

codex alimentarius commission



FOOD AND AGRICULTURE
ORGANIZATION
OF THE UNITED NATIONS

WORLD
HEALTH
ORGANIZATION



JOINT OFFICE: Viale delle Terme di Caracalla 00153 ROME Tel: 39 06 57051 www.codexalimentarius.net Email: codex@fao.org Facsimile: 39 06 5705 4593

Agenda Item 7

CX/MAS 07/28/9

JOINT FAO/WHO FOOD STANDARDS PROGRAMME

CODEX COMMITTEE ON METHODS OF ANALYSIS AND SAMPLING

Twenty-eighth Session

Budapest, Hungary, 5 – 9 March 2007

REVISION OF THE PRINCIPLES FOR THE ESTABLISHMENT OR SELECTION OF CODEX SAMPLING PROCEDURES

(Prepared by Japan)

BACKGROUND

While considering matters arising from the Codex Committee on Methods of Analysis and Sampling (CCMAS) at the 28th Session of the Codex Alimentarius Commission in 2005, the Delegation of Japan pointed out that the “Principles for the Establishment or Selection of Codex Sampling Procedures” in the Procedural Manual referred to the “Sampling Plans for Prepackaged Foods”, that had been superseded by the General Guidelines on Sampling adopted in 2004. The Delegation therefore proposed that the Committee on General Principles and the Committee on Methods of Analysis and Sampling consider the review and possible update of the entire section to take into account the adoption of the new Guidelines. The Commission agreed that this matter should be considered by the 23rd Session of the Committee on General Principles (CCGP) (ALINORM 05/28/41, para. 190).

The 23rd Session of the CCGP in 2006 agreed that due to the nature of the subject it would be preferable for CCMAS to consider the revision of the “Principles for the Establishment or Selection of Sampling Procedures” as a first stage, and agreed to ask CCMAS to review and if possible update the above Principles, with the understanding that any proposed amendment would be submitted to the CCGP for endorsement (ALINORM 06/29/33, para. 30).

Following these agreements, the Delegation of Japan prepared two draft revisions as a basis for considering the revision of the Principles.

PROPOSAL

Two options are prepared and presented in the attachments. These documents are presented with track changes for easier reference.

Option I includes the minimum necessary changes to reflect the adoption of the General Guidelines on Sampling.

Option II includes all the changes proposed in Option I as well as proposed editorial modifications for consistency. In addition, for the ease of use and better assistance to readers, new information was added as follows:

- References to the appropriate sections of the General Guidelines were added to the section of "Type of Sampling Plans and Procedures"; and
- A reference to Table 1 of the General Guidelines about the selection of sampling plans was added to the section of "General Instructions for the Selection of Method of Sampling" because the present version of the section does not contain any information on how to select the method of sampling.

The CCMAS is invited to consider the following:

- Which option is preferable as the basis for consideration of the section of the Procedural Manual;
- If Option 2 is chosen;
 - whether the references to the specific sections of the General Guidelines are necessary in (b) and (c) of the section, "Types of Sampling Plans and Procedures";
 - whether referring to Table 1 in the section, "General Instructions for the Selection of Methods of Sampling" is appropriate; and
- Necessary changes/amendments to the option selected above.

OPTION I

PRINCIPLES FOR THE ESTABLISHMENT OR SELECTION OF CODEX SAMPLING PROCEDURES

PURPOSE OF CODEX METHODS OF SAMPLING

Codex Methods of Sampling are designed to ensure that fair and valid sampling procedures are used when food is being tested for compliance with a particular Codex commodity standard. The sampling methods are intended for use as international methods designed to avoid or remove difficulties which may be created by diverging legal, administrative and technical approaches to sampling and by diverging interpretation of results of analysis in relation to lots or consignments of foods, in the light of the relevant provision(s) of the applicable Codex standard.

METHODS OF SAMPLING

Types of Sampling Plans and Procedures

(a) Sampling Plans for Commodity Defects:

These are normally applied to visual defects (e.g. loss of colour, ~~mis-graded for~~ misgrading of size, etc.) and extraneous matter. They ~~will be~~ normally be attributes plans, and plans such as those included in Section 3.1 and 4.2 of the FAO/WHO Codex Alimentarius Sampling Plans for Prepackaged Foods (AQL 6.5) General Guidelines on Sampling (CAC/GL 50-2004) (hereinafter referred to as "General Guidelines") may be applied.

(b) Sampling Plans for Net Contents:

These are sampling plans which apply to pre-packaged foods generally and are intended to serve to check compliance of lots or consignments with provisions for net contents.

(c) Sampling Plans for Compositional Criteria:

Such plans are normally applied to analytically determined compositional criteria (e.g., loss on drying in white sugar, etc.). They are predominantly based on variable procedures with unknown standard deviation.

(d) Specific Sampling Plans for Health-related Properties:

Such plans are generally applied to heterogeneous conditions, e.g., in the assessment of microbiological spoilage, microbial by-products or sporadically occurring chemical contaminants.

General Instructions for the Selection of Methods of Sampling

~~(a) Official methods of sampling as elaborated by international organizations occupying themselves with a food or a group of foods are preferred. Such methods, when attracted to Codex standards, may be revised using Codex recommended sampling terms (to be elaborated).~~

(a) Sampling methods described in the General Guidelines or official methods of sampling elaborated by international organizations occupying themselves with a food or a group of foods are preferred. Such official methods may be written using the General Guidelines when attracted to Codex standards.

(b) The appropriate Codex Commodity Committee should indicate, before it elaborates any sampling plan, or before any plan is endorsed by the Codex Committee on Methods of Analysis and Sampling, the following:

- (i) the basis on which the criteria in the Codex Commodity standards have been drawn up (e.g. whether on the basis that every item in a lot, or a specified high proportion, shall comply with the provision in the standard or whether the average of a set of samples extracted from a lot must comply and, if so, whether a minimum or maximum tolerance, as appropriate, is to be given);
- (ii) whether there is to be any differentiation in the relative importance of the criteria in the standards and, if so, what is the appropriate statistical parameter each criterion should attract, and hence, the basis for judgement when a lot is in conformity with a standard.

(c) Instructions on the procedure for the taking of samples should indicate the following:

- (i) the measures necessary in order to ensure that the sample taken is representative of the consignment or of the lot;
- (ii) the size and the number of individual items forming the sample taken from the lot or consignment;
- (iii) the administrative measures for taking and handling the sample.

(d) The sampling protocol may include the following information:

- (i) the statistical criteria to be used for acceptance or rejection of the lot on the basis of the sample;
- (ii) the procedures to be adopted in cases of dispute.

GENERAL CONSIDERATIONS

(a) The Codex Committee on Methods of Analysis and Sampling should maintain closest possible relations with all interested organizations working on methods of analysis and sampling.

(b) The Codex Committee on Methods of Analysis and Sampling should organize its work in such a manner as to keep under constant review all methods of analysis and sampling published in the Codex Alimentarius.

(c) In the Codex methods of analysis, provision should be made for variations in reagent concentrations and specifications from country to country.

(d) Codex methods of analysis which have been derived from scientific journals, theses, or publications, either not readily available or available in languages other than the official languages of FAO and WHO, or which for other reasons should be printed in the Codex Alimentarius *in extenso*, should follow the standard layout for methods of analysis as adopted by the Codex Committee on Methods of Analysis and Sampling.

(e) Methods of analysis which have already been printed as official methods of analysis in other available publications and which are adopted as Codex methods need only be quoted by reference in the Codex Alimentarius.

OPTION II

PRINCIPLES FOR THE ESTABLISHMENT OR SELECTION OF CODEX SAMPLING PROCEDURES

PURPOSE OF CODEX METHODS OF SAMPLING

Codex Methods of Sampling are designed to ensure that fair and valid sampling procedures are used when food is being tested for compliance with a particular Codex commodity standard. The sampling methods are intended for use as international methods designed to avoid or remove difficulties which may be created by diverging legal, administrative and technical approaches to sampling and by diverging interpretation of results of analysis in relation to lots or consignments of foods, in the light of the relevant provision(s) of the applicable Codex standard.

METHODS OF SAMPLING

Types of Sampling Plans and Procedures

(a) Sampling Plans for Commodity Defects:

~~Such plans~~ These are normally applied to visual defects (e.g. loss of colour, ~~mis-graded for misgrading of size, etc.)~~ and extraneous matter. They ~~are will~~ normally be attributes plans, and plans such as those included in Section 3.1 and 4.2 of the ~~FAO/WHO Codex Alimentarius Sampling Plans for Prepackaged Foods (AQL 6.5) General Guidelines on Sampling (CAC/GL 50-2004)~~ (hereinafter referred to as "General Guidelines") may be applied.

(b) Sampling Plans for Net Contents:

~~These~~ Such plans are ~~sampling plans~~ those which apply to pre-packaged foods generally and are intended to serve to check compliance of lots or consignments with provisions for net contents. Plans such as those included in Section 3.3 and 4.4 of the General Guidelines may be applied.

(c) Sampling Plans for Compositional Criteria:

Such plans are normally applied to analytically determined compositional criteria (e.g., loss on drying in white sugar, etc.). They are predominantly based on variable procedures with unknown standard deviation. Plans such as those included in Section 4.3 of the General Guidelines may be applied.

(d) Specific Sampling Plans for Health-related Properties:

Such plans are ~~generally~~ normally applied to heterogeneous conditions, e.g., in the assessment of microbiological spoilage, microbial by-products or sporadically occurring chemical contaminants.

General Instructions for the Selection of Methods of Sampling

~~(a) Official methods of sampling as elaborated by international organizations occupying themselves with a food or a group of foods are preferred. Such methods, when attracted to Codex standards, may be revised using Codex recommended sampling terms (to be elaborated).~~

(a) Sampling methods described in the General Guidelines or official methods of sampling elaborated by international organizations occupying themselves with a food or a group of foods are preferred. Such official methods may be written using the General Guidelines when attracted to Codex standards.

(b) When selecting appropriate sampling plans, Table 1 in the General Guidelines may be utilized.

(bc) The appropriate Codex Commodity Committee should indicate, before it elaborates any sampling plan, or before any plan is endorsed by the Codex Committee on Methods of Analysis and Sampling, the following:

- (i) the basis on which the criteria in the Codex Commodity standards have been drawn up (e.g. whether on the basis that every item in a lot, or a specified high proportion, shall comply with the provision in the standard or whether the average of a set of samples extracted from a lot must comply and, if so, whether a minimum or maximum tolerance, as appropriate, is to be given);
- (ii) whether there is to be any differentiation in the relative importance of the criteria in the standards and, if so, what is the appropriate statistical parameter each criterion should attract, and hence, the basis for judgement when a lot is in conformity with a standard.

(ed) Instructions on the procedure for the taking of samples should indicate the following:

- (i) the measures necessary in order to ensure that the sample taken is representative of the consignment or of the lot;
- (ii) the size and the number of individual items forming the sample taken from the lot or consignment;
- (iii) the administrative measures for taking and handling the sample.

(ee) The sampling protocol may include the following information:

- (i) the statistical criteria to be used for acceptance or rejection of the lot on the basis of the sample;
- (ii) the procedures to be adopted in cases of dispute.

GENERAL CONSIDERATIONS

(a) The Codex Committee on Methods of Analysis and Sampling should maintain closest possible relations with all interested organizations working on methods of analysis and sampling.

(b) The Codex Committee on Methods of Analysis and Sampling should organize its work in such a manner as to keep under constant review all methods of analysis and sampling published in the Codex Alimentarius.

(c) In the Codex methods of analysis, provision should be made for variations in reagent concentrations and specifications from country to country.

(d) Codex methods of analysis which have been derived from scientific journals, theses, or publications, either not readily available or available in languages other than the official languages of FAO and WHO, or which for other reasons should be printed in the Codex Alimentarius *in extenso*, should follow the standard layout for methods of analysis as adopted by the Codex Committee on Methods of Analysis and Sampling.

(e) Methods of analysis which have already been printed as official methods of analysis in other available publications and which are adopted as Codex methods need only be quoted by reference in the Codex Alimentarius.