3. Licensing and/or registration of blood establishments

Applicable to blood and blood components including plasma for fractionation

Main criteria related to the function	Rating*		Indicators related to the main criteria
	Main criteria	Indicator	
3.6. Assessment of compliance with standards regarding donor selection criteria and testing of donations is part of the establishment licensing and/or registration process (alternatively this requirement can be met under Core function 5).	R	R	3.6.1. Compliance with national standards is a condition for maintaining an establishment licence.
		R	3.6.2. National standards are published and are consistent with or based on recognized standards for blood and blood components.
		R	3.6.3. Inspections are carried out for checking compliance with these national standards.
		R	3.6.4. Defined procedures are in place for taking action in instances of any nonconformity.

* R=required; S=suggested

4. Licensing and/or registration of manufacturers and distributors of plasma-derived medicinal products

Applicable to plasma-derived medicinal products

Main criteria related to the function	Rating*		Indicators related to the main criteria	
	Main criteria	Indicator		
4.1. Legislative authority exists to require registration and/or licensing of manufacturers and distributors of plasma-derived products, and for enforcement power.	R	R	4.1.1.	Legislation and/or regulation exist that require manufacturers and distributors of plasma-derived products that intend to manufacture, distribute, import or export plasma-derived products to be registered and/or licensed by the designated NRA.
		R	4.1.2.	The NRA has authority to take regulatory action (e.g. revoke, suspend the licence) if the company does not comply with regulatory requirements.
4.2. A licensing and/or registration system is established and operational for manufacturers and distributors of plasma-derived products.	R	R	4.2.1.	Activities that are decentralized or delegated to other agencies or authorities follow the standards, guidelines and procedures as agreed by the central regulatory authority, and a reporting mechanism is established between the responsible authorities.
		R	4.2.2.	Required registration and/or licence applications are assessed by the NRA based on written guidelines.
		R	4.2.3.	A list of all licensed and/or registered manufacturers and distributors is maintained and made available where needed.
		R	4.2.4.	Advice for applicants is available on the content, format, requirements (depending on the activities) and procedures to follow in order to submit a required registration and/or application for an establishment licence.
		S	4.2.5.	Facility documentation (e.g. site master file, key personnel, qualification of a responsible person) is submitted as part of a required registration and/or application for an establishment licence and is assessed to demonstrate that the facility is suitable for the activities to be performed.
		S	4.2.6.	Renewal periods for an establishment licence and/or registration are defined and consistent with mechanisms of surveillance.

4. Licensing and/or registration of manufacturers and distributors of plasma-derived medicinal products

Applicable to plasma-derived medicinal products

Main criteria related to the function	Rating*		Indicators related to the main criteria
	Main criteria	Indicator	
4.3. Significant changes to an establishment licence and/or registration are submitted and assessed by the NRA prior to implementation.	R	R	4.3.1. Changes are assessed based on the type of change.
		S	4.3.2. Written guidelines for applicants are available that define the types and scopes of changes and documentation required.
4.4. Compliance with principles of GMP and GDP is assessed as part of the establishment licensing and/or registration process.	R	R	4.4.1. Compliance with applicable principles of GMP and GDP is a condition for maintaining an establishment licence and/or registration and for approval of significant changes.
		R	4.4.2. National GMP and GDP standards are published and are consistent with or based on recognized standards for the manufacturing and distribution of plasma-derived products.
		R	4.4.3. Periodic inspections according to GMP and GDP principles are carried out for supervision of manufacturers and distributors of plasma-derived products. For inspections carried out abroad: a. there is an agreement with other NRAs for exchange of inspection reports and/or certificates; or b. a list of reference countries and/or agencies whose certificates and decisions are accepted exist; or c. site inspections are carried out abroad.
4.5. QMS requirements are established for all functions performed by manufacturers and distributors.	R	R	4.5.1. The essential components for a QMS are covered.

* R=required; S=suggested

5. Approval of blood and blood components (product and/or process approval)

Applicable to blood and blood components including plasma for fractionation

Main criteria related to the function	Rating*		Indicators related to the main criteria	
	Main criteria	Indicator		
5.1. Legal provisions exist for a system to ensure quality, safety and efficacy of blood and blood components.	R	R	5.1.1.	An approval system is required that includes any imported products.
		R	5.1.2.	The NRA has the authority to issue an approval, to suspend it and to withdraw it if the product is considered unsafe or does not comply with regulatory requirements.
5.2. A system for ensuring quality, safety and efficacy of blood and blood components is established and operational.	R	R	5.2.1.	The capability exists to perform science-based risk assessments and risk management.
		R	5.2.2.	Specifications related to quality, safety and efficacy of blood and blood components are defined and under the supervision of the NRA.
		R	5.2.3.	The critical standards for product manufacturing are legally binding and include donor selection, laboratory testing, component preparation, storage, issuance, tracking, tracing, record keeping, and safe disposal of units not meeting specifications for use in transfusion.
		S	5.2.4.	Procedures to recognize exceptions are clearly defined (e.g. if collected by a medical practitioner for a specific therapeutic purpose).
		S	5.2.5.	Requirements and standards are based on internationally recognized standards.
		R	5.2.6.	Plasma for fractionation meets internationally recognized standards.
5.3. Donor selection and deferral criteria are established as appropriate to the intended use of the component.	R	R	5.3.1.	Donor selection and deferral criteria (temporary and permanent deferrals) take into account the health of the donor and the safety and suitability of the donation consistent with current science.
		R	5.3.2.	Mechanisms for regularly reviewing and updating the donor selection and deferral criteria are in place and take into consideration the development of issues that might have a negative impact on the quality and safety of blood and blood components, e.g. epidemiological situation or emerging diseases.

5. Approval of blood and blood components (product and/or process approval)

Applicable to blood and blood components including plasma for fractionation

Main criteria related to the function	Rating*		Indicators related to the main criteria
	Main criteria	Indicator	
5.4. Transmissible-disease testing requirements are established as appropriate to the intended use of the component.	R	R	5.4.1. Mechanisms for regularly reviewing (e.g. by qualified experts in epidemiology) and updating the testing requirements are in place.
		R	5.4.2. Epidemiological data regarding the prevalence and incidence of infectious disease markers in blood donors are available and regularly updated.
5.5. Labelling requirements are established.	R	R	5.5.1. Each blood component has a unique and clear identifier and is fully traceable.
		R	5.5.2. Original labelling and significant amendments are submitted to the NRA and assessed prior to implementation.
		S	5.5.3. Product labelling includes information on the risks and benefits of product use.
		S	5.5.4. Requirements are based on internationally recognized standards.
5.6. An approval system for blood and blood components is operational.	R	R	5.6.1. Assessment exists that includes relevant aspects of quality, safety and where applicable efficacy of blood and blood components.
		S	5.6.2. Guidelines for applicants exist on the content, format and procedures to follow in order to submit an application for approval.
		S	5.6.3. Written guidelines for assessment of applications are implemented.
		S	5.6.4. Appeal procedures are in place.
		S	5.6.5. An assessment report is prepared and used as a reference for decision.
5.7. There is a requirement for manufacturing changes to be submitted and assessed by the regulatory authority.	S	S	5.7.1. Written guidelines for applicants are available that define the types and scopes of changes and documentation required.
		S	5.7.2. Written guidelines for assessment exist based on the type of change (e.g. significant, notifiable, administrative).
5.8. Appropriate assessment expertise is available.	R	R	5.8.1. Access to experts with relevant qualifications and experience (internal and/or external) is assured for assessment of blood and blood components (preclinical, clinical and quality data).
		S	5.8.2. Written procedures for selection, management, and use of external experts are in place.

* R=required; S=suggested

6. Approval of plasma-derived medicinal products

Applicable to plasma-derived medicinal products

Main criteria related to the function	Rating*		Indicators related to the main criteria
	Main criteria	Indicator	
6.1. Legal provision for a marketing approval system exists to ensure the quality, safety and efficacy of plasma-derived products.	R	R	6.1.1. Marketing approval is required for plasma-derived products, including imported products.
		R	6.1.2. The NRA has the authority to issue marketing approval for plasma-derived products, to suspend an approval and to withdraw it if the product is considered unsafe or does not comply with regulatory requirements.
6.2. A marketing approval system for plasma-derived products is established and operational.	R	R	6.2.1. The capability exists to perform science-based risk assessments and risk management.
		R	6.2.2. There is a requirement for the applicant to include a list of all the blood establishments that collected the plasma used in the product.
		R	6.2.3. Specifications related to the quality and safety of plasma for fractionation are defined and under the supervision of the NRA.
		R	6.2.4. Selection, deferral and transmissible-disease testing requirements for plasma donors are established (see Criteria 5.3 and 5.4).
		R	6.2.5. Advice for applicants is available on the content, format and procedures to follow in order to submit an application for market authorization.
		S	6.2.6. Appeal procedures are in place.
		S	6.2.7. The national control laboratory (NCL) is involved in assessment as appropriate.
		S	6.2.8. Written procedures for selection, management, and use of external experts are available.

6. Approval of plasma-derived medicinal products

Applicable to plasma-derived medicinal products

Main criteria related to the function	Rating*		Indicators related to the main criteria
	Main criteria	Indicator	
6.3. Assessment of applications for market authorization is implemented.	R	R	6.3.1. Assessment of quality, safety and efficacy of plasma-derived products is performed, including assessment of the effectiveness of measures used by manufacturers to inactivate and/or remove transmissible pathogens.
		R	6.3.2. Procedures to recognize exceptions are clearly defined.
		S	6.3.3. Assessment reports are prepared and used as a reference for decision-making.
		S	6.3.4. Written criteria exist for recognition of other NRA's reports and/or decisions (if applicable).
		S	6.3.5. Written guidelines for assessment of applications are available.
6.4. There is a requirement for changes to be submitted and assessed by the regulatory authority prior to implementation.	R	R	6.4.1. Changes are assessed based on the type of change.
		S	6.4.2. Written guidelines for applicants are available that define the types and scopes of changes and documentation required.
		S	6.4.3. Written guidelines for assessment are available based on the type of change.
6.5. Appropriate assessment expertise exists.	R	R	6.5.1. Access to experts (internal and/or external) for assessment of plasma-derived products (preclinical, clinical and quality data) is assured, and lists exist of staff and/or experts with relevant qualifications and experience.
6.6. Clear and comprehensive information on authorized plasma-derived products is available.	R	R	6.6.1. The product information made available is approved.
		R	6.6.2. A summary of product characteristics (SPC) or equivalent information is available for all plasma-derived products.
		S	6.6.3. SPC-like information is regularly updated and publicly available.
6.7. A list of authorized products exists.	R	R	6.7.1. A list of authorized products is made available where needed.
		S	6.7.2. A list of authorized products is publicly available.

* R=required; S=suggested

7. Regulatory oversight of associated substances and medical devices including in vitro diagnostics

Applicable to associated substances and medical devices including in vitro diagnostics

Main criteria related to the function	Rating*		Indicators related to the main criteria	
	Main criteria	Indicator		
7.1. Legal provisions exist for regulatory oversight of the relevant associated substances and medical devices.	R	R	7.1.1.	Premarket review and approval is required for in vitro diagnostics and screening test kits used for donor selection, testing of blood and blood components for therapeutic use, and/or for further manufacturing of plasma-derived products (e.g. tests for donor haemoglobin, tests for infectious disease markers).
		R	7.1.2.	Premarket review and approval is required for medical devices involved in the manufacture of blood components (e.g. apheresis machines).
		R	7.1.3.	Premarket review and approval is required for associated substances (e.g. anticoagulants, additive solutions).
		R	7.1.4.	The NRA has the enforcement power to investigate and act against marketed products and involved companies that do not comply with the requirements.
7.2. Systems for premarket review and approval of associated substances and relevant medical devices are established and operational.	R	R	7.2.1.	The capability exists to perform science-based risk assessments and risk management.
		R	7.2.2.	Premarket review includes an assessment of quality, safety and effectiveness.
		R	7.2.3.	Advice for applicants on content (data requirements), format, and procedures for submitting an application exists.
		R	7.2.4.	If decentralized, roles and responsibilities of the bodies involved are defined and there is a mechanism for information exchange between the control authority and the NRA.
		S	7.2.5.	Written guidelines for product assessments exist.
7.3. Appropriate assessment expertise is available.	R	R	7.3.1.	Access to experts with relevant qualifications and experience (internal and/or external) for assessment of blood and blood components (preclinical, clinical and quality data) is established.
		S	7.3.2.	Written procedures for selection, management and use of external experts are in place.

* R=required; S=suggested

8. Access to a laboratory independent of manufacturers

Applicable to blood, blood components, plasma-derived medicinal products, associated substances, and medical devices including in vitro diagnostics

Main criteria related to the function	Rating*		Indicators related to the main criteria
	Main criteria	Indicator	
8.1. Access by the NRA to a national control laboratory (NCL) independent of the manufacturer(s) is established.	R	R	8.1.1. Policy and operational agreements are in place for use of any external control laboratories.
		R	8.1.2. Adequate testing plans, testing procedures and related documentation are available.
		R	8.1.3. Responsibilities for testing in the pre-licensing and post-licensure period are clearly defined.
		S	8.1.4. The NCL is involved in defining the specifications and analytical methods during assessment of marketing authorizations.
8.2. Appropriate organization and financial support from management ensure the implementation of adequate testing programmes (including documentation) using appropriate equipment, and qualified and experienced staff.	R	R	8.2.1. Written testing procedures and related documentation are in place.
		R	8.2.2. A re-test policy is established.
		R	8.2.3. A strategy for the introduction and validation of new or improved tests exists.
		R	8.2.4. Reporting and issuance to the NRA of all critical results including out of specifications handling is implemented.
		S	8.2.5. Document control is established.
		S	8.2.6. SOPs, test procedures, sample handling and data management are organized.
8.3. An externally accredited quality management system (QMS) is in place in the laboratory.	S	S	8.3.1. A quality policy and quality manual exist.
		S	8.3.2. A qualified quality manager is designated and a QMS is in operation.

8. Access to a laboratory independent of manufacturers

Applicable to blood, blood components, plasma-derived medicinal products, associated substances, and medical devices including in vitro diagnostics

Main criteria related to the function	Rating*		Indicators related to the main criteria
	Main criteria	Indicator	
8.4. Equipment documentation is in place.	R	R	8.4.1. Calibration and maintenance schedules are available.
		R	8.4.2. Validation protocols are available.
		S	8.4.3. Equipment selection processes are documented and unique equipment identification (ID) is in place.
		S	8.4.4. Commissioning records (i.e. installation and qualification) are available.
		S	8.4.5. Operation manuals and logs exist.
8.5. Human resource management is implemented.	R	R	8.5.1. Qualified and experienced staff members with defined responsibilities and competencies are available.
		S	8.5.2. A staff training plan is developed and implemented.
		S	8.5.3. The impact of staff training is monitored.
8.6. An audit and review system exists.	S	S	8.6.1. Comprehensive internal audit and review systems are in place.
		S	8.6.2. Documentation of actions taken as a result of audits is available.
		S	8.6.3. The laboratory is audited by external organizations.
8.7. A validation policy for the introduction of tests is implemented.	R	R	8.7.1. A validation programme for non-compendial tests is available.
		R	8.7.2. Procedures exist for transfers of validated methods (i.e. between the manufacturer and the regulator).
8.8. A general safety programme exists.	R	R	8.8.1. Lists of hazardous substances are available.
		R	8.8.2. Responsible staff members are designated.
		S	8.8.3. A full safety programme exists.

8. Access to a laboratory independent of manufacturers

Applicable to blood, blood components, plasma-derived medicinal products, associated substances, and medical devices including in vitro diagnostics

Main criteria related to the function	Rating*		Indicators related to the main criteria
	Main criteria	Indicator	
8.9. A policy for use of reference standards and reagents exists.	R	R	8.9.1. Access to a catalogue (list, specifications and sources) and regular supply system for standards and reference materials is implemented.
		R	8.9.2. Appropriate use of reference materials is ensured.
		R	8.9.3. Use of reagents of assured quality (e.g. grades) is ensured.
		S	8.9.4. A system is in place to establish and qualify national reference standards in international units (IUs).
8.10. Data trends are monitored and analysed.	R	R	8.10.1. Results of reference materials are monitored.
		R	8.10.2. Results are compared with those of the manufacturer.
		S	8.10.3. Laboratory results are monitored and trends are assessed.
8.11. Participation in international proficiency schemes and collaborative studies is organized.	S	S	8.11.1. Regular participation (date of last participation, scope, product(s), coordinating institution) is organized.
8.12. Regulatory outcome of testing is analysed and used as a basis for decision-making.	R	R	8.12.1. Compliance with authorized specifications is checked.
		R	8.12.2. Results are compared with those of the manufacturer.
		R	8.12.3. Corrective action is initiated in case of non-compliance.

* R=required; S=suggested

9. Control of clinical trials

Applicable to blood, blood components, plasma-derived medicinal products, associated substances, and medical devices including in vitro diagnostics

Main criteria related to the function	Rating*		Indicators related to the main criteria
	Main criteria	Indicator	
9.1. Applicable legal provision for the regulation of biomedical research in human subjects exists.	R	R	9.1.1. An authorization system for clinical trials is required.
		R	9.1.2. The scope and requirements for regulation of clinical trials are defined.
		R	9.1.3. The NRA has the enforcement power for the authorization, suspension and withdrawal of clinical trials.
		R	9.1.4. Legal provisions are in place to assure an ethical oversight of clinical trials.
		R	9.1.5. Compliance with principles of good clinical practice (GCP) is mandatory.
9.2. A system for authorization of clinical trials is operational.	R	R	9.2.1. A system is established for clinical trial assessment and authorization.
		R	9.2.2. An inspection system is established to verify compliance with the principles of GCP.
		R	9.2.3. Expertise is available from within or outside the NRA.
		S	9.2.4. Written guidelines for assessment of clinical trials and changes are implemented.
		S	9.2.5. Written guidelines and forms on the data requirements, the format and procedures for submitting a clinical trial application are available to sponsors.
		S	9.2.6. Provision for scientific advice (e.g. preclinical and clinical) on the design of clinical trials or issues related to the submission of appropriate data is in place.
		S	9.2.7. There are written guidelines for GCP.

9. Control of clinical trials

Applicable to blood, blood components, plasma-derived medicinal products, associated substances, and medical devices including in vitro diagnostics

Main criteria related to the function	Rating*		Indicators related to the main criteria
	Main criteria	Indicator	
9.3. Data requirements for clinical trial applications are defined.	R	R	9.3.1. Production and quality control of the clinical candidate material (e.g. product characterization, laboratory specimens) are included.
		R	9.3.2. Provision for preclinical data exists.
		R	9.3.3. Assessment of the clinical trial protocol with respect to patient safety and informed consent is performed.
9.4. Assurance of ethical oversight exists.	R	R	9.4.1. A system of independent ethical review and approval exists in accordance with the principles of GCP.
		S	9.4.2. Ethics committees (e.g. the Institutional Review Board) are formally defined, including their composition.
		S	9.4.3. The ethics committees include members external to the concerned institution.
		S	9.4.4. The roles and duties of ethics committees to oversee clinical trials are outlined.

* R=required; S=suggested

10. System for lot release of plasma-derived medicinal products

Applicable to plasma-derived medicinal products and donor screening tests

Main criteria related to the function	Rating*		Indicators related to the main criteria	
	Main criteria	Indicator		
10.1. Legal provisions for official lot release certification are in place.	R	R	10.1.1.	The NRA has the authority to issue lot release certificates and the enforcement power to suspend or revoke lot release.
		R	10.1.2.	The NRA has the legal authority to perform lot release and/or have in place a policy and criteria for acceptance of lot release performed by another NRA (e.g. a lot release certificate from the country of origin).
		S	10.1.3.	Written criteria for exemption from lot release exist.
10.2. A lot release system is established and operational.	R	R	10.2.1.	Lot release protocols and procedures are established and/or acceptance of lot release performed by another NRA is in place.
		R	10.2.2.	Lot release is based at a minimum on review of summary lot-specific data.
		R	10.2.3.	Qualified staff members (i.e. staff with relevant qualifications, training and experience) are available to perform lot release.
		R	10.2.4.	Testing policy and test protocols including acceptance criteria are defined.
		R	10.2.5.	Records on lot release are maintained.
		R	10.2.6.	Procedures for communication with the product manufacturer are defined.
		R	10.2.7.	Written procedures and guidelines (including templates of certificates), checklists, and/or SOPs are developed and used to review summary lot protocols and are implemented for the lot release process.
		S	10.2.8.	Testing procedures are externally accredited.

10. System for lot release of plasma-derived medicinal products

Applicable to plasma-derived medicinal products and donor screening tests

Main criteria related to the function	Rating*		Indicators related to the main criteria
	Main criteria	Indicator	
10.3. A quality management system for official lot release is implemented.	R	R	10.3.1. The laboratory that performs lot release within or for the NRA complies with Core function 8.
		S	10.3.2. Appropriate data collection and analysis (e.g. lot-to-lot consistency, trend analysis) is implemented.
		S	10.3.3. Continual review and scientific dialogue exist with the manufacturers and product review experts on issues of quality test results.
10.4. Access to product-related documentation to guide particular areas of scrutiny in lot release is possible.	R	R	10.4.1. Approved relevant marketing authorization and its updates are available.
		R	10.4.2. Access to complaints and adverse event (AE) reports is possible.
		R	10.4.3. Access to the manufacturer's batch records is possible.
		R	10.4.4. Access to inspection reports is possible.

* R=required; S=suggested

11. Regulatory inspections and enforcement activities

Applicable to blood, blood components, plasma-derived medicinal products, associated substances, and medical devices including in vitro diagnostics

Main criteria related to the function	Rating*		Indicators related to the main criteria	
	Main criteria	Indicator		
11.1. Legal provision exists to inspect premises where regulated activities are performed in order to assess and enforce compliance with the applicable laws, regulations and standards.	R	R	11.1.1.	A mandate exists for inspections by the NRA and enforcement of compliance with principles of GMP, GDP and other standards.
		R	11.1.2.	Applicable standards and practices are defined in legal provisions.
		R	11.1.3.	The NRA has the authority to take enforcement action against the accountable companies or persons that are not in compliance.
		R	11.1.4.	The NRA has the authority to sample products, manufacturing materials and records if necessary.
		R	11.1.5.	The NRA has the authority to recall products.
		R	11.1.6.	Provisions exist for conflict of interest and confidentiality.
11.2. Inspection and enforcement systems are established and operational.	R	R	11.2.1.	Established policies and programmes exist for conducting inspections of all regulated activities.
		R	11.2.2.	An inspection plan exists with adequate human and financial resources for conducting inspections at appropriate intervals.
		R	11.2.3.	The NRA maintains files of each inspection, including the inspection report and final decisions taken.
		R	11.2.4.	There is an established process for appropriate regulatory action to address inspectional findings (e.g. recall of products, amended licences).
		R	11.2.5.	If the mechanism is adopted, provisions exist for acceptance of external inspectorates according to internationally recognized standards.

11. Regulatory inspections and enforcement activities

Applicable to blood, blood components, plasma-derived medicinal products, associated substances, and medical devices including in vitro diagnostics

Main criteria related to the function	Rating*		Indicators related to the main criteria
	Main criteria	Indicator	
11.3. Inspectors with appropriate expertise and qualifications are available.	R	R	11.3.1. Inspectors have the appropriate expertise and training to conduct inspections of blood establishments, and manufacturers and distributors of plasma-derived products.
		R	11.3.2. Training of inspectors includes specific aspects related to the activities of relevant establishments.
		S	11.3.3. Use of a team approach is possible in order to include specialized knowledge and expertise in specific products where needed.
11.4. A quality management system is implemented that is consistent with international principles for pharmaceutical and related inspectorates.	R	R	11.4.1. Written procedures exist for conducting inspections (inspection manual) and following-up on deficiencies and/or violations.
		S	11.4.2. An established procedure (e.g. periodic internal and external audits) exists to monitor the inspection process.
		S	11.4.3. Monitoring of timelines and indicated actions is implemented.
11.5. A recall system exists with mechanisms to ensure the proper disposition of blood, blood components, plasma-derived products, associated substances, and medical devices including in vitro diagnostics.	R	R	11.5.1. Policy and procedures for a recall system including product disposition exist.
		R	11.5.2. The recall system is based on defined action and documented communication to the appropriate level of the distribution system.
		R	11.5.3. A feedback mechanism exists to confirm that appropriate action (including destruction when necessary) has been taken at all appropriate levels.
		R	11.5.4. Full lot traceability is in place.

* R=required; S=suggested

12. Vigilance systems

Applicable to blood, blood components, plasma-derived medicinal products, associated substances, and medical devices including in vitro diagnostics

Main criteria related to the function	Rating*		Indicators related to the main criteria
	Main criteria	Indicator	
12.1. Legal provisions for a national vigilance system exist.	R	R	12.1.1. The NRA has a legal mandate and enforcement power for mandatory reporting elements of the national vigilance system.
		R	12.1.2. The NRA has the authority to specify reporting of adverse events (AEs) and adverse reactions (ARs) within the national vigilance system.
		R	12.1.3. Authority exists to require the marketing authorization holder to perform a specific study of safety and/or effectiveness in the post-marketing period.
12.2. National vigilance systems for the monitoring and management of AE and AR are established and operational.	R	R	12.2.1. Roles and responsibilities of the key parties, the NRA, and surveillance staff involved in AE and AR monitoring and management activities are clearly defined and documented.
		R	12.2.2. Guidelines exist and are published and accessible (i.e. distributed or available when needed) to all staff involved in AE and AR surveillance.
		S	12.2.3. Guidelines include the following: a. objectives of the system; b. a list of AEs and ARs to be reported; c. case definitions for all AEs and ARs to be reported; d. information on how to report AEs and ARs for all blood, blood components, plasma-derived products, associated substances, and medical devices including in vitro diagnostics (i.e. who should report, how, where and when reports should be sent); e. the process for analysing data and providing feedback to relevant staff and key parties; f. the process for investigating and responding to serious AEs and ARs (including who should be in charge of the investigation); g. the process for informing patients, parents, the community and country (where relevant) of the findings of an investigation and relevant actions.
		S	12.2.4. A standardized reporting form exists with comprehensive information to monitor AEs and ARs.
		S	12.2.5. A system is established for providing periodic feedback on AEs and ARs, including summary and specific investigation reports from the national to all levels (including health facility level).

12. Vigilance systems

Applicable to blood, blood components, plasma-derived medicinal products, associated substances, and medical devices including in vitro diagnostics

Main criteria related to the function	Rating*		Indicators related to the main criteria
	Main criteria	Indicator	
12.3. Guidance on AE and AR monitoring and management is provided to appropriate staff.	S	S	12.3.1. Guidelines and templates on AE and AR reporting and monitoring are provided to appropriate staff dealing with AE and AR.
12.4. There is demonstrated capacity to detect, investigate and take action regarding significant AEs and ARs.	R	R	12.4.1. The NRA is regularly informed of data relevant to the quality and safety of blood products including: a. blood transfusion safety; b. transmissible disease surveillance data; c. device failures.
		R	12.4.2. Manufacturers are required to inform the NRA of any new safety issues or marketing and/or regulatory decisions taken in other countries.
		R	12.4.3. Procedures for initiating corrective and/or regulatory action (e.g. recall) are available.
		R	12.4.4. There is documented capacity to investigate AEs and ARs, for example: a. routine reporting of AEs and ARs according to established guidelines and /or SOPs; b. a clear understanding and adequate training among key parties of respective roles and responsibilities; c. access to resources (personnel, laboratory) to conduct comprehensive investigations.
		R	12.4.5. Case investigations are timely and complete, for example: a. timelines are established for prompt investigation and preliminary reporting related to serious adverse reactions; b. investigation is thorough and findings are clearly described.
		S	12.4.6. There is a demonstrated reporting system (active or passive, sentinel or universal) with satisfactory sensitivity, for example: a. annual number of reports; b. reporting rate; c. breakdown of reports by types of AE, age group, districts etc.

* R=required; S=suggested

13. Ensuring traceability and record keeping by manufacturers for all regulated products

Applicable to blood, blood components, plasma-derived medicinal products, associated substances, and medical devices including in vitro diagnostics

Main criteria related to the function	Rating*		Indicators related to the main criteria	
	Main criteria	Indicator		
13.1. The NRA ensures that standards for traceability and record keeping are in place for all aspects of manufacturing and distribution.	R	R	13.1.1.	A requirement exists for manufacturers to implement methods and maintain records that enable traceability, including: a. for manufacturers of blood products, traceability from donor to recipient and vice versa; b. ensuring the integrity of manufacturing records and completeness of distribution records.
		R	13.1.2.	Procedures for record keeping and retention periods defined by the NRA are available.

* R=required; S=suggested

14. International cooperation

Applicable to blood, blood components, plasma-derived medicinal products, associated substances, and medical devices including in vitro diagnostics

Main criteria related to the function	Rating*		Indicators related to the main criteria	
	Main criteria	Indicator		
14.1. A national policy to facilitate international cooperation and harmonization is implemented.	S	S	14.1.1.	A national policy and/or strategy on international interactions exist, e.g. information sharing on product approvals, safety data and policy initiatives.
		S	14.1.2.	Agreements exist between the NRA and other international organizations and regulatory authorities.
		S	14.1.3.	The NRA participates in international harmonization initiatives and forums.
14.2. Sharing of risk information with international organizations and other regulatory authorities is implemented.	R	R	14.2.1.	Ability is shown by the NRA to participate in international risk management efforts when needed.
		S	14.2.2.	The NRA has the ability to engage in international risk assessment when needed, e.g. access to epidemiological data, expertise in risk assessment.
		S	14.2.3.	The capacity or expertise to access epidemiological data and formally assess risks is available.
		S	14.2.4.	Documented procedures for the timely sharing of risk information internationally exist.
		S	14.2.5.	Records are kept of risk information that has been exchanged.