Food and Agriculture Organization of the United Nations

World Health Organization

FOOD CONTROL SYSTEM ASSESSMENT TOOL
INTRODUCTORY BOOKLET

Food control system assessment tool: introductory booklet

ISBN (WHO) 978-92-4-002837-1 (electronic version)
ISBN (WHO) 978-92-4-002838-8 (print version)
ISBN (FAO) 978-92-5-134513-9

Suggested citation. *Food control system assessment tool: introductory booklet.* Geneva: World Health Organization and Food and Agriculture Organization of the United Nations; 2021. Licence: CC BY-NC-SA 3.0 IGO.

Cataloguing-in-Publication (CIP) data. CIP data are available at http://apps.who.int/iris.

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1. WHY IS IT IMPORTANT TO ASSESS A NATIONAL FOOD CONTROL SYSTEM?

DEFINITION OF FOOD CONTROL SYSTEM

"Food Control" means:

A mandatory regulatory activity of enforcement by national or local authorities to provide consumer protection and ensure that all food is safe, wholesome and fit for human consumption during production, handling, storage, processing and distribution; that it conforms to food safety and quality requirements; and is labelled honestly and accurately as prescribed by the law (FAO and WHO, 2003[1]).

"Food Control system" means:

The integration of regulatory activities across all responsible competent authorities to achieve the key objectives of food control, including preventive and educational strategies that protect the whole food chain (FAO and WHO, 2003). The objective of a national food control system is to protect the health of consumers and ensure fair practices in the food trade (CXG 82-2013).

The other technical terms and acronyms mentioned in the FAO/WHO Food Control System Assessment tool are defined in the "Introduction and Glossary" publication.

CODEX TEXTS SPECIFY THE IMPORTANCE OF THE NATIONAL FOOD CONTROL SYSTEM ASSESSMENT

The tool is primarily based on Codex Principles and Guidelines for National Food Control Systems (CXG 82-2013) as well as other relevant Codex guidelines for food control systems, which are referenced throughout the tool. Application of the tool can therefore help countries to implement Codex texts while taking into consideration their national contexts.

The following are extracted from Codex Principles and Guidelines for National Food Control Systems.

- **THE EFFECTIVENESS AND APPROPRIATENESS OF THE NATIONAL FOOD CONTROL SYSTEM SHOULD BE REGULARLY ASSESSED** against the objective of the system, effectiveness of control programmes, as well as against legislative and other regulatory requirements.
- **CRITERIA FOR ASSESSMENT** should be established, clearly defined and documented, and may also include cost benefits and efficiency.
- The results of the evaluations, including the results of self-assessment and audits, should be considered in **FURTHER IMPROVEMENTS OF THE SYSTEM**, and corrective actions should be made as appropriate.

[1] FAO & WHO. 2003. *Guidelines for strengthening national food control systems. Assuring food safety and quality.* Rome, Italy. (also available at: http://www.fao.org/3/y8705e/y8705e00.htm)

WHY DO WE NEED TO ASSESS NATIONAL FOOD CONTROL SYSTEM?

National food control systems play a pivotal role in protecting the health of consumers and ensuring fair practices in the food trade. Whatever the architecture of a national food control system, we must ensure that the system is effective in achieving its goals and that limited resources are targeting the right priorities. Measuring its performance allows us to know where we are, identify areas for improvement and target investments.

Keeping track of progress is also a clear signal of transparency and accountability. This is the foundation for trust, which is key to building stakeholder confidence domestically and internationally, opening new markets and improving safe trade.

The FAO/WHO Food Control System Assessment Tool supports governments planning for the future. It helps responsible government authorities to evaluate the adequacy of the resources and the relevance of their controls and surveillance systems. It also supports competent authorities to review their interactions with stakeholders such as food chain operators, consumers and trading partners. Finally, it reviews how decisions are being made in a spirit of continuous improvement.

In doing so, the tool brings together all stakeholders in a process that looks beyond individual parties and integrates contributions from all contributing authorities. This is the only tool to assess overall capacities of national food control system in a comprehensive way.

2. HOW IS THE FAO/WHO FOOD CONTROL SYSTEM ASSESSMENT TOOL STRUCTURED?

THERE ARE SEVERAL INSTRUMENTS TO ASSESS SPECIFIC PARTS OR FUNCTIONS OF NATIONAL SANITARY AND PHYTOSANITARY CAPACITIES

IHR JOINT EXTERNAL EVALUATION TOOL – (TECHNICAL AREA) FOOD SAFETY

All WHO Member States are required by the International Health Regulations (2005) to develop certain minimum core public health capacities. The Joint External Evaluation Tool (JEE) evaluates the capacities required under the IHR and contributes to the implementation of the regulations. It also contributes to building resilient health systems. A technical area on food safety in the tool consists of two major components:

1. surveillance system in place for the detection and monitoring of foodborne diseases and contamination;
2. mechanisms are established and functioning for the response and management of food safety emergencies.

OIE TOOL FOR PERFORMANCE OF VETERINARY SERVICES (PVS)

The OIE supports Member Countries to evaluate, plan and estimate costs for strengthening their national veterinary services through a cyclical process called Performance of Veterinary Services (PVS) Pathway. The PVS Pathway activities are based on the basic methodology of the OIE PVS Tool. They form the basis for evaluating performance against the international standards published in the Terrestrial Animal Health Code. The PVS Tool describes 45 critical competencies of veterinary services, categorized into four fundamental components:

1. Human, Physical and Financial Resources;
2. Technical Authority and Capability;
3. Interaction with Stakeholders;
4. Access to Markets.

IPPC TOOL FOR PHYTOSANITARY CAPACITY EVALUATION (PCE)

The Phytosanitary Capacity Evaluation (PCE) is a type of evaluation that helps contracting parties identify and develop the best legislative, technical and administrative measures to help them meet their IPPC obligations. The PCE uses a modular online software system consisting of 13 modules that use a questionnaire to document the evaluation process.

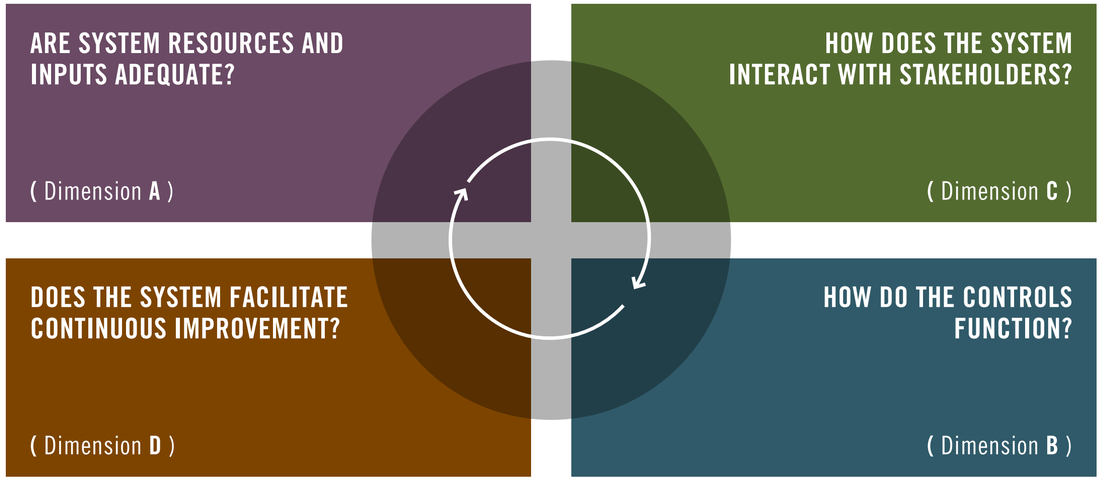
IICA PERFORMANCE, VISION AND STRATEGY (PVS) FOR FOOD SAFETY SERVICES

In 2008, the Inter-American Institute for Cooperation on Agriculture (IICA) and the Pan American Health Organization (PAHO) joined forces to adapt the Performance, Vision and Strategy (PVS) instrument – which was originally developed by IICA for national veterinary services – for use by national food services comprising the national food safety system. This tool is comprised of

1. Technical Capability;
2. Human and Financial Capital;
3. Interaction with the Private Sector;
4. Safeguarding Public Health and Market Access.

THIS IS THE ONLY TOOL THAT FOCUSES ON FOOD CONTROL CAPACITIES, COVERING ALL ASPECTS OF A NATIONAL FOOD CONTROL SYSTEM IN A COMPREHENSIVE WAY

FIGURE 1: STRUCTURAL LOGIC OF FOOD CONTROL SYSTEMS



The primary focus of the assessment is the **Competent Authorities (CAs)** – how they work and what outcomes they are able to reach – as well as the enabling framework in which they work (for example, the policy and legal context). The information collected from the CAs is aggregated and analyzed at system level to provide a global and integrated picture of the food control system.

The tool aims to provide an approach to analyzing a national food control system not only for its "traditional" system dynamics (inputs, processes and outputs), but also for the interactions occurring within its processes and for its capacity to evolve and improve (see **FIGURE 1** left). Four central dimensions are at the basis of the tool, as follows:

These four dimensions are further divided into nine sub-dimensions, which consist of 25 specific system competencies, as presented in **FIGURE 2**.

FIGURE 2

STRUCTURE OF THE TOOL

DIMENSIONS	SUB-DIMENSIONS	SYSTEM COMPETENCIES
A INPUTS AND RESOURCES	**A.1** POLICY AND LEGAL FRAMEWORKS	A.1.1 Policy and legal drafting process
		A.1.2 Institutional framework
		A.1.3 Elements for food control legislation
	A.2 INFRASTRUCTURE AND FINANCE	A.2.1 Financial resources
		A.2.2 Infrastructure and equipment
		A.2.3 Analytical resources
	A.3 HUMAN RESOURCES	A.3.1 Qualification of personnel
		A.3.2 Capacity development of personnel
		A.3.3 Staff management and staff motivation
B CONTROL FUNCTIONS	**B.1** ROUTINE CONTROL ACTIVITIES OVER FOOD PRODUCTS	B.1.1 Domestic controls
		B.1.2 Import controls
		B.1.3 Export controls
	B.2 MONITORING, SURVEILLANCE AND RESPONSE FUNCTIONS	B.2.1 Monitoring programmes in relation to the food chain
		B.2.2 Food-borne disease surveillance
		B.2.3 Management of food safety emergencies
C INTERACTIONS WITH STAKEHOLDERS	**C.1** DOMESTIC STAKEHOLDERS	C.1.1 Relationships between CAs and private sector regarding training needs
		C.1.2 Information flows and integration of Food Businesses Operators (FBOs) into risk management
		C.1.3 Communication flows and involvement with consumers
	C.2 INTERNATIONAL STAKEHOLDERS	C.2.1 Interactions among CAs at international level
		C.2.2 Engagement of CAs with International Organizations
D SCIENCE/ KNOWLEDGE BASE AND CONTINUOUS IMPROVEMENT	**D.1** EVIDENCE/RISK BASE	D.1.1 Access of CAs to updated scientific and technical information
		D.1.2 Capacity to collect and analyse data for risk analysis purposes
		D.1.3 Knowledge and use by CAs of risk analysis framework
	D.2 CONTINUOUS IMPROVEMENT	D.2.1 Performance monitoring of CAs and continuous improvement
		D.2.2 Mechanism to ensure consideration of newest scientific and technical information for food control

DIMENSION A
INPUTS AND RESOURCES

Dimension A aims to map the fundamental elements necessary for the system to operate. These range from legal and policy instruments to financial assets, equipment and infrastructure, and human resources. Dimension A consists of nine competencies under three sub-dimensions, which are Policy and Legal Frameworks, Infrastructure and Finances, and Human Resources.

A.1.
POLICY AND LEGAL FRAMEWORK explores the policy and legal foundations of the food control system. Three main elements are assessed here: the quality of the policy and legislation drafting processes; the conduciveness of the institutional framework to efficient use of the competent authorities' resources and skills; and the incorporation of key technical elements into the legislation, aligned on internationally agreed good practices.

A.2.
INFRASTRUCTURE AND FINANCES screens the fundamental inputs that should feed into the system to make it work properly, from the financial resources to sustain the system to the infrastructure to enable the food control activities to take place and the analytical resources to support official controls over food.

A.3.
HUMAN RESOURCES analyses the issues related to food control personnel and the importance of their qualifications, professional development, and motivation to contribute towards the achievement of the food control policy outcomes.

DIMENSION B
CONTROL FUNCTIONS

Dimension B focuses on the processes and the outputs of the national food control system. It revolves around the control functions that must be exercised by competent authorities to ensure food safety and quality along the food chain, and around the mechanisms that should be in place to appropriately manage food safety hazards, emerging risks, and food emergencies. These encompass both inspection or oversight-type functions in direct relation with food business operators, and monitoring and surveillance functions. Dimension B consists of six competencies under two sub-dimensions, which are Routine Control Activities over Food Products and Monitoring, Surveillance, and Response Functions.

B.1.
ROUTINE CONTROL ACTIVITIES OVER FOOD PRODUCTS reviews the control functions exercised by competent authorities at food business operator level (domestic, import and export) to guarantee food safety and quality for national consumers and for sustainable trade.

B.2.
MONITORING, SURVEILLANCE AND RESPONSE FUNCTIONS maps the control functions and mechanisms at the overall food supply level that are necessary to identify, monitor, predict and handle food safety hazards and emerging risks, and to deal with food emergencies.

DIMENSION C
INTERACTION WITH STAKEHOLDERS

Dimension C identifies the interactions that must take place for the system to regularly adjust to the evolving needs of national and international stakeholders, to inspire stakeholder confidence, and to keep stakeholders well informed about their responsibilities. Dimension C consists of five competencies under two sub-dimensions, which are Domestic Stakeholders and International Stakeholders.

C.1.
DOMESTIC STAKEHOLDERS focuses on the transparency of communication to consumers and on the food business operators and their integration into the food control system.

C.2.
INTERNATIONAL STAKEHOLDERS explores the interactions of competent authorities at the international level to support national imports and exports; and studies the participation and engagement of competent authorities in international organizations to benefit from international expertise and to shape national legislation.

DIMENSION D
SCIENCE/KNOWLEDGE BASE AND CONTINUOUS IMPROVEMENT

Dimension D looks at the necessary features for the system to build its scientific soundness and to keep abreast of new scientific developments and innovations, in order to continuously improve. Dimension D consists of five competencies under two sub-dimensions, which are Evidence/Risk Base and Continuous Improvement.

D.1.
EVIDENCE/RISK BASE explores how competent authorities anchor their decisions on relevant scientific and technical information; reviews the robustness of information collection processes as a foundation for risk analysis; and assesses the use made of this risk analysis framework to quantify food safety risks.

D.2.
CONTINUOUS IMPROVEMENT revolves around competent authorities' capacity to review and improve performance, taking into consideration the most recent scientific and technical knowledge, to ensure the achievement of the relevant outcomes.

3. HOW TO ASSESS A NATIONAL FOOD CONTROL SYSTEM USING THIS TOOL

The FAO/WHO food control system assessment tool can be used to support:

- **SELF-ASSESSMENTS:** where the government is fully responsible for the implementation of the assessment. In this case, the government will require experts to be familiar with the tool, as well as with best practices in national food control systems. This expertise will enable the government to support national stakeholders undergo the implementation process, integrate the findings stemming from the different sectors, and agree to ratings for their collective level of performance.

- **FAO/WHO FACILITATED ASSESSMENTS:** where the implementation is externally facilitated by FAO and/or WHO through the provision of technical support and overall coordination of the process, thus offering neutral and external review of findings and collective ratings. In the case of a facilitated assessment by FAO/WHO, the assessment process entails six main phases:

1. PRELIMINARY DISCUSSIONS LEADING TO A FORMAL REQUEST BY THE GOVERNMENT AND FORMAL AGREEMENT
2. COUNTRY PROFILE PREPARATION
3. TRAINING OF FOCAL POINTS
4. DATA COLLECTION AT NATIONAL LEVEL
5. ANALYSIS OF THE SYSTEM - COMPILATION AND REVIEW OF DATA COLLECTED, AND ASSESSMENT
6. DISCUSSION OF THE ASSESSMENT FINDINGS AND STRATEGIC PLANNING

The analysis of each competency is based on a sequence of assessment criteria. There are currently 162 assessment criteria in the entire tool. During the assessment process, for each assessment criterion – applicable to its mandate – each competent authority (CA) provides detailed information about its processes, resources, outputs, activities and outcomes, as available. The assessment team then aggregates this primary information coming from the different CAs. To ensure that each CA follows the same approach to providing information, standard tables have been prepared by FAO/WHO, with supporting guidelines. Please refer to the interactive tables on page 14-46.

For each assessment criterion, the assessment team shall decide if the status is:

- **NOT ACHIEVED (THIS CAN BE CONVERTED AS A SCORE OF "0")**
- **PARTIALLY ACHIEVED (THIS CAN BE CONVERTED AS A SCORE OF "1")**
- **ACHIEVED (THIS CAN BE CONVERTED AS A SCORE OF "4")**

The status of each criteria shall be determined **at system level**, as a global achievement, and not at separate CAs level.

The difference of score yielded between "partially achieved" (1) and "fully achieved" (4) is based on the recognition that reaching a truly harmonized status among CAs is an important challenge. This adds value to investing in a systems approach as opposed to a juxtaposition of single endeavours. In the same manner, when criteria refer to "national" attributes (e.g. national plan, national strategy, etc.), this is also to be interpreted as placing the emphasis on national integration of approaches with contributions from each relevant CA.

When performing the overall review of the different contributions provided by CAs over the different competencies, it is important that:

- **VALIDITY OF THE INFORMATION ON WHICH THE ASSESSMENT IS BASED HAS BEEN ASCERTAINED.**

The tool provides information about what information is sought and the outcome to be measured. The list of indicators and sources of evidence, while being indicative and open, should further support analysis of the validity of information provided. The assessment team should not underestimate this step, although it is recognized that this is a significant effort requested from the CAs providing the primary data. It is important to note that the quality of the assessment is totally dependent on the accuracy and quality of primary information provided by each CA. Therefore, the full engagement of all CAs, as well as their trust in the process, is key to the success of the assessment. Effort should be made to ensure that primary evidence submitted by CAs is relevant, sufficient, current and authentic.

- **RELIABILITY IS ENSURED.**

There should be consistency in the interpretation of the data. This is related to the technical competence and independence of the assessment team. While the tool provides guidance, to the extent possible, to enable self-assessment by countries, it does not substitute for the assessment team's own competence and independence. Therefore, in some cases, countries might opt for a mix of internal and external expertise.

- **FLEXIBILITY IS APPROPRIATELY EXERCISED BY THE ASSESSMENT TEAM.**

As noted, the indicators and sources of evidence should, in most cases, be interpreted in a flexible manner given the national situation and context. They are for illustrative purposes, and the list is by no means closed. The guidance itself is not written in a prescriptive manner and the outcome statement is provided to indicate the "perspective" in which information should be collected and analyzed.

- **FAIRNESS IS PROTECTED.**

As in all multistakeholder processes, some may fear that the assessment process will be misused by others to gain undue power or influence, thereby leading them to "withdraw," formally or not, from the process. Food control is always multisectoral and thus, it is important to find a mechanism that ensures oversight over the different parties. In some countries this will result in agreeing to conduct such assessments with an external party, such as FAO or WHO.

FOOD CONTROL SYSTEM ASSESSMENT TOOL
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DIMENSION A
INPUTS AND RESOURCES

DIMENSION A aims at mapping the fundamental elements necessary for the system to operate. These range from legal and policy instruments to financial assets, equipment and infrastructure and human resources.

A.1.1. POLICY AND LEGAL DRAFTING PROCESS

OVERALL OUTCOME: The policy framework and legal drafting processes allow the legislation of the country to be of high quality, fit for purpose and transparent.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
A.1.1.1	Clear policy guidance is available for food safety and quality	* a clear policy document (national specificities taken into account) * stakeholders involvement in policy development	A.3.3.5	• POLICIES • STRATEGIC PLANS • LEGISLATIVE DRAFTING PROCEDURES • STAKEHOLDER CONSULTATION REPORTS
A.1.1.2	Food control strategic plans are prepared by Competent Authorities (CAs) and translate into action the overarching objectives set out in the food safety and quality policy	* existence of strategic plans * consolidated results deriving from implementation plans	A.2, A.3.1, A.3.2, A.3.3.5, B.1.1.4, B.1.1.9, B.2	
A.1.1.3	Food safety and quality policy and legislation are developed on the basis of written principles and procedures that enable comprehensive and participatory processes and ensure “fit for purpose” results	* written principles and procedures guiding policy and legislation writing * inter-agency and stakeholders’ involvement	C.2.1.3	
A.1.1.4	Legislation recognizes the stakeholders’ right to have access to information on food control measures (including sanitary and quality requirements) and includes provisions on publicizing them	* governments and stakeholders to communicate potential food hazards and to have access to information * clear procedures for publicizing measures, requirements and legislation * mechanism for stakeholders to request access to information * clear procedure for notifying international partners and organizations * mechanism for stakeholders to request access to information	A.1.3.10, C.1.2, C.2.1.2	
A.1.1.5	Legislation is unambiguous and allows for evolution over time	* core obligations, basic legal provisions establishing mandates and functions or relating to fundamental rights are found in legislation * definitions and terms are not mixed up with substantive obligations * subsidiary instruments serve the objectives of the main act * number of court cases related to discrepancies in interpretation of the legislation is recorded, and resources applicable for CA’s implementation		
A.1.1.6	CAs make decisions in a consistent and impartial manner and are free of improper or undue influence or conflicts of interest	* policy anchoring CA's technical independence, impartiality and integrity and CAs’ technical decisions supported by scientific evidences * mechanisms to ensure equal and impartial behaviour of bodies receiving delegation of tasks	A.1.1.2, A.3.3.4, D.1.3.1, D.1.3.9	

A.1.2 INSTITUTIONAL FRAMEWORK

OVERALL OUTCOME: The policy framework and legal drafting processes allow the legislation of the country to be of high quality, fit for purpose and transparent.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
A.1.2.1	Mandates of CAs involved in food control are clearly defined in legislation and ensure an efficient distribution of roles and responsibilities among CAs, over entire food chain	* national legislation includes a clear allocation of the functions and responsibilities of CAs * the roles and responsibilities of each CA are formulated clearly * local authorities have clear roles and procedures to implement legislation and clear reporting channels		• ANY OVERARCHING FOOD CONTROL LEGISLATION • LIST OF CA COMMITTEES, MEMBERSHIP, TERMS OF REFERENCES AND ANY MINUTES
A.1.2.2	A formal communication mechanism is in place between CAs and stakeholders involved in food control, to exchange relevant information over the entire food chain	* track record of information officially shared thru one mechanism that allows different stakeholders to share information * documented agreement on which information should be shared with whom, when and how * evidence that this mechanism is in operation	B.1.1.9	
A.1.2.3	Legislation includes coordination mechanisms that enable CAs to develop a common vision of food control, to facilitate multi-sectoral planning and implementation of food control measures, and to promote communication	* MoUs, inter-ministerial working groups, specific bodies or entities, or other coordination mechanisms * regulated procedures for the collection and sharing of information * how food safety will be monitored and controlled in a coordinated manner through the food chain (food safety strategy/ control plan) * good communication between CAs, and during the implementation of food control measures	A.1.3.5 B.1.1.9	
A.1.2.4	Legislation provides the CAs with all necessary powers and responsibilities to implement law, within mandate	* legislation includes the power of the CAs to implement the list of tasks described in para 39 of CXG 82-2013 * legislation clarifies the responsibilities of local food control authorities and how these are coordinated at the central level +		
A.1.2.5	If appropriate, legislation allows the CAs to delegate some functions to other public or private entities	* legislation on delegation of specific functions, clear designation, the timeframe and purpose, and reporting obligations * legislation conferring on the CAs the power to authorize public or private laboratories to carry out official analyses on their behalf	A.1.3.4	
A.1.2.6	Legislation provides designated officials with the necessary authority to carry out their mandates, and sets sufficient safeguards to prevent abuse of power	* clear provision on the designation of food inspectors, and on recognition of the powers of food inspectors * safeguards to prevent abuses of power and corrupt practices * an FBO's right and obligation to accompany the authorized inspector during an inspection is recognized * inspectors must send a written report, including any justification, for a required corrective action, providing notice to operators		
A.1.2.7	Legislation provides an array of effective enforcement provisions as well as the right to appeal decisions made by the CAs	* clear provision in legislation/regulations listing enforcement provisions, offences and penalties for non-compliance * a provision stating that any person aggrieved by an action or decision of an authorized officer may appeal to a designated entity within the prescribed time frame	B.1.1.11	

A.1.3. ELEMENTS FOR FOOD CONTROL LEGISLATION (1/2)

OVERALL OUTCOME: Legislation provides all the technical provisions necessary to implement food control activities and achieve the overarching objectives set in the food safety and quality policy.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
A.1.3.1	National legislation recognizes the primary responsibility of FBOs and lays out their specific obligations, includes placing only safe food on the market and recalling products that do not meet the prescribed standards	* recognizes the primary responsibility of FBO to prohibit from putting unsafe food on the market for consumption * the obligations of food operators to notify potential food safety hazards, keep records, introduce self-control schemes, and to recall from the market products that do not meet the standards * includes a reference to mechanisms for the government to control FBOs, using registration or other licensing schemes		• LIST OF LEGISLATION (LAWS, REGULATIONS AND STANDARDS); NEED TO ASSESS EACH AC EXISTS ACROSS THE LEGISLATION
A.1.3.2	Food control legislation applies to all steps of the food chain in a coherent and coordinated manner	* legal texts cover all aspects and stages of the food production chain and coherence in the legal provisions applying to the food chain * legislation is “user-friendly” in terms of accessibility and no evidence of gaps, duplication, contradictions or outdated measures	A.1.1.5	
A.1.3.3	The definitions used in food control legislation are clear and consistent with internationally recognized standards	* definitions in the law cover the key terms and correspond to key Codex definitions when they exist * definitions do not include terms with different interpretations		
A.1.3.4	Legislation introduces the principle of risk analysis and this is used as a basis for establishing food safety measures	* legislation expressly refers to and/or introduce approaches based on risk analysis including a mechanism for incorporating Codex guidance * risk assessment/scientific advice influenced operational approach, supporting decisions on risk management options and resource expenditure	A.1.1.6 A.1.3.5 A.1.3.6 B.1.1.5	
A.1.3.5	Legislation includes provision for inspection, monitoring and control of the food supply for hazards	* risk-based controls; sampling and analysis, providing powers for food inspection and implementing monitoring programmes * authorizing CAs to perform public health functions, including surveillance and to take and analyse samples as part of investigations	A.1.2.3 A.1.3.4 A.1.3.12	
A.1.3.6	Legislation includes provisions for setting import requirements	* clear provision stating that no article of food shall be imported unless it meets the import requirements * import requirements and monitoring designed on the basis of risk * enables efficient controls in origin, equivalence and trade agreements among border agencies	A.1.3.4	
A.1.3.7	Legislation includes a mechanism that enables CAs to identify all FBOs throughout the food chain	* provision regarding authorization/registration/licensing of FBOs * mechanisms allowing CAs to obtain information about FBOs from other entities such as authorities issuing business/trade licenses, customs	B.1.1	

A.1.3. ELEMENTS FOR FOOD CONTROL LEGISLATION (2/2)

OVERALL OUTCOME: Legislation provides all the technical provisions necessary to implement food control activities and achieve the overarching objectives set in the food safety and quality policy.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
A.1.3.8	National food standards, regulations and guidelines provide inappropriate foundation for food control, and are based on Codex or international reference	* standards are based on Codex standards, but taking into account needs of the country (diversity of food, including imported products) * standards are consistent with national enforcement and implementation capacities		• LIST OF LEGISLATION (LAWS, REGULATIONS AND STANDARDS); NEED TO ASSESS EACH AC EXISTS ACROSS THE LEGISLATION
A.1.3.9	Legislation includes an obligation to ensure traceability from farm to fork	* clear provision requiring the establishment of a traceability system * subsidiary legislation on the features of the traceability system	B.1.1.16	
A.1.3.10	Legislation includes a provision for a rapid alert system, emergency preparedness and response	* CAs are required to implement a food safety emergency plan to respond to food safety events and outbreaks of foodborne disease * FBOs required to notify CAs of food safety issues and implement preventive measures * communication of food safety events between the public health authorities and other CAs in charge of food safety * clear responsibilities for accurate risk communication with the public in case of food emergency, and with international trading partners	A.1.1.4 B.2.3	
A.1.3.11	Legislation contains requirements for food packaging, labelling and advertising	* stating that every package of food intended for sale shall bear a label which sets out such particulars as may be prescribed * containing food safety requirements for material intended to come into contact with food products, including food packaging regarding nutritional labelling, and basic requirements for food advertising to protect the consumer		
A.1.3.12	Legislation includes provisions for surveillance of priority foodborne diseases, guided by food safety and quality policy	* a priority list of foodborne diseases or syndromes for mandatory surveillance, including reporting * procedures for surveillance and reporting	A.1.3.5 B.2.2.1	

A.2.1 FINANCIAL RESOURCES (1/2)

OVERALL OUTCOME: Sufficient budget is secured to implement the strategic food control plan at all levels of government and to respond to food safety emergencies and events.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
A.2.1.1	Preparation of budget allocations for CAs is carried out in a participatory and transparent manner that reflects a strategic plan for food control at national and subnational levels	* clear and effective strategy for budget preparation, or individual strategic plan for budgetary allocations on results-based principles * clearly identifiable budget lines for food control, and units within CAs responsible for management of funds * clear and effective processes for management of funds	A.1.1.2	• BUDGET PREPARATION PROCEDURES • BUDGETS – INCLUDING BREAKDOWN (SALARIES, INFRASTRUCTURE (INCLUDING LABORATORY BUDGETS), IT, TRAINING, ETC ALLOCATIONS) • FEE SCHEDULES • AUDITS OF BUDGETS
A.2.1.2	CAs can easily access the allocated funds, including any recovery of fees, commensurate with the controls to be carried out as per strategic plan	* the actual allocations for food control activities are in line with the annual budgetary applications (no deviations during the last 5 years) * when CAs are expected to get partial funding through the perception of fees, these fees are easily recovered by the CAs	A.1.1.2	
A.2.1.3	An analysis of the cost of the relevant scientific services has been reflected in budget allocations	* analysis of the cost (estimate) of the most pressing science- and risk-based activities (e.g. modelling, exposure assessment, statisticians) * reflection of this analysis in the final and formal budget allocations * budget includes subcontracting of specialist scientific services	A.1.1.2	
A.2.1.4	The financial resources required for securing sufficient and skilled staff (accounted for financial plan and budget)	* funding of staff positions secured in the annual budget * skilled staff in sufficient numbers across all sectors	A.1.1.2 A.3.1	
A.2.1.5	Training and ongoing development of food control staff is financially secured in CAs' budgets	* funding of on-going training and development of food control staff secured in the annual budget * realistically high budget	A.1.1.2 A.3.2	

A.2.1 FINANCIAL RESOURCES (2/2)

OVERALL OUTCOME: Sufficient budget is secured to implement the strategic food control plan at all levels of government and to respond to food safety emergencies and events.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
A.2.1.6	The financial resources required to purchase and maintain essential infrastructure and equipment are financially secured in CAs' budgets	* funding for essential infrastructure and equipment secured in the annual budget (offices, logistics, transportation, IT, etc.) * breakdown of costs for: physical space/offices, facilities, supporting laboratories, IT and office equipment, etc	A.1.1.2 A.2.2.1 A.2.2.2 A.2.2.3 A.2.2.4 A.2.2.5 B.1.2.8	• BUDGET PREPARATION PROCEDURES • BUDGETS – INCLUDING BREAKDOWN (SALARIES, INFRASTRUCTURE (INCLUDING LABORATORY BUDGETS), IT, TRAINING, ETC ALLOCATIONS) • FEE SCHEDULES • AUDITS OF BUDGETS
A.2.1.7	Funding for the sampling activities related to monitoring of priority food safety risks, and human health surveillance relevant to foodborne deseases, is secured in the CAs' budgets	* operating budget for sampling activities supporting monitoring of food risks (including human health surveillance) secured in annual budget (collection, storage, transport, analysis, communication of data) * risk analysis activities and strategic national sampling/surveillance plan reflected in the operating budget for sampling and surveillance	A.1.1.2 A.2.2.5 A.2.3.1 B.1.2.8 B.2.1	
A.2.1.8	In the event of a food-related emergency, sufficient and realistic financial allocation is secured in the budgets to support the mobilization of the national emergency plan	* sufficient financial resources pre-allocated for responses to food emergencies (within central government budget / within CA budgets) * correspondence between the budgetary estimate and the actual financial allocations for food-related emergencies	A.1.1.2 A.2.3.4 B.2.3	
A.2.1.9	Staff attendance at selected international scientific and policy-makers' meetings and relevant for food safety and quality is financially secured in the CAs' budgets	* budget for staff attendance at international meetings takes into account: country needs to attend strategic meetings, communication between CAs, number of key staff and costs * documents attesting participation to relevant regional/international meetings in the past	A.1.1.2 A.2.2.1 A.2.2.3	
A.2.1.10	Post-expenditure audit and review of management performance in relation to the budgetary expenditure are performed	* periodic financial audit of the budget * periodic financial performance review * checks performed by independent competent authorities	A.1.1.2	

A.2.2 INFRASTRUCTURE AND EQUIPMENT

OVERALL OUTCOME: Suitable and sufficient infrastructure and equipment are available for competent authorities to perform their work effectively and according to the strategic food control plan.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
A.2.2.1	Food control services are provided with suitable accommodation and with special facilities at all locations where official food control is carried out	* accommodations and facilities themselves, allowing, for example, secured storage of documents	A.1.2.6 B.1.2.8	• NUMBER OF OFFICES, BUSINESS INVESTMENT PLANS (BIPS), VEHICULAR ASSETS ETC. – OR COMMENT ON
A.2.2.2	Suitable and sufficient vehicular assets adequately maintained for the implementation of the food control programme by CAs	* availability of vehicles that maintained to be reliable and safe, and their support to reach the food control strategic plan targets * availability of reliable fuel resources and drivers	A.1.2.6	
A.2.2.3	IT system in place for recording, analysing and sharing the data collected during food controls and surveillance of foodborne deseases	* electronic system in place for the recording of data and information * support functions for protection and maintenance of the system * internet and modern devices for supporting official food controls * information stemming from surveillance of foodborne deseases and monitoring of priority food safety risks can be exchanged between CAs and laboratories	A.1.2.6	
A.2.2.4	Staff operating inspection, monitoring and surveillance activities have access to reliable modern tech for rapid communication	* food control officers have appropriate instruments to communicate * CAs support food control staff to use modern communication equipment and services (e.g. cell phones)	A.1.2.6 B.1.2.8 B.2.3.4 B.2.3.5 C.1.2	
A.2.2.5	Suitable sampling equipment, space and facilities, are provided for monitoring or surveillance activities.	* information collected by visiting locations where such samples are collected and by interviewing appropriate staff. * few or no instances where the laboratory reports that samples cannot be processed due to contamination or deterioration of quality	A.1.2.6 A.2.1.7 B.1.2.8 B.1.1.14	

A.2.3 ANALYTICAL RESOURCES

OVERALL OUTCOME: Suitable and sufficient analytical services are available and accessible by competent authorities to carry out the analyses required by the food control system.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
A.2.3.1	CAs and lab work jointly to plan the analytical workload for routine inspections, sampling for monitoring of priority food safety risks, foodborne disease surveillance and other activities	* liaison mechanisms between the managers of the field operations (official food controls) and the managers of the food control laboratories for joint work planning	A.1.1.2 A.2.1.7	• NUMBER OF LABS • ANALYSIS CAPABILITY • PROCEDURES/STANDARD OPERATING PROCEDURES • ACCREDITATION CERTIFICATES
A.2.3.2	Laboratory capacities meet the country's strategic analytical needs with appropriate geographical coverage across the country, including for import and export	* definition of analytical needs by the CAs * appropriate geographical coverage of labs as per CAs' needs * evidence of capacity for sample transportation and maintenance		
A.2.3.3	National system of labs has sufficient technical capabilities to address priority hazards and quality parameters for food analysis, and the analysis of clinical samples for detection of foodborne deseases	* equipment and methodologies to perform reliable analyses * the demands placed upon the food safety and quality laboratory system in terms of its technical capabilities are commensurate with the equipment and technical expertise of the staff * output of the laboratories meets expectations of the stakeholders	A.1.1.2	
A.2.3.4	In case of a food safety emergency, food control labs have capabilities and versatility to adapt to the resulting changes/surges in demand of tests to be performed	* labs can raise all performance capacities as needed to support expanding food control priorities and emerging issues * "Versatility" as a concept is addressed in government reports or contingency planning for the food safety laboratories	A.2.1.8 B.2.3.1 B.2.3.3	
A.2.3.5	Codex and other official recommended methods of analysis and sampling are implemented	* labs utilize Codex Recommended Methods of Analysis and Sampling (CODEX STAN 234-1999) or other official methods where appropriate		
A.2.3.6	Laboratories are following Good Laboratory Practices and have quality management systems in place	* calibration performed by reliable service providers and access to satisfactory maintenance contracts * quality assurance manual for the lab, including procedures for sample registration and management * evidence that lab considers health and safety very seriously and staff have been trained and aware of health and safety during their work		
A.2.3.7	Designated food control laboratories are accredited ISO 17025 (testing labs) and ISO 15189 (clinical labs) by internationally recognized bodies	* ISO 17025 and/or ISO 15189 accreditation by internationally recognized accreditation body (Evidence of engagement in the process for accreditation would give a partially achieved score)	D.2.1.6	

A.3.1 QUALIFICATION OF PERSONNEL

OVERALL OUTCOME: Competent authorities implement a systematic approach to ensure they have access to suitably qualified personnel in sufficient numbers.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
A.3.1.1	State's duty to ensure that CAs have access to sufficient and suitably skilled personnel with adequate qualifications and ability	* physical evidence that only qualified persons are engaged as food inspectors – for example, records of qualification of personnel	A.1.2 A.2.1.4 B.1.1.4	• NUMBER AND LEVELS OF STAFF • QUALIFICATIONS / TORS / DUTY STATEMENTS / ADVERTISEMENTS FOR STAFF (INCLUDING REQUIREMENTS IN LEGISLATION)
A.3.1.2	CAs have clear internal policy GLs addressing the qualifications for the various employees supporting food control activities	* internal policy guidelines, which outline the prerequisite qualifications required for various food control posts * food inspectors, laboratory technicians (and all staff with roles requiring subject-specific tertiary education) are properly qualified		
A.3.1.3	CAs base recruitment on clear job descriptions and transparent processes	* food control-related public sector posts are publicly advertised * sufficiently detailed ToRs for food control public sector posts		
A.3.1.4	Prescribed requirement for properly qualified staff also extends to the professional employees of agencies engaged by CAs	* legally prescribed requirement for properly qualified staff also extends to the professional employees of agencies engaged by CAs * all staff engaged in official food controls have proper qualifications * the overall performance of officially authorized bodies is assessed	A.1.2.5	

A.3.2 CAPACITY DEVELOPMENT OF PERSONNEL

OVERALL OUTCOME: CAs have clear and comprehensive capacity development programmes in place to ensure staff can carry out the necessary range of food controls.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
A.3.2.1	Newly recruited staff are provided with formal orientation courses, allowing them to enter on duty in an effective manner	* training is available for principal roles in official food control * the curricula of such trainings should be adequate in terms of scope, content and potential to support professionals for new roles		• TRAINING PROGRAMMES DELIVERED • NUMBER OF STAFF ATTENDING • STAFF PERFORMANCE AGREEMENTS
A.3.2.2	CAs encourage active exchange of knowledge and skills among staff	* work culture that encourages “learning by doing” under the guidance of experienced practitioners * events and supporting tools to facilitate exchange between staff * results of this practice (e.g. improvement in staff performance, uptake of new tasks or responsibilities)	D.1.1.2	
A.3.2.3	CAs supply or facilitate periodic update training events for staff with responsibilities in food control	* update training events, and frequency at which events are delivered * the relevance of the content of these events to ensure uniform application of official controls	B.1.1.6	
A.3.2.4	CAs actively facilitate continuing professional development of food control staff, at both central and remote locations	* CA provides support for career develop. for official control staff including facilities, resources, training and learning opportunities * guidance and requirements of individual staff for evidence of learning * any changes in responsibility/efficiency/outputs/SOPs following specific training activities		
A.3.2.5	CAs have an internal policy to conduct internal review of the capacity development needs of the staff at all levels within workplace	* deployment of training needs assessments for staff * continuing professional development records maintained by individual staff member and used in internal audit, skills review, training needs analysis, etc		

A.3.3 STAFF MANAGEMENT AND STAFF MOTIVATION

OVERALL OUTCOME: Competent authorities have systems in place to ensure staff are properly compensated, motivated and protected.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
A.3.3.1	Staff salary is sufficient, commensurate with duties and supplied on time and regularly	* staff have been paid regularly and at the level that they expect per contract		• SALARY SCALE OF STAFF • PROGRAMMES DELIVERED • NUMBER OF STAFF ATTENDING • STAFF PERFORMANCE AGREEMENTS • STAFF MEETING SCHEDULES
A.3.3.2	Staff competence and performance are assessed routinely by means of formal appraisal	* staff who have responsibility for key roles in the governance of food control are subject to appraisal processes * evaluation periods have been set		
A.3.3.3	CAs encourage good work performance, which is linked to opportunities for career develop.	* good record of retaining good staff		
A.3.3.4	CAs enable confidential reporting of wrongdoing by colleagues without exposure to adverse reactions	* any evidence of the actual enactment of such policy		
A.3.3.5	CAs maintain sustainability of programmes and internal stability even in times of political change	* civil servant status, protecting staff from political changes * internal policy of change of staff after political changes * strategic framework milestones consistently achieved	A.1.1.1 A.1.1.2	

FOOD CONTROL SYSTEM ASSESSMENT TOOL
INTRODUCTORY BOOKLET

DIMENSION B
CONTROL FUNCTIONS

DIMENSION B focuses on the processes and the outputs of the national food control system. It revolves around the control functions that must be exercised by CAs to ensure food safety and quality along the food chain, and around the mechanisms that should be in place to appropriately manage food safety hazards, emerging risks and food emergencies. They encompass both inspection or oversight-type functions, in direct relation with FBOs, and monitoring and surveillance functions.

B.1.1 DOMESTIC CONTROLS (1/2)

OVERALL OUTCOME: Routine controls performed at the level of FBOs are planned, managed and implemented in a way that ensures safety and quality of the products placed on the market.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
B.1.1.1	All principal FBOs are registered for inspection and official control purposes	* total number of registered FBOs versus total number of FBOs * criteria/rationale used to determine what defines principal FBOs in the context of the country – if this concept is used in the country * system for prioritizing which FBOs are officially linked with CAs	A.1.3.7	• LISTS OF FBOS • PRE-COMMENCEMENT INSPECTION REPORTS STAFF • ANNUAL INSPECTION PLANNING PROCEDURES AND PLANS • INSPECTION SOPS • INSPECTION FORMS (INSPECTION CHECKLISTS, COMPLIANCE REPORTS, SAMPLING/ANALYSIS FORMS ETC) • INSPECTION REPORTS • EMERGENCY RESPONSE PLANS
B.1.1.2	All FBOs, including primary production establishments, are registered for inspection and control purposes	* total number of registered FBOs versus total number of FBOs * system in place for prioritizing which FBOs are officially linked with the CAs	A.1.3.7	
B.1.1.3	Where appropriate, CAs have verified food safety management systems implemented by FBOs prior to official endorsement of food operations	* approval or licensing (or any equivalent) system in place * evidence of periodic revisions taking place * proceedings of the official endorsement process		
B.1.1.4	Periodic inspection plans developed by CAs are based on an articulated rationale and are implemented	* rationale for plan development and annual inspection plan was implemented * documentation that CAs make the effort to measure and understand human resources for food control purposes for making work plans +	A.1.1.2 A.1.3.7 A.3.1.1	
B.1.1.5	Inspection plans are based on a well-documented risk categorization framework	* risk-based approach is written into policy and strategy documents * a documented process for risk ranking of FBOs * inspection plans reflect the risk categorization framework and inspection resources are deployed in proportion to identified risks	A.1.3.10 D.1.3.1 D.1.3.9	
B.1.1.6	There are documented procedures for performing inspections of the same food category	* scope of food inspections has been standardized (esp. regarding GHP/GMP) and kept at the forefront of the inspection process * CAs have standard procedures for performing HACCP/GHP/GMP inspections and documenting the findings	A.3.2.3	
B.1.1.7	As part of their approach to inspecting FBOs, the CAs regularly implement verifications and audits of food safety management systems.	* audits of HACCP and food safety management systems are recorded * approaches used include inspection, verification and audit, including onsite visits; market surveillance; sampling and analysis; examination of written records; observations and other findings		
B.1.1.8	The national inspection plan includes routine inspection at all registered farms	* primary production establishments (e.g. farms, fishing vessels and aquaculture, animal feed, agrochemicals suppliers) were identified * primary production establishments are in the national inspection plan	C.1.1.3	

B.1.1 DOMESTIC CONTROLS (2/2)

OVERALL OUTCOME: Routine controls performed at the level of FBOs are planned, managed and implemented in a way that ensures safety and quality of the products placed on the market.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
B.1.1.9	Official controls implemented by various CAs at all levels of the food chain are organized to be continuous, joined, comprehensive and strategically complementary	* communication and coordination among CAs at both central and decentralized level which ensures proper coverage of FBOs * formal agreements (MoUs) between CAs regarding roles and operations / formal joint standing committee for food safety * a forum for ensuring coordination and collaboration for official controls	A.1.1.2 A.1.2.2	• LISTS OF FBOS • PRE-COMMENCEMENT INSPECTION REPORTS STAFF • ANNUAL INSPECTION PLANNING PROCEDURES AND PLANS • INSPECTION SOPS • INSPECTION FORMS (INSPECTION CHECKLISTS, COMPLIANCE REPORTS, SAMPLING/ANALYSIS FORMS ETC) • INSPECTION REPORTS • EMERGENCY RESPONSE PLANS
B.1.1.10	Clear documentation of official food standards and requirements are available to all staff who implement compliance and enforcement work	* formal and clear documentation on official food control activities for the use of inspectors, officers, and enforcement staff (produced by the CAs responsible for food control from farm to fork) * accessibility of the documentation to the inspectors		
B.1.1.11	Clear documentation containing enforcement sanctions and procedures (including reference to legal instruments) is available to official control staff	* documentation on food safety enforcement sanctions and procedures for appropriate food safety inspectors and enforcement officers * the sanctions as outlined are supported institutionally, legally and procedurally and available to all stakeholders, including FBOs	A.1.2.7	
B.1.1.12	When a FBO is found to be non-compliant with legislation, the CA officially notifies the FBO of the need to implement corrective actions	* official enforcement actions was taken after non-compliance (e.g. percentage of FBOs for which enforcement action was taken) * direct enforcement action taken in case of immediate danger		
B.1.1.13	CAs follow up with non-compliant FBOs to check on the implementation of corrective actions	* CAs follow up to ensure that non-compliant FBOs implemented corrective actions and ensure that the corrective actions were effective * documented non-compliances and subsequent enforcement actions		
B.1.1.14	Guidance on sampling tech. is available to inspectors, and samples taken during inspections are proper	* relevant sampling equipment and guidance is available to inspectors * sample records are reviewed (including size, type, temperature, etc.), to ensure that all samples were taken appropriately	A.2.2.5 B.2.1.5	
B.1.1.15	CAs have appropriate controls in place to ensure that FBOs have effective traceability systems	* CAs enforce requirement to keep records of commercial movement of food by FBOs “one step backward” and “one step forward” * CAs' capacity to produce “on demand” statistics regarding actions taken on recalls and trace back of issues	B.1.1.16 B.2.3.1 B.2.3.2 B.2.3.4	
B.1.1.16	Withdrawal and recall mechanisms of contaminated products are in place in collaboration with the food industry	* recall and withdrawal plans, reviewed by CAs, available in the private sector and functional traceability system in place * simulations of recall and systems in place to inform consumers * verification undertaken by CAs to confirm effectiveness of recalls	A.1.3.9 B.1.1.15	
B.1.1.17	Where appropriate, there are official controls in place for informal street food vending to reduce food safety risks for consumers	* legal instruments allowing such controls to take place * policy for informal foods that includes technical guidelines, codes of practice and stipulations in preparing and selling street food * results of controls being implemented	C.1.1.1 C.1.1.2	

B.1.2 IMPORT CONTROLS

OVERALL OUTCOME: Controls over imported food products are planned and implemented in a manner that ensures food safety and quality, in coherence with domestic controls
(Ref. CAC/GL 47-2003 and Risk-based imported food control manual, FAO 2016)

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
B.1.2.1	Importers are identified through a registration system and importer compliance profiles are established	* existence of a risk-based control system for importers (registration, authorization, licensing, permits, etc.)	B.1.2.3 C.1.1.3	• LISTS OF MAIN IMPORTERS • IMPORT AND CERTIFICATE REQUIREMENTS • IMPORT INSPECTION PLANS AND SOPS • INSPECTION FORMS (INSPECTION CHECKLISTS, COMPLIANCE REPORTS, SAMPLING/ANALYSIS FORMS ETC) • IMPORT INSPECTION REPORTS
B.1.2.2	Good importing practices have been developed and published and are used as the basis for importer controls	* a set of good importing practices (GIPs) has been developed and FBOs are knowledgeable of these GIPs +		
B.1.2.3	CAs design a coherent risk-based import control programme based on relevant information and responsive to evolving situations	* existence and content of imported food profiles * existence of a risk-based control programme, differentiating measures according to product risks and degree of reactivity to risk	B.1.2.1 C.2.1.1 C.2.1.2 C.2.1.4 D.1.3.2 D.1.3.3	
B.1.2.4	Risk-based import control programme is operated as planned, taking into account available resources	* qualified staff at BIPs allocated according to import volume and types of controls, and staff are empowered to carry out import controls * reviews and iterations over time of imported food control programme * content of delegation/MoUs between CAs on border controls		
B.1.2.5	Procedures are in place for border controls, are available to all staff of BIPs and are implemented	* evidence of procedures being physically available at BIPs + * evidence showing action taken according to the guidance		
B.1.2.6	A system allowing (pre)notification for imported food consignments is in place and is supported by clear documentation requirements to be submitted by importers	* every consignment of imported food is formally (pre)notified * importers are informed on/have access to information they should provide for importing and a set of established document requirements (e.g. types of certificates that should accompany the consignments)		
B.1.2.7	A system for the import of products requiring documentation / particular attention is in place	* pre-clearance system in place * evidence that the system is being used and is functional * set of established documentation/information requirements		
B.1.2.8	Sufficient inspection facilities are available to inspectors, of appropriate design, layout and capacity, in the relevant sites	* facilities are available to examine consignments, to take samples, to physically detain certain consignments and for safe disposal * a system of dedicated BIPs that have specific sampling facilities (for high-risk/perishable products) is in place and has been communicated	A.2.1.6 A.2.1.7 A.2.2.1 A.2.2.4 A.2.2.5	
B.1.2.9	Collaborations that occur between CAs and other institutions at the BIPs are effective and border controls are linked to domestic food control	* clear understanding and official collaborations between the partner authorities and CAs are implemented and periodically reviewed * connection of import control to the domestic control system thru: early warning functions; traceability systems; inclusion of low-risk imported products into the domestic inspection programme; and communication and coordination between CAs	A.1.2.2 A.1.2.3	

B.1.3 EXPORT CONTROLS

OVERALL OUTCOME: The export control system enables meeting the requirements of export foreign markets.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
B.1.3.1	A coordinating mechanism between CAs to control and provide certification to FBOs wishing to export	* existence of a single certificate with multiple attestations for exporters and availability of certification services at major points * coordination among certification bodies and other relevant stakeholders and records of rejection due to inadequate certification		• LISTS OF MAIN EXPORTERS • EXPORT AND CERTIFICATE REQUIREMENTS • EXPORT INSPECTION PLANS AND SOPS • EXPORT FORMS (INSPECTION CHECKLISTS, COMPLIANCE REPORTS, SAMPLING/ANALYSIS FORMS ETC) • EXPORT INSPECTION REPORTS
B.1.3.2	CAs have the capacity to support the requirements of importing countries	* sufficient CA oversight (monitoring) is in place on specific hazard/ commodity pairs, or on specific contaminants, or on general matter * equivalence agreements are in place, or actual investment in capacity for equivalence or for rising confidence of importing country in the official food controls of the exporting country	C.2.1.1	
B.1.3.3	A specific authorization or licensing scheme is in place for specific FBOs targeting exports	* country can support process and typical requirements of importing countries in terms of verification of food standards at premises * an inspectorate is qualified on specific requirements for exports		
B.1.3.4	Certificates respond to required design features as indicated by importing countries and are issued by officers authorized by the CAs	* process for designation of certifying officers who having access to all necessary documentation/information (e.g. importing country requirements, information or guidance notes on the criteria that the product must meet before being certified)	C.2.1.2	
B.1.3.5	CAs have a system in place to identify and prevent fraudulent certificates and provide clear guidance in case of specific situations related to certification	* certificates use specific security features and replacement certificates are clearly marked * CAs responsible for certification in the exporting country and CAs in the importing country communicate in timely fashion if certificates are found to be invalid and should be replaced or revoked		

B.2.1 MONITORING PROGRAMMES IN RELATION TO THE FOOD CHAIN

OVERALL OUTCOME: The national monitoring programme informs CAs on the situation for specifc food safety or quality issues, supports trends analysis and risk assessment and contributes to improve targeting of interventions with a risk-based approach.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
B.2.1.1	Monitoring plan is in place to detect and monitor issues related to food safety or quality in the food chain	* existence of a (simple and limited) documented monitoring programme		• MONITORING PROGRAMME PLANS • LABORATORY REPORTS • AD HOC MONITORING REPORTS
B.2.1.2	Risk ranking processes drive the development of the national food safety and quality monitoring programme	* monitoring programme is anchored in a risk-based rationale and hazard/commodity pairs are identified that might present higher risk * information from FBD epidemiological analyses are taken into account	B.2.2 C.1.2.3 C.1.2.5 D.1.2.5 D.1.3.2 D.1.3.3 D.1.3.4	
B.2.1.3	All relevant CAs have collaborated to facilitate the planning, ongoing implementation, operation and analysis of the national monitoring programme	* CAs working together on implementation of monitoring programme * evidence of communication among CAs and relevant stakeholders	C.2.1.1	
B.2.1.4	National monitoring programme is informed by an FBO risk categorization framework	* criteria for risk categorization are developed (e.g. product characteristics, control characteristics, firm history) * a list of premises for sampling has been as selected as risk-based * sampling plan indicates how many samples of which type will be taken from target premises	D.1.3.2 D.1.3.4	
B.2.1.5	National monitoring programme takes into consideration available human, financial and analytical resources	* lab capacity has been reviewed and balanced against numbers and samples needing to be processed * CA has made a calculation of the inspectors' time that can be dedicated to sampling for monitoring purposes	A.2.1.4 A.2.1.7 A.2.2.5 A.2.3.1 A.2.3.2 A.2.3.3 B.1.1.14	
B.2.1.6	Outputs of the national monitoring programme are used to review food control policies and to propose suitable interventions/measures	* data produced by the sampling protocol are of scientific value, appropriate for enforcement work, and of sufficient quantity and quality to inform review of official food control policy and strategy	D.1.2.6 D.1.3.2 D.1.3.8	
B.2.1.7	A mechanism to rapidly inform the other CAs responsible for FBD surveillance and response is in place when a monitoring plan detects a potential risk in the food chain	* a communication mechanism with focal points designated and operational and logistical arrangements including ToRs and contact lists * examples of actions taken by CAs integrating FBD information from monitoring plans		

B.2.2 FOOD-BORNE DISEASE SURVEILLANCE

OVERALL OUTCOME: The national surveillance system ensures an effective detection of foodborne disease and contributes to the management of food safety events, including outbreaks and emergencies.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
B.2.2.1	A fully functional Indicator-Based Surveillance (IBS) system in place that can monitor trends and detect foodborne disease outbreaks	* case definitions for each of the notifiable foodborne deseases and surveillance system database is effective * labs and health workers are aware of obligations to report positive test results to surveillance system and clear mechanism for reporting	A.1.3.12	• FOODBORNE DISEASE SURVEILLANCE PLANS • LABORATORY REPORTS • AD HOC FOODBORNE DISEASE REPORTS
B.2.2.2	A fully functional Event-Based Surveillance (EBS) system in place that can detect food-borne events	* an EBS surveillance system that receives reports from local level and are collated within 24 hours at national level for rapid risk assessment * health care workers and sanitary/food inspectors who have been trained on reporting food-borne events to EBS (focal points/ units)		
B.2.2.3	An IBS system that includes lab analysis to assign aetiology for suspected foodborne deseases, investigate hazards in foods linked to cases and outbreaks, understand trends in foodborne disease and increase sensitivity and specificity of detection	* evidence that priority foodborne disease cases captured within the surveillance system are lab-confirmed and further characterized * protocols for collecting/testing clinical specimens and data reporting for all priority foodborne disease (including case definition, action requirement) * antimicrobial susceptibility testing for relevant foodborne disease * data analyses in a regular bulletin is available to all stakeholders * surveillance system includes appropriate analysis plans for monitoring trends, with thresholds for cluster detection		
B.2.2.4	Capacity to undertake rapid risk assessments of acute public health events at the national and subnational levels	* a team (trained staff) at the national level who can rapidly assess suspected foodborne disease events within 24 hours of the initial report * training for staff at the subnational level has taken place including examples of past events and technical support from national level	B.2.3.7 D.1.2.6	
B.2.2.5	Capacity for multidisciplinary and inter-sectoral subnational outbreak response and applying analytical epidemiology during outbreak investigations	* appropriate staff have been nominated to take part in outbreak response teams (ORTs) and trained to undertake outbreak investigations * a response protocol for investigating a suspected foodborne disease outbreak * ORTs have the capacity to collect and transport appropriate specimens (including clinical) to a lab to identify aetiological agents * a response capacity capable of carrying out analytic epidemiology during outbreak investigations exists at the national and subnational levels	B.2.3	
B.2.2.6	Multi-sectoral collaboration facilitates rapid information exchange and support with laboratory testing during foodborne disease outbreak investigation	* surveillance and response staff know where the focal points are for food safety, animal health and the key labs for testing samples * an effective mechanism for rapid information exchange during suspected foodborne disease outbreak investigations among all stakeholders/relevant sectors	B.2.3.3	

B.2.3 MANAGEMENT OF FOOD SAFETY EMERGENCIES

OVERALL OUTCOME: A coordinated management system scans, identifies and responds to food safety emergencies and communicates effectively with all stakeholders (national and international).

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
B.2.3.1	A suitable national food safety emergency plan has been developed and food safety emergencies have been defined to serve as a trigger for escalating appropriate response	* food safety emergency response plan is available which includes definition of trigger, refers to central coordination, and stablishes clear roles, responsibilities and procedures for communications	B.1.1.15	• EMERGENCY RESPONSE PLANS • RECALL PROCESSES AND PROCEDURES • TRACEABILITY REQUIREMENTS • MINUTES, REPORTS OF FOOD SAFETY EMERGENCY RESPONSE – INCLUDING LABORATORY REPORTS • EXAMPLES OF COMMUNICATION MATERIALS FOR CONSUMERS/ INDUSTRY
B.2.3.2	Mechanisms to gather and analyse information are in place to allow incident identification	* national mechanisms in place ensuring gathering and sharing of relevant information for collective evaluation * active contact/focal points for INFOSAN, IHR, or regional networks * early Warning/Rapid Alert systems and system effectiveness reviews	B.1.1.15	
B.2.3.3	A functional central coordination mechanism includes all relevant CAs to address food safety emergencies	* a coordination mechanism is in place involving CAs from public health, food inspection, veterinary services, official lab, customs and quarantine, agriculture, etc. with clear roles and responsibilities * CAs have considered a range of possible scenarios and food safety emergencies and events with different contexts	B.2.2.6	
B.2.3.4	Functional arrangements in place for communication and implementation of response in the event of emergency	* stakeholders are aware of principles and practices of communication and control systems in the event of a food safety crisis/ emergency * each CA or stakeholder has a focal point for communication and control, going upstream and downstream	B.1.1.15	
B.2.3.5	Strategies and guidance for communicating with stakeholders, general public and international organizations	* updated list of all necessary contact details and readily available means of dissemination for the general public (websites, TV, etc) * preparing effective communications for food safety emergency responses that have occurred periodically as part of SOPs		
B.2.3.6	Food safety emergency response plans are pre-tested and reviewed after an emergency has occurred	* periodic mock exercises to pre-test the response emergency plan * record of feedback from past emergency reviews, and investment providing tangible and valid improvements in government's preparedness		
B.2.3.7	When appropriate, the risk analysis framework is used to structure the response to food safety emergencies	* tools to support rapid initial assessment and decision-making * FBOs informed on the CAs' risk categorization framework and associated risk management options * existence of databases of surrogate data (e.g. toxicological data on similar chemical substances) and food consumption databases * established partnerships with external experts/advisory groups	B.2.2.4 B.2.3.3	

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DIMENSION C
INTERACTIONS WITH STAKEHOLDERS

DIMENSION C identifies the interactions that must take place for the system to regularly adjust to national and international stakeholders' evolving needs, inspire confidence for stakeholders and to keep them well informed about their responsibilities.

C.1.1 RELIATIONSHIPS BETWEEN CAs AND PRIVATE SECTOR REGARDING TRAINING NEEDS

OVERALL OUTCOME: Capacity development needs of FBOs are addressed with the right quality level to support compliance with regulation requirements.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
C.1.1.1	CAs assess FBOs' capacity development needs to inform and plan awareness campaigns, training and educational programmes	* CAs carry out regular capacity development needs analysis of FBOs and review training offers, including quality and content, to identify gaps * inspection records of trainings when legislation requires FBOs to undergo regular training in food safety (e.g. GHP)	B.1.1.8 B.1.2.1 D.1.2 D.1.3.3 D.1.3.5	• TRAINING PROGRAMMES DELIVERED TO OR WITH INDUSTRY • AWARENESS CAMPAIGNS
C.1.1.2	Capacity development activities are leveraged or directly implemented by CAs to improve the understanding of a range of FBOs regarding the requirements of food regulations	* awareness training and orientation for food safety and quality is applied widely in the country and along all stages of food chain * documents on targeted training events for FBOs that provide awareness about important food safety and quality measures	C.1.2.4	
C.1.1.3	Formal attempts to identify which specific food controls are often poorly carried out by FBOs and these are addressed in the capacity development activities	* analytical reports, risk profiles, risk assessments, or correspondence about investigation of food control measures or regulations * activities developed by CAs reaching out to other partners to create or support an offer for capacity development activities	B.1.1.8 B.1.2.1 D.1.2 D.1.3.3 D.1.3.5	

C.1.2 INFORMATION FLOWS AND INTEGRATION OF FOOD BUSINESS OPERATORS (FBOs) INTO RISK MANAGEMENT

OVERALL OUTCOME: An efficient communication system operated by CAs enables FBOs and their trade organizations to remain updated on relevant food safety and quality information and allows information to flow back to CAs for standards development and information and data generation.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
C.1.2.1	FBOs' associations are acknowledged by and collaborate with CAs to serve their members with relevant food safety and quality information	* independent food producers' associations (PAs) advocated, allowed (esp. for 'risk food producers') and/or food control information widely convey from CAs to FBOs via moderating PAs * policies promoting FBOs' engagement in food control governance		• AVAILABILITY OF REGULATIONS AND COMPLIANCE INFORMATION ON CA WEBSITES / PAPER COPY – INCLUDING AD HOC INFORMATION • LIST AND MINUTES OF MEETINGS WITH FBO GROUPS AND ASSOCIATIONS • CONTACT INFORMATION AND HELPLINE NUMBERS
C.1.2.2	FBOs are engaged in development of food control regulations and food standards, and possible to provide feedback and complaints to CAs	* availability of information about regulations and about formal training for food safety principles and practices, and about how FBOs can locate accredited (or approved) training courses * existence of a sustainable consultation framework that allows FBOs to air their concerns, appeals, and even complaints or grievances	A.1.1.3 A.1.1.4 A.1.3.8	
C.1.2.3	High-risk FBOs are provided with special communication channels ensuring that CAs' messages are delivered to FBOs	* communication channels targeting high-risk categories of FBOs * CAs have communication channels that can verify receipt of information by the FBOs, and are also used by FBOs for the transmission to CAs of special monitoring data when appropriate	D.1.3.4	
C.1.2.4	All FBOs are properly informed, updated and provided with equal opportunities to properly understand and adopt recommended approaches and legislation requirements	* government activities to communicate new requirements to the FBOs * CAs briefing of the private sector regarding special subject communications (e.g. adoption of GHP and HACCP-based self-controls) with suitably scaled change-management packages * workshops, conferences, awareness events, open or public "question and answer" sessions and training events		
C.1.2.5	CAs inform FBOs on the results of monitoring routine inspection reports to incentivize collaboration with government and enhance compliance	* awareness activities carried out for FBOs * examples of CA debriefings on surveillance and control annual reports	A.1.1.4 C.1.1.2	

C.1.3 COMMUNICATION FLOWS AND INVOLOVEMENT WITH CONSUMERS

OVERALL OUTCOME: The CAs implement an established internal policy for food safety risk communication to consumers based on openness, transparency, timeliness and responsiveness and its effectiveness is monitored.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
C.1.3.1	CAs establish a disseminating information policy to consumers, including special needs groups, on the importance of food safety, including safe food handling practices and critical quality issues	* CAs target specific audiences such as pregnant women, the elderly, immunocompromised and CAs use information, education and communication (IEC) methods in schools and social media, etc * CAs actively use public media for disseminating public health information (fact sheets, posters, radio transmissions, websites, etc.)		• AVAILABILITY OF FOOD SAFETY INFORMATION FOR CONSUMERS INFORMATION ON CA WEBSITES / PAPER / RADIO-TV/ PAPER COPY – INCLUDING AD HOC INFORMATION • LIST AND MINUTES OF MEETINGS WITH CONSUMER GROUPS • CONTACT INFORMATION FOR CONSUMERS AND HOTLINE NUMBERS
C.1.3.2	Decisions and information about official food control are made available to consumers at all times and with attention during food safety crisis	* deliberations and decisions of national food safety committees (or other official national food safety gatherings) are made available * citizens can gain access to information about the government's decisions in relation to food safety	A.1.1.4	
C.1.3.3	CAs utilise the different methods and means of communication for food safety issues supported by communication specialists	* CAs informed of the most appropriate (national) methods and means of mass communication, including in the event of a food safety crisis * a significant network of technical specialists used to deliver awareness messages for food safety in the country's communities		
C.1.3.4	CAs have a risk communication plan for crisis (on food safety or fraud issues) to deliver relevant food safety messages to consumers	* identification and training of spokespersons and quick reference to factual information already available about the hazard/risk * mechanism to ensure coordination among CAs and stakeholders as to which information is to be released, how, when and by whom * to ensure choice of the appropriate communication channels and delivery of the correct message with balanced tone and pitch that accurately informs the public, while avoiding unwarranted anxiety		
C.1.3.5	CAs provide a mechanism for consumers' questions and complaints	* Existence of a functioning mechanism that addresses consumers' questions and complaints		

C.2.1 INTERACTIONS AMONG CAs AT INTERNATIONAL LEVEL

OVERALL OUTCOME: CAs actively engage with their counterparts at international level and this supports agreements for export and import to occur.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
C.2.1.1	CAs support bilateral or regional trading relationships on food safety and quality regulations, and on control measures and document requirements	* authorities communicate pro-actively and regularly with foreign stakeholders and with diplomatic representations to exchange information and technical observations	B.1.2.3 B.1.3.2 B.1.3.4	• LIST OF BILATERAL AND MULTILATERAL TRADE AGREEMENTS AND SUMMARY • WEBSITE INFORMATION ON IMPORT / EXPORT REQUIREMENTS
C.2.1.2	Trading partners have easy access to up-to-date information on food safety and quality requirements and controls	* websites in one or more languages that are up-to-date * operating enquiry point/s providing information on food safety and quality requirements or (for WTO Members) enquiry points notified to the WTO and listed on the SPS-IMS and TBT-IMS databases	A.1.1.4 B.1.2.3	
C.2.1.3	(WTO member only) Member countries notify other countries of any new or changed food safety and quality requirement that affects trade	* existence of National Notification Authorities (NNAs) for SPS and TBT * active channels of communication and effective exchange of information between the NNAs and CAs responsible for food safety	A.1.1.3	
C.2.1.4	CAs of importing and exporting countries can reach and maintain cooperative agreements regarding food control measures	* certifications by CAs of importing/exporting side fully recognized for specific products and official mechanism for exchange of certificates * agreement on recognition of equivalence or discussions or formal steps in view of such agreements	B.1.2.3	

C.2.2 ENGAGEMENT OF CAs WITH INTERNATIONAL ORGANIZATIONS

OVERALL OUTCOME: CAs are actively engaged in international organizations to inform and benefit from international expertise.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
C.2.2.1	The country is an active member of Codex and other relevant international organizations with mandates in food safety and quality	* country membership in international organizations that have mandates in food safety and food quality or consumer protection (WHO/FAO/Codex/WTO/OIE) * national officers or CCPs contributing to relevant committees of international organizations and documented procedures for supporting Codex processes	A.2.1.9 D.2.2.2	• NATIONAL CODEX COMMITTEE TORS AND MEETING MINUTES • LIST OF CODEX. OIE, IPPC MEETINGS ATTENDED AND BY WHICH CA • REFERENCE AND ADOPTION OF CODEX, OIE AND IPPC STANDARDS IN REGULATIONS
C.2.2.2	An inclusive, transparent and effective consultation mechanism is in place on Codex-related matters	* a formal consultation body (a National Codex Committee / coordinating committee) with clear terms of reference and key stakeholders included * existence of clear procedures for preparing national positions, ensuring good planning, transparency in decision-making, reporting and communication to members	C.2.2.4	
C.2.2.3	The country provides Codex and scientific advice bodies with relevant scientific and technical information	* records of national positions supported by scientific data communicated to Codex regarding specific issues	A.2.1.9	
C.2.2.4	Codex standards and guidance are appropriately used at national level	* specific Codex standards that have been used as a support to develop national regulations	A.1.3.8 C.2.2.2	

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DIMENSION D
SCIENCE/ KNOWLEDGE BASE AND CONTINUOUS IMPROVEMENT

DIMENSION D looks at the necessary features for the system to build its scientific soundness and to keep abreast of new scientific developments and innovations, in order to continuously improve.

D.1.1 ACCESS OF CAs TO UPDATED SCIENTIFIC AND TECHNICAL INFORMATION

OVERALL OUTCOME: Competent authorities base their decisions on relevant scientific and technical information.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
D.1.1.1	Relevant staff have access to authentic and up-to-date sources of scientific, technical, monitoring and surveillance information	* evidence (e.g. budgets) that government funding/financial resources are allocated to provide staff with access to scientific information	A.2.1.3 A.2.1.6	• LIST OF TECHNICAL STAFF MEETINGS AND DESCRIPTION • PROJECTS / AGREEMENTS WITH RESEARCH INSTITUTIONS OF REGULATIONS AND COMPLIANCE INFORMATION ON CA WEBSITES / PAPER COPY – INCLUDING AD HOC INFORMATION
D.1.1.2	Staff are supported to share new knowledge with work colleagues and work teams	* CA's policy encouraging staff to share new methods and knowledge * community of practice promoted through staff sharing of new methods and knowledge	A.3.2.2	
D.1.1.3	CAs actively collaborate with Centres of Excellence or Reference Centres for food safety and staff participate in professional associations	* government can demonstrate active collaboration with Centres of Excellence and/or Reference Centres (e.g. regional food safety labs) * active and ongoing collaboration with (or support from) at least one such centre (e.g. sending samples and/or receiving expertise)	D.2.2.1	

D.1.2 CAPACITY TO COLLECT AND ANALYSE DATA FOR RISK ANALYSIS PURPOSES

OVERALL OUTCOME: Risk analysis is based on robust information collection processes and quality data.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
D.1.2.1	Sufficient infrastructure and technological capacity to conduct data collection to support risk analysis activities	* sufficient infrastructure and lab capacity to expedite data collection and analysis at central level for risk analysis activities * CAs' capacity to access and use data prepared by internationally recognized scientific bodies such as JECFA, JMPR, JEMRA, GEMS/Food * country's capacity to collect data on its own food risks and problems	A.2.2.3 A.2.3.3 B.1.2.3 B.1.2.4 B.1.2.5 B.2.1.2	• DATA GATHERING REPORTS ON FOOD HAZARDS, FOODBORNE DISEASES, ETC
D.1.2.2	Sufficient expertise supports the elaboration of sound protocols for data collection and analysis required by the country for risk analysis	* significant majority of data collection and analysis needs can be met in terms of expertise * investments are made to develop sufficient capacity to conduct valid data collection activities	A.3.1.2 A.3.2	
D.1.2.3	CAs monitor data collection and processing, performing data quality controls	* quality control, demonstrated thru participation in international collaborative testing rounds and the use of reference materials * approach to data processing and statistical significance of conclusion	A.2.2.5 A.2.3 D.1.3.6	
D.1.2.4	CAs identify and collect data on country-specific hazard and commodity combinations	* hazard data relevant to specific risk foodstuffs, in particular data on prevalence and quantification of hazards * identified hazards/commodities that are subjects of surveys or data collection programmes and technical information supporting protocol * human health surveillance data gathered and considered when deciding on focus for surveys or data collection programmes	B.2.1.2 D.1.3.2	
D.1.2.5	A surveillance system is in place that integrates information from the entire food chain to enable a better understanding of risk	* a team of representatives in govt structure and a database to collect and share the integrated food chain surveillance data * a data transfer mechanism to extract data from existing surveillance DB and other data sources to integrated food chain surveillance DB * data analyses is available to all stakeholders	B.2.2 D.1.2.6 D.1.3.2 D.1.3.6 D.1.3.8	
D.1.2.6	Data from routine inspection, monitoring and surveillance programmes are used to inform new or current risk analysis activities	* availability of data and processed results of monitoring and surveillance programmes (prevalence and impacts of significant hazards) * these data are processed to inform risk analysis activities, whether risk assessments or risk management	B.2.1.2 B.2.1.4 B.2.1.6 B.2.2.4 D.1.3.2 D.1.3.6	
D.1.2.7	CAs identify data needs for risk assessments and generate data	* evidence of data requirements published during risk assessment * evidence of data generated to fill the most significant data gaps	D.1.3.2 D.1.3.6	
D.1.2.8	Targeted research for attributing food sources to specific diseases, understand foodborne disease epidemiology and estimate the burden of foodborne disease	* CA is responsible for initiating and resourcing such ad hoc studies and can implement the findings * a mechanism in place for discussing, implementing and managing types of targeted research that need to be undertaken in the country	D.1.3.2 D.1.3.6	
D.1.2.9	CAs generate burden of foodborne disease estimates that integrate disease incidence and severity data with attribution to food-borne transmission, as for risk prioritization	* incidence data on foodborne disease assembled and adjusted for under-reported factors, to estimate community incidence * hospitalization and mortality data examined for cases caused by foodborne disease * engagement with WHO Foodborne Disease Burden Epidemiology Reference Group		

D.1.3 KNOWLEDGE AND USE BY CAs OF RISK ANALYSIS FRAMEWORK (1/2)

OVERALL OUTCOME: CAs appropriately refine the risk analysis framework to quantify food safety risks, and use the outputs to plan and cyclically refine their food safety official controls.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
D.1.3.1	CAs demonstrate sound understanding of risk analysis principles and commitment to the risk management framework in processes and outputs pertaining to legislation, standard setting, policies	* legislation includes reference to risk analysis and the elements of risk analysis are being implemented in practice (relevant policy) * a national risk management decision-making process based on risk assessments results carried out at regional/ international level * risk assessment and risk management take into account relevant production, storage and handling practices used through the food chain * adaptation of Codex standards to the national context by using national exposure data (food consumption and contamination data)	A.1.3.4 A.1.3.6	• RISK ASSESSMENT/ CATEGORISATION PROCEDURES AND LISTS
D.1.3.2	CAs use risk ranking approaches to target resources for risk management	* ranking results for hazard/food combinations of importance * food safety hazards identified as significant addressed with active food safety official controls along the food value chains	B.1.2.3 B.2.1.2 B.2.1.4 D.1.2.4 D.1.2.8 D.1.3.2 D.1.3.6	
D.1.3.3	When necessary, CAs use risk profiles to guide and inform deployment of resources into official controls	* CAs have commissioned risk profiles relevant to the hazard/food combinations of importance in the country * evidence of further risk assessment or risk management actions, taken as a result of risk profile activity * evidence of multi-sectoral collaboration to provide data supporting the elaboration of risk profiles	B.1.1.5 B.1.2.3	
D.1.3.4	CAs collaborate to produce a risk categorization framework of FBOs	* food safety hazards have been identified in relation to specific FBOs' typologies/food sectors and ranked * different risk categories of FBOs have been defined based on food safety hazard ranking and other factors taken into account +	B.1.1.5 B.1.2.1 B.1.2.3 B.1.3.3 B.2.1.4 C.1.2.3 D.1.3.2	
D.1.3.5	Risk assessments are being conducted and they deliver scientifically defensible risk estimates (qualitative or semi-quantitative)	* meaningful outputs reached for each risk assessment component, even if only qualitative or semi-quantitative * CA's understanding of the steps recommended by Codex for risk assessment (hazard identification and characterization, exposure assessment and risk characterization) * documents on data gaps and the value of filling those gaps, as determined by impact that gaps have on the final risk conclusions * documents on the assumptions, constraints and uncertainty in the risk estimates and their impact on the risk assessment	D.1.2	

D.1.3 KNOWLEDGE AND USE BY CAs OF RISK ANALYSIS FRAMEWORK (2/2)

OVERALL OUTCOME: CAs appropriately refine the risk analysis framework to quantify food safety risks, and use the outputs to plan and cyclically refine their food safety official controls.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
D.1.3.6	Quantitative risk assessments are conducted	* government performs its own quantitative food safety risk assessments * quantitative risk assessment is performed according to internationally recommended standards (e.g. Codex)	D.1.2.3 D.1.2.6 D.1.2.7 D.1.2.8 D.1.3.2	• RISK ASSESSMENT/ CATEGORISATION PROCEDURES AND LISTS
D.1.3.7	Advanced techniques are applied to management of food safety risks	* documents on risk management decision-making using analytical approaches * use of advanced quantitative analytical tools such as multi-criteria/ multi-factor decision, cost-benefit, risk-benefit analysis * structured and transparent reports of analysis based on advanced quantitative analytical tools	D.1.3.2	
D.1.3.8	Risk assessments and risk management measures are periodically re-assessed and updated as necessary	* established practice of review for risk assessments and risk management in place * such reviews have resulted in alterations in risk communication and/or alterations in some aspect of official controls when necessary	B.1.1.5 B.2.1.6 D.1.2.5	
D.1.3.9	Units conducting risk assessment and risk management are functionally separated, and CAs and experts involved in risk assessment are not subject to conflict of interest	* evidence that risk assessment and risk management functions are independent of each other in organizational structure and in function * publicly available information on the identities, expertise and professional experience of the experts involved in risk assessment	A.3.3.5	

D.2.1 PERFORMANCE MONITORING OF CAs AND CONTINUOUS IMPROVEMENT

OVERALL OUTCOME: CAs implement an array of tools and approaches to regularly review and improve performance and ensure that relevant outcomes are achieved.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
D.2.1.1	Within CAs, there is organizational commitment to monitoring performance	* CAs demonstrate commitment to the monitoring and review function of the national food control system * CAs regularly assess effectiveness in achieving assigned objectives	A.1.1.1 A.1.1.2	• RISK ASSESSMENT / CATEGORISATION PROCEDURES AND LISTS
D.2.1.2	CAs' processes have specific outcomes that can be monitored and evaluated	* CAs define, measure and evaluate the outcomes of their activities * Outcomes are specific, measurable, attainable, relevant and time-bound and identified outcomes are connected through a logical chain		
D.2.1.3	CAs have created a monitoring plan supporting the measurement of performance	* a monitoring plan provides an overall framework for the data collection and analysis process for each indicator * monitoring plan defines sources of data, frequency of data collection and methods to ensure data quality and analysis * indicators have been established for each outcome and are un-ambiguous, transparent, easy to interpret and easy to monitor		
D.2.1.4	CAs implement a performance monitoring plan and use the data produced to improve processes and achievement of outcomes	* CAs monitor performance based on established outcomes thru collection of data and evidence and conduct performance review * CAs integrate performance data in the process of resource prioritization and budgeting * CAs identify best practices, gaps and other opportunities based on the performance results as a feedback loop and opportunity to learn		
D.2.1.5	CAs responsible for official controls for food safety have instigated internal audits of official control processes	* recent formal internal audit reports (including the notes of successful elements, and those elements which could be improved) * recommendation made		
D.2.1.6	CAs responsible for official controls for food safety have written policies to use external audit of business processes to improve public services and these policies are implemented	* policy document explains policy and extent to which external audit is to be used (i.e. which sections of the government or CAs will be audited for their performance in supporting food safety controls) * external audit reports to relevant standards (e.g. ISO 17020, 17025, 9001) that show performance/recommend improvements	A.2.3.7	

D.2.2 MECHANISM TO ENSURE CONSIDERATION OF NEWEST SCIENTIFIC AND TECHNICAL INFORMATION FOR FOOD CONTROL

OVERALL OUTCOME: The national food control system benefits from most recent scientific and technical knowledge to ensure relevance of overall outcomes.

AC CODE	ASSESSMENT CRITERIA (AC)	POSSIBLE INDICATORS	RELATED CRITERIA (CLICK SELECTED CRITERIA)	SOURCES OF EVIDENCE
D.2.2.1	Working links between the CAs and academia, institutes and expert groups, for generating relevant information for assessing and responding to food safety and fraud issues	* CAs having developed formal working relationships with the food safety research sector * evidence of exchanges of data for a food safety purpose * training courses for CA staff provided by university	D.1.1.3	• TECHNICAL REVIEWS OF FOOD CONTROL • REPORTS OF RESEARCH / ACADEMIC INSTITUTIONS IN FOOD CONTROL
D.2.2.2	CAs adopt foresight techniques to support a preventative approach to food control, early identification of emerging and critical issues and implementation of effective policies and decision-making	* Documentation shows application of foresight methodologies (e.g. horizon scanning, simulation modelling) to identify gaps within an organization's knowledge base; test policy assumptions; develop a research plan; inform future monitoring practices; assess vulnerability of a food system; and identify and understand emerging hazards * different data sources (e.g. scientific evidence, observations, experience, global trends, expert insights) is collected and used to support decisions and that different disciplines are considered * findings and results are translated into staff development and training events to keep staff updated and pro-active	A.2.1.9 A.3.2.3 B.2.3.3 C.2.2.1	

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WORLD HEALTH ORGANIZATION (WHO)
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CB4984EN/1/06.21