FAO/WHO food control system assessment tool

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Food Safety Systems
Committee on Stronger Food and Drug Regulatory Systems Abroad
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Increased Urbanization

70% global population will be urban by 2050

Growth of Megacities

De 7400 millones en 2015, la población alcanzará 8500 millones al 2030 y 9700 millones al 2050
Increasing demand for Natural Resources

De 7400 millones en 2015, la población alcanzará 8500 millones al 2030 y 9700 millones al 2050

OECD Science, Technology and Innovation Outlook, 2016
Increase in Agricultural Production by 2025

- +10% / 14% Cereals
- +16% Meat
- +23% Dairy products
- +17% Fish
- +22% Sugar
- +15% Ethanol
Consumption is growing rapidly in developing countries

Per caput consumption of major food items in developing countries – kg per caput per year (index numbers 1961=100)
Meat consumption (beef/pork/chicken/sheep, kg/cápita)

OECD-FAO Agricultural Outlook 2017

Global factors that impact on FS

- Creciente complejidad de tipos de alimentos y procedencia geográfica
- Intensificación e industrialización de la agricultura y la producción animal
- Cambios en las prácticas agrícolas y en el clima
- Cambios en las interacciones humano/animal con potencial para transmisión de enfermedades
- Volumen creciente de comercio internacional alimentario
- Cambios en los patrones de consumo de los alimentos y estilos de vida con impactos en las enfermedades crónicas no transmisibles (obesidad, diabetes, hipertensión)
- Mayores exigencias públicas de protección de la salud
- Nuevos métodos en la elaboración de alimentos (impresión 3-D, gastronomía molecular, procesos sous vide, y otros)
- Incremento de viajes y migración
- Cambios en la manipulación de alimentos
- Aumenta la resistencia antimicrobiana
- Sistemas más sofisticados de detección y gestión de peligros

FAO, 2007
Regional Context: Trends

Critical and emerging issues in the LAC region (2016)
Notificaciones por categorías de peligro (n = 3832)
RASFF, 2018
The food chain
Ensuring Safe Food: From Production to Consumption (NAP, 1998)

“The mission of an effective food safety system is to protect and improve the public health by ensuring that foods meet science-based safety standards through the integrated activities of the public and private sectors.”

- Monitoreo y vigilancia
- I+D
- Análisis de riesgos
- BP en producción de alimentos, procesamiento, manufactura, comercialización, transporte, preparación y manipulación
- Asistencia técnica
- Investigación en IA
- Información y transferencia de tecnología
- Educación al consumidor
A long involvement into capacity development for food control...

“National Food Control Systems play a pivotal role in protecting health of consumers and ensuring fair practices in trade” (CAC/GL 82-2013)

FAO and WHO support national governments and their competent authorities to improve their national food control systems

2003 FAO/WHO guidelines for food control system
integration of mandatory regulatory activities and non regulatory approaches

2006/07 FAO guides to assess capacity building needs for food control, WHO food safety system needs assessment tool (2014)

2013 Adoption by CAC of Codex Principles and Guidelines on National Food Control Systems (CAC/GL 82-2013)

2017 Presentation to CAC at Step 5/8 Principles and guidelines for monitoring the performance of national food control systems
Process to develop the tool

- Review of other tools: e.g. PVS, PCE, IICA, IHR, CTF2
- Pilots: 2 subsequent versions
- Where are we now?
- Use of the tool: self assessment, facilitated assessments (FAO and/or WHO)

CAC/GL 82-2013 is the “mother” text – but also other Codex guidance (risk analysis, import/export...)

Revolves around:
- the notion of Competent Authorities (CAs)
- Continuous improvement
FAO/WHO food control system assessment tool

Foundations for our tool:

- Are system resources adequate?
- How does the system interact with stakeholders?
- Does the system facilitate continuous improvement?
- How do the controls function?
FAO/WHO tool to assess NFCS

Tool structure

Structure

- Dimensions (4)
- Sub-Dimensions
- Competencies

Assessment criteria
- Guidance
- Possible outcomes
- Possible indicators
- Sources of evidence

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Are System resources adequate?

Inputs and resources

Competencies
- Policy and legal drafting process
- Institutional framework
- Elements for food control legislation
- Financial resources
- Infrastructure and equipment
- Analytical resources
- Qualification of personnel
- Training of personnel
- Staff management and motivation
How do the controls function?

 Competencies

- Domestic controls
- Import controls
- Export controls
- Food monitoring and surveillance programmes
- Food-borne diseases surveillance (Public Health)
- Management of food safety emergencies

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How does the system interact with stakeholders?

Competencies

- Relationships between competent authorities and private sector regarding training needs
- Information flows and integration of food business operators into risk management
- Communication flows and involvement with consumers
- Interactions among competent authorities at international level
- Engagement of competent authorities with international organizations

Questions:

- Are system resources adequate?
- How does the system interact with stakeholders?
- Does the system facilitate continuous improvement?
- How do the controls function?
Does the system facilitate continuous improvement?

**Competencies**

- Access of competent authorities to updated scientific and technical information
- Capacity to collect and analyse data for risk analysis purposes
- Knowledge and use by competent authorities of risk analysis framework
- Performance monitoring of competent authorities and continuous improvement
- Consideration of newest scientific and technical information for food control

Science/knowledge base and continuous improvement

- Are system resources adequate?
- How does the system interact with stakeholders?
- Does the system facilitate continuous improvement?
- How do the controls function?
Competencies are measured through **Assessment Criteria**

**Assessment criteria**

- **C.2.2.1.** The country is an active member of Codex and other relevant international organizations in food safety and quality
- **C.2.2.2.** An inclusive and transparent consultation mechanism is in place of Codex related matters
- **C.2.2.3.** The country provides Codex and its relevant scientific advice bodies with relevant scientific or technical information
- **C.2.2.4.** Codex standard & other relevant guidance is appropriately used at national level
Measuring each **competency**

**C.2.2. Engagement of CAs into international organisations**

**Overall outcome:** CAs are actively engaged in IOs to inform and benefit from international expertise.

**C.2.2.1. ASSESSMENT CRITERIA:** The country is an active member of Codex and other relevant IOs with mandates in food safety and quality.

**Guidance:** The engagement of the country into the international food control governance can happen (i) through its membership to relevant IOs (such as Codex Alimentarius Commission, FAO, WHO, WTO, OIE...), and also (ii) by active service through its CAs and its experts on the committees which decide on technical issues of food control and best approaches to challenges.

Membership in the Codex Alimentarius Commission requires the nomination of a Codex Contact Point (CCP) and its TORs are provided in the Codex procedural manual (see section on “Core functions of Codex contact points”, including dissemination of documents, managing official communication on Codex matters). Nonetheless, it is recognized that operations of CCP will differ for each country depending on the legislation, government structure and practices.

**Possible outcome:** The country has the opportunity and channels to influence international food safety and quality governance.

**Possible indicators:**
- Country membership in International Organizations which have mandates in food safety and food quality or consumer protection (WHO/FAO/Codex Alimentarius/ WTO/ OIE);
- Instances of national officers or experts contributing to relevant committees of IOs;
- Designated Codex Contact Point (CCP);
- Clearly defined responsibilities;
- Documented procedures of work which are supporting and complementary of Codex processes.

**Sources of evidence:**
- Terms of reference for CCP;
- Records of communications sent by CCP to CAs;
- Records of communication of CCP to CAC Secretariat;
- Interviews with CCP;
- Interviews with other CAs participating in Codex work and recipient of Codex services.

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Measuring each competency

- For each assessment criterion, information collected and provided by each CA: evidence based assessment
- Each assessment criterion gets an achievement score (not/partially/fully)
- Sum of scores, percentage of relative achievement, and indicators, for each competency at system level (across all CAs)
- No aggregation of scores at dimension or system level, no comparison among CAs!
Outputs of a facilitated assessment process

- Assessment report;
- Strategic analysis of findings;
- Support to programme approach (logical frameworks/roadmaps)
Objectives of the assessment

The use of the FAO/WHO food control system assessment tool supports national governments in measuring the performance of their FCS in a systematic way – based on CAC/GL 82-2013

- **Measure performance** on key competencies, thus providing a **baseline** to record improvements around a set of self defined **indicators**

- **Identify priorities** for short-, medium- and long-term action plans based on a strategic analysis of the performance measurements and provides a basis for **communication with decision makers**

- In so doing, improve Competent Authorities’ understanding:
  - Of the **different competencies** essential for a modern, efficient and sustainable food control system
  - Of the necessity of **efficient collaboration** and information sharing mechanisms
  - Of the value of a **risk based approach** to set up priorities and optimize the use of resources
All stakeholders involved in FCS along the entire food chain need to get engaged.

CAs primary respondents; division of roles and responsibilities are different in every country; central/decentralized levels.

Also need to reach out to other stakeholders to gather secondary information.
Contribution of FAO/WHO tool to continuous improvement

Introduces CAs to a self critical and periodic reflexion on how they perform their mandates, and how these are integrated at system level.

FAO/WHO Assessment (of NFCS)
Assesses the specific competencies
Ratings are not provided at the CAs level but at system level.
Assessment of NFCS
Ownership and Confidentiality of Results

The NFCS should be regularly assessed (external assessment or self-review) against the objectives of the system, based on the information owned by the CAs. As a result, the NFCS should be reviewed to integrate improvements at policy, legal, operational levels.

The quality of assessment results depends on the collaborative attitude of CAs for a collective sharing and reporting of evidence.

When facilitating assessments, FAO and WHO will not publicly disclose the assessment reports nor communicate about it without Government agreement.
Overall process to assess NFCS (facilitated assessment by FAO and/or WHO)

**Preliminary Information gathering**
- Preparation of a draft country profile to provide more contexts to the assessment mission
- Initial sensitization of competent authorities in preparation for introductory workshop
- Training workshop/methodology
- Information collection by focal points in national authorities

**Formal assessment**
- Preparatory work by international team and review of preliminary information and evidence sent by national authorities
- Assessment mission of the international team to undertake fact finding field visits
- Preparation of mission report

**Strategic analysis**
- Mission to discuss findings, ratings and recommendations with the government, elaboration of a strategic analysis and
- As relevant to the national context and specific objectives for the assessment, support preparation of related documents (e.g. logframe)
Using the results of the assessment

- Use **scores to measure performance** but also monitor **progress over time**: step towards monitoring performance
- Need to be placed in **context**: strategic analysis of assessment results – define **specific objectives**
- Tool supports **identification of priorities** and communication with decision makers
- **Integrated vision** of capacity development activities
Value of this approach

• Participatory approach: you learn while getting a neutral external and integrated feedback

• Commitment: Work intensive process, that heavily relies on country data, even when facilitated by FAO or WHO.

• Anchored on Codex principles and internationally recognized good practices

• Facilitates implementation of Codex principles in food control activities by Competent Authorities
Thank you!