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vTPA programme assessment tool

STDF PPP Practitioner Group
Thursday 15 June 2023



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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

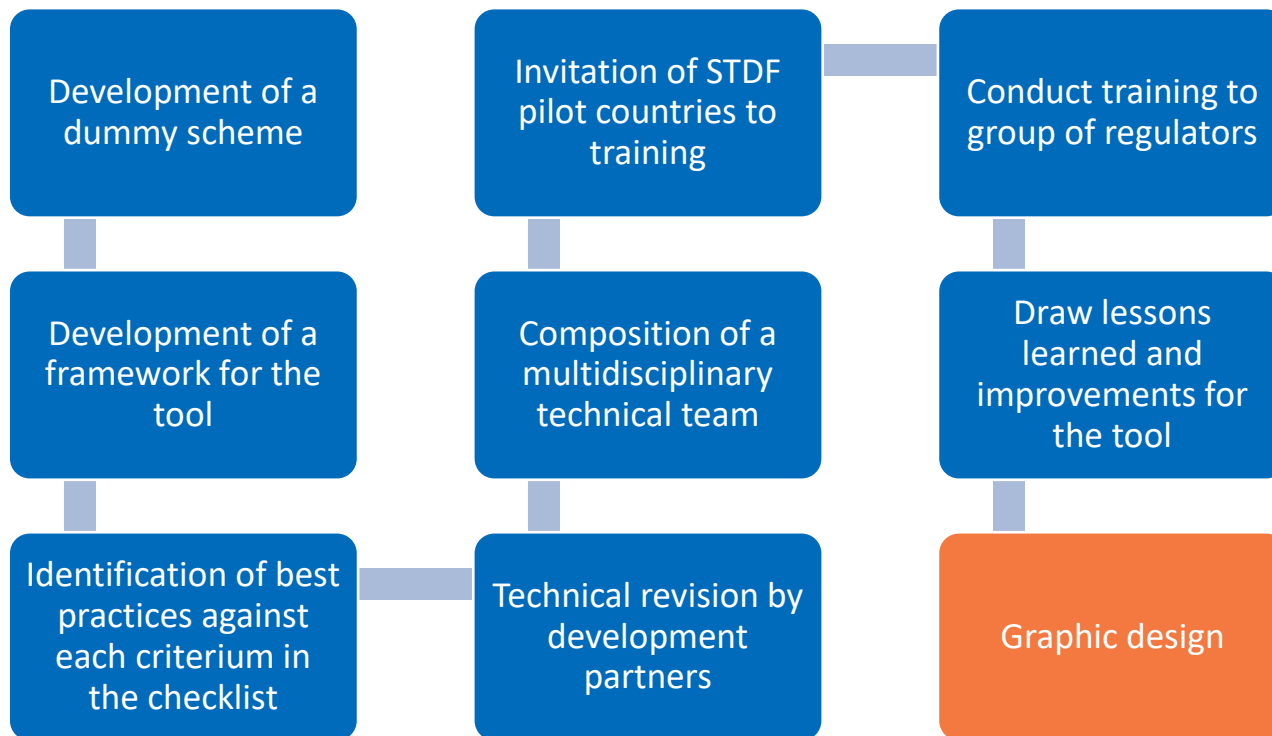




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Methodology followed for the development of the tool





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 standing⁵, recognition and credibility? If not, how does the vTPA owner ensure that certification bodies have the capacity and competency to perform effectively?"



GOVERNANCE ARRANGEMENTS AND RESPONSIBILITIES 1/2

CXG 93-2021 F13 Criterion 1a:

Are the governance arrangements and responsibilities within the vTPA programme clearly defined and documented?

BEST PRACTICES IN THE AREA OF GOVERNANCE ARRANGEMENTS AND RESPONSIBILITIES (1/2)

The vTPA owner

Best Practice in this area:	How this can be assessed:	Assessed by:
The vTPA owner shall be a legal entity, or a partnership of legal entities , and shall have the authority to establish and amend the vTPA Programme.	<ul style="list-style-type: none"> Evidence should be provided to prove registration 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. 	Document Review
The vTPA owner shall implement a documented management system .	<ul style="list-style-type: none"> The vTPA owner will provide evidence that there is a documented management system in-place, i.e. a series of documents describing and supporting the operation of their processes. 	Document Review, Verification via interview
The vTPA owner shall have a process/procedure for complaints and appeals . The process/procedure shall be communicated to certification bodies and FBOs.	<ul style="list-style-type: none"> A complaints process / procedure and an appeals process / procedure are in-place. There is a process / procedure for communicating this information to certification bodies and FBOs. Correspondence on complaints and appeals is available. 	Document Review



GOVERNANCE ARRANGEMENTS AND RESPONSIBILITIES 2/2

BEST PRACTICES IN THE AREA OF GOVERNANCE ARRANGEMENTS AND RESPONSIBILITIES (2/2)

The vTPA Programme

Best Practice in this area:	How this can be assessed:	Assessed by:
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.	<ul style="list-style-type: none">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.	<ul style="list-style-type: none">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



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AGENDA OF THE vTPA ASSESORS 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



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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





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THANK YOU!