vTPA programme assessment tool

STDF PPP Practitioner Group
Thursday 15 June 2023
Objective of the vTPA Assessment Tool

Capacitate regulators on the practical application of the Codex Guideline on Principles and Guidelines for the assessment and use of voluntary third-party programmes (CXG 93-2021) through theoretical and practical exercises.
Methodology followed for the development of the tool:

1. Development of a dummy scheme
2. Development of a framework for the tool
3. Identification of best practices against each criterium in the checklist
4. Technical revision by development partners
5. Composition of a multidisciplinary technical team
6. Conduct training to group of regulators
7. Invitation of STDF pilot countries to training
8. Draw lessons learned and improvements for the tool
9. Graphic design
The assessment process using the tool

**Preparation Phase**
1. Formation of Committee
2. Approach vTPA owner
3. Initial Agreement
4. Feasibility Study
5. Feedback to vTPA owner
6. Outcome

**Assessment Phase**
7. Assessment of:
   - Governance Arrangements
   - Certification Bodies
   - Standard Setting Process
   - Conformity Assessment
   - Management of Non-Conformity
   - Data Sharing

**Post Assessment Phase**
- Decision-Making
- Feedback to vTPA owner
- Agreement
- Information Sharing
- Data Management
- On-going Verification
F. CRITERIA TO ASSESS THE CREDIBILITY AND INTEGRITY OF vTPA PROGRAMMES

13. Competent authorities that choose to use information/data from vTPA programmes to inform their NFCS should satisfy themselves that the vTPA programme 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 programme 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 and ensure that the vTPA programme has implemented them in a comprehensive way to assure successful outcomes.

1) Governance Arrangements
   a. Are the governance arrangements and responsibilities within the vTPA programme clearly defined and documented?
   b. Are the oversight arrangements structured to avoid potential conflicts of interest?
   c. Does the vTPA programme have management controls to ensure consistent and effective implementation and maintenance?
   d. Does the vTPA programme have an accreditation arrangement with an accreditation body with international standing, recognition and credibility? If not, how does the vTPA owner ensure that certification bodies have the capacity and competency to perform effectively?”
<table>
<thead>
<tr>
<th>Best Practice in this area:</th>
<th>How this can be assessed</th>
<th>Assessed by:</th>
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<td>The vTPA owner shall be a <strong>legal entity</strong>, or a partnership of <strong>legal entities</strong>, and shall have the authority to establish and amend the vTPA Programme.</td>
<td><strong>Evidence should be provided to prove registration</strong> of the vTPA owner as a legal entity, for example, certificate from government body showing they are a registered business, document showing they registered with the tax authorities for the country.</td>
<td>Document Review</td>
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<td>The vTPA owner shall <strong>implement</strong> a documented management system.</td>
<td><strong>The vTPA owner will provide evidence that there is a documented management system in-place</strong>, i.e. a series of documents describing and supporting the operation of their processes.</td>
<td>Document Review, Verification via interview</td>
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<td>The vTPA owner shall <strong>have a process/procedure for complaints and appeals</strong>. The process/procedure shall be <strong>communicated</strong> to certification bodies and FBOs.</td>
<td><strong>A complaints process / procedure and an appeals process / procedure are in-place.</strong> <strong>There is a process / procedure for communicating this information to certification bodies and FBOs.</strong> <strong>Correspondence on complaints and appeals is available.</strong></td>
<td>Document Review</td>
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**BEST PRACTICES IN THE AREA OF GOVERNANCE ARRANGEMENTS AND RESPONSIBILITIES (2/2)**

**The vTPA Programme**

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<th>Best Practice in this area:</th>
<th>How this can be assessed:</th>
<th>Assessed by:</th>
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| The vTPA Programme shall be developed and maintained with the participation of technically competent stakeholders, and/or be subjected to formal review by such parties. | • Processes / procedures for development and review of standards will be in-place and will include formal sign-off / approval of the standard.  
• These processes / procedures will include how consultation with technically competent stakeholders takes place.  
• The standard will include information on the frequency of review.  
• Records of meetings and correspondence with stakeholders are available. | Document Review |

There shall be a **periodic internal review** of the vTPA programme.

• Details of the frequency of review should be specified in the standard.  
• A process / procedure for internal review of vTPA programmes is available. Minutes from meetings and correspondence relating to reviews should be available. | **Document Review** |
AGENDA OF THE vTPA ASSESSORS TRAINING COURSE

DAY 1 – Codex Guideline CXG 93-2021 & ABC of a scheme
DAY 2 – Pre-assessment & Assessment Phase
DAY 3 – Assessment Phase
DAY 4 – Post-assessment Phase
Lessons

1. Further training of regulators based on the prerequisites for vTPA
2. Regional approach
3. Role of the trainers
4. Spillover to other standards
THANK YOU!