organizations [currently a Draft International Standard (DIS) the standard is scheduled for publication in 2021]
### Policy, Operational Manual, Systems and Procedures for Voluntary Capacity Building Programme

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INetQI (International Network on Quality Infrastructure)

Supporting Quality Infrastructure Worldwide
International Network on Quality Infrastructure (INetQI) includes 14 Member Organizations. 

- IEC
- ISO
- OIML
- BIPM
- ILAC
- IAF
- WTO
- WTO
- ITC
- UNIDO
- UNIDO
- UNECE
- UNECE
- UNIDO
- IIOC

14 Member Organizations

www.publicsectorassurance.org
www.business-benefits.org

9 June 2020
Merih Malmqvist Nilsson
INetQI Chair
ILAC (International Laboratory Accreditation Cooperation)

VISION:
Accredited once accepted everywhere

MISSION:
To be the global solution for the national, regional and international demonstration of equivalence of reliable results from testing, calibration, inspection and related activities in both voluntary and mandatory fields/sectors.
IAF (International Accreditation Forum)

VISION:
Accreditation makes the world better.

MISSION:
IAF facilitates trade and supports sustainable development using internationally recognized accredited conformity assessment to deliver the confidence needed for market acceptance of goods and services.
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
The IAF and ILAC Arrangements

tested, certified, inspected once...accepted everywhere
ILAC MRA in summary

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 IAAC, 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

- International Accreditation Forum
- World Anti-Doping Agency
- International Organization of Legal Metrology
- International Electrotechnical Commission
- International Federation for Clinical Chemistry
- World Bank
- International Halal Accreditation Forum
- International Committee on Weights & Measures
- UN Industrial Development Organisation
- International Organisation for Standardisation
- International Telecommunications Union
- International Committee on Weights & Measures
IAF MLA in summary

Management Systems Certification
Using ISO/IEC 17021-1
79 Signatory AB

Product Certification
Using ISO/IEC 17065
36 Signatory AB

Persons Certification
Using ISO/IEC 17024
46 Signatory AB

Accreditation Bodies
74 Signatories to IAF MLA worldwide

Validation & Verification
Using ISO/IEC 17029 & ISO 14065
40 Signatory AB

9,929
3,176
74
6
ACCREDITATIONS
EVALUATION PERSON-DAYS
ACCREDITATION BODIES
RECOGNIZED REGIONS

“6 recognised Regions and 74 ABs, representing a total of 68 economies.”
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.

As a result, businesses will benefit from having increased confidence, signified by the presence of 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
WAD Material

#WAD2020
World Accreditation Day
9 June 2020
(WAD2020)

- 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
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.

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

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

- **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.

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

- **Crop and animal Production**

- **Transportation**

- **Processing and Packaging**
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.
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

The benefits of accreditation to conformity assessment bodies:

- £295m per annum

Downstream commercial benefit:

- £320m per annum

The total benefit is estimated to be:

- £600m per annum

Key benefits:

- 50% marketing and reputational advantage
- 20% efficiency and service quality
- 16% requirements of customer

UKAS/BMTA Survey
The direct value of NATA accreditation to the Australian economy is between $315M and $421M per annum. The mid-point value of these estimates is $368M. 

~ $1M per day.
Accreditation Business Benefits for New Zealand

Economic research carried out by the New Zealand Institute of Economic Research (NZIER), 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

- Product Certification
- Personnel Certification
- MS Certification
- Integrated Farm Assurance
- Calibration
- Testing
- Inspection
- Energy management
- Food safety
- Quality Management
- Environmental management
- Information security
- Medical devices
Regulators and accredited services

Accreditation enables complementarity between the Regulators and conformity assessment bodies

Food Regulators + Conformity Assessment services + Accreditation = Safe food & sustainable supply chains
Contact Details

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

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
INetQI Chair