

FULL AUDIT

FOOD LAW ENFORCEMENT AUDIT CHECKLISTS

[Revised August 2006]

[NOTE: These checklists should be used for full audits of local authorities' food law enforcement services. Additional checklists have been developed specifically for authorities with imported food control responsibilities (products *not* of animal origin) at points of entry into the UK i.e. sea and air ports. The Full Audit Protocols (*FAP 1-19*) and Checklists (*FAC A-U*) should be used where the audit excludes the port and the Port/Imported Food Protocols (*IFP 1-16*) and the Port/Imported Food Checklists (*IFC A-O*) should be used where the port service only is being audited. A combination of both sets of checklists and relevant Port protocols are likely to be required for full audits of authorities that include a port].

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Checklist (FAC) A – Training Files
Section 5 – Authorised Officers

Frequency of Checks: As a minimum, the training records of the officers to be interviewed should be checked. Ideally, there should be one check per grade of officer, per specialism. Records for the nominated liaison officer(s) should be checked, and auditors should concentrate on newly qualified officers, officers that have recently transferred from other disciplines, agency/temporary staff, “out of hours” officers, and technical officers. Officers should be asked to provide their authorisation documents. Blanks have been left for training identified by the Authority.

	1	2	3	4	5	6	7	8	9	10
Name/designation of officer <i>[auditors should double check that they are aware of ALL staff involved in or authorised for food/feed enforcement and ensure that all officers, or a representative sample of officers from all levels within the Service is audited i.e. managers; professional officers; technical officers; temporary/contractor staff and out of hours cover].</i>										
Evidence of qualifications? <i>[NB: Ensure that original certificates have been checked]</i> [Std – 5.3 & CP – 1.2.5 & 1.2.6 NB 1.2.6 relates to contract staff]										
Update training? (10 hours) [CP – 1.2.4]										
Recent returner training? (15 hours) (if applicable) [CP – 1.2.4]										
New appointments/transfers appropriately qualified? [CP –1.2.3 & 1.2.4]										

	1	2	3	4	5	6	7	8	9	10
Nature, type and technology used in businesses in area [CP 1.2.4, 1.2.9.1.1 & 1.2.9.1.2]										
Inspection of Specialist or Complex Processes [CP – 1.2.9.12]										
Inspection of Premises for Approval under Regulation (EC) 853/2004 [CP – 1.2.9.1.3]										
Training in HACCP (Food Hygiene) [CP – 1.2.9.1.1 & Annex 2]										
Quality Assurance (Food Standards) [CP – 1.2.9.2.3]										
Imported food training [Std – 5.4]										
Other? [Customise]										
Other? [Customise]										
Formal enforcement training? e.g.										
• PACE Training [Std - 5.4]										
• CPIA Training [Std - 5.4]										
• RIPA Training [Std - 5.4]										
• Other										
Training needs identified and programmed? [Std - 5.4]										
Qualification and training records complete and sufficiently detailed? [Std – 5.5]										

<p>Level of officer authorisation: [Std – 5.3]</p>	<p><i>For food safety and food standards matters this should include authorisation under the Food Safety Act 1990 and under hygiene and processing regulations issued under it, whether generally or specifically (Section 5(6) Food Safety Act 1990).</i></p> <p><i>Officers should also be authorised to enforce relevant regulations issued under the European Communities Act 1972. The European Communities Act does not however contain any enforcement powers and its primary function is to provide a mechanism by which regulations can be enacted. Powers of enforcement for Regulations made under the Act are usually contained in the Regulations themselves, therefore the Agency’s view is that all regulations relevant to imported food and feed control under the EC Act 1972 should specifically be referred to in authorisation documents, including officers’ credentials.</i></p>									
	1	2	3	4	5	6	7	8	9	10
<p>Name of Officer</p>										
<p>General food/premises inspection and enforcement?</p> <ul style="list-style-type: none"> • Food Safety Act 1990 and subordinate regulations (CP 1.2.2) • Food Hygiene (England) Regs 2006 • OFFC (England) Regs 2006 • Transmissible Spongiform Encephalopathies (No 2) Regs 2006 										

<p>Specific authorisation under Food Hygiene (England) Regulations 2006:</p> <ul style="list-style-type: none"> • Reg 6 Hygiene Improvement Notices • Reg 8 Hygiene Emergency Prohibition Notices • Reg 9 Remedial Action Notices and Detention Notices • Reg 12 Sampling • Reg 14 Powers of Entry • Reg 27 Certify failing to meet food safety requirements 										
<p>Imported food authorisations:</p> <ul style="list-style-type: none"> • Products of Animal Origin (Third Country Imports) (England)(No 4)Regs. 2004 • Products of Animal Origin (Import and Export) Regulations 1996 										
<ul style="list-style-type: none"> • Contaminants in Food (England) Regs. 2006 										
<ul style="list-style-type: none"> • Other Regulations made under the European Communities Act 1972 										
<p>Food and Environment Protection Act 1985 authorisation?</p>										
<p>Agriculture Act 1970 authorisation (where applicable)</p>										
<p>Qualifications, training & experience match authorisation and powers exercised in practice? [Std – 5.3 & 5.4]</p>										

NOTES

Checklist (FAC) B - Facilities and Equipment**Section 6 - Facilities and Equipment**

Suggested equipment [Std – 6.1]

(NB These checks relate to food law enforcement and not any relevant personal safety equipment)

EQUIPMENT:		Comments/notes
GENERAL	√	
PACE Notebook		
White coats [CP – 4.2.6]		
White hats [CP – 4.2.6]		
Lockable or secure temperature monitored fridge (< 5°C)		
Lockable or secure freezer (< -18° C)		
Insulated boxes (Recommended BS 6672 part 2 **** rating)		
Adequate supply of hard frozen ice blocks		
Food grade sampling bags		
Sample Labels		
Seals		
Camera		
Hair nets		
Blue plasters		

FOOD STANDARDS		
Bowl(s)		
Measuring jug(s)		
Funnel(s)		
Chopping board		
Scissors		
Knives		
Spoons		
Can Opener		
Sample containers (various sizes)		
Glass bottles		
FOOD HYGIENE		
Sufficient/appropriate thermometers		
Disinfectant wipes		
Sterile sample jars (various sizes)		
Sterile knives and spoons as necessary		
Swabbing equipment/or arrangements with laboratory to provide		
Water sampling bottles		
Latex gloves		
Faecal specimen jars		

FEEDING STUFFS (NB or arrangements to borrow equipment where appropriate)		
Random number generator		
Bags and seals		
Sample labels		
On farm – disinfectant, boot cleaning provision (brush, bucket)		
FOR SOLID MATERIALS		
Shovel		
Sampling spears		
Large floor covering		
Trowel		
Dustpan and brush		
Ruler/wooden boards to divide samples		
Drill and/or hammer and chisel (for feed licks)		
Scale (Calibrated)		
Sample containers (opaque)		

FOR LIQUID MATERIALS		
Bucket		
Stirrer		
Rigid polythene tube		
Bungs to fit tube		
Capacity measure (Calibrated)		
Pull through to clean tube		
Funnel		
Jug		

NOTES

Checklist (FAC) C - Calibration
Section 6 - Facilities and Equipment

Frequency of Checks – A minimum of 5 checks on those pieces of equipment that are required to be calibrated should be checked.

NB: There should be at least one certificate of calibration held on site for equipment such as digitherms.

Auditors should refer to the Authority’s calibration procedure for policy on interim calibration check/fridge monitoring frequencies

List pieces of equipment subject to calibration that have been checked. Include identification numbers.	Calibration Recorded e.g. certificate/in-house checks S – Satisfactory U - Unsatisfactory	COMMENTS
1.		
2.		
3.		
4.		
5.		
Refrigerator/freezer monitoring		

Checklist (FAC) D - Premises Files

Section 5 - Authorised Officers

Section 7 - Food Premises Inspection

Section 10 - Advice to Business

Section 11 - Food Premises Database

Section 16 - Records and Inspection Reports.

Frequency of checks: A minimum of 10 premises files for each discipline (Food hygiene and Food Standards) should be examined for inspection frequencies in accordance with the Food Law Code of Practice.

	1	2	3	4	5	6	7	8	9	10	11	12
Food Hygiene: (A & B – examine a minimum of the last 3 inspections) (C – E - examine a minimum of the last 2 inspections) Food Standards: (A – examine a minimum of the last 3 inspections) (B – C - examine a minimum of the last 2 inspections) Feedstuffs File Name/identifier												
Date latest inspection [Std – 7.1]												
Risk rating category [Std – 7.1]												

File identifier	1	2	3	4	5	6	7	8	9	10	11	12
Report sent/left on site [CP – 4.5.2 & Annex 6]												
Date previous inspection [Std – 7.1]												
Risk rating category [Std – 7.1]												
Report sent/left on site [Std - 7.4 & CP – 4.5.2& Annex 6]												
Date of previous inspection [Std – 7.1]												
Risk rating category [Std – 7.1]												
Report sent/left on site [Std - 7.4 & CP – 4.5.2& Annex 6]												
Inspected at correct frequency (Last 3 insp.) [Std – 7.1 & CP – 4.1.6 & Annex 5] <i>NB no later than 28 days after the relevant date except for circumstances outside the LA's control.</i>												
Correctly risk assessed [Std – 7.1 & CP – 4.1.6 <i>NB requirement to assess rating at the end of an inspection but not following a secondary inspection.</i>]												
Any evidence that monitoring of risk ratings being carried out. [CP 7.1.2]												
Inspected by officer with correct authorisation. [Std – 5.3 & CP – 1.2.9.1 & CP – 1.2.9.2]												
Liaison with Home/Originating Authority as appropriate [CP – 3.1.5]												

File identifier	1	2	3	4	5	6	7	8	9	10	11	12
Secondary inspection carried out in accordance with LA policy and centrally issued guidance [CP – 4.2.5] (CUSTOMISE)												
Follow-up letters sent in relation to primary or secondary inspections in accordance with LA policy and centrally issued guidance [Std – 7.4 & CP – 4.5.2] (CUSTOMISE)												
Appropriate LACORS/FSA aide memoire or equivalent in use [CP – 4.1.2]												
Detailed records of inspection maintained [Std – 16.1 & CP – 4.5.3]												
Inspection details on computer database and file are up to date, accurate & consistent. [Std – 16.1 & CP – 4.5.3]												
FOOD HYGIENE												
Records - Size and scale of business [CP – 4.5.3]												
Records - Type of food activity [CP – 4.5.3]												
Copies of correspondence with the business [CP – 4.5.3]												
Copies of food sample examination results [CP – 4.5.3]												
Assessment of businesses progress in meeting compliance with procedures based on HACCP principles. [CP – 4.5.3]												

File identifier	1	2	3	4	5	6	7	8	9	10	11	12
Information on hygiene training [CP – 4.5.3]												
Details of food suppliers and other businesses to which food is supplied. General Food Regs. 2004 article 18 178/2002												
*Evidence of internal monitoring on files? [Std – 19.2 & CP – 7.1]												
FOOD STANDARDS												
Records - Size and scale of business [CP – 4.5.3]												
Records - Type of food activity [CP – 4.5.3]												
Copies of correspondence with the business [CP – 4.5.3]												
Copies of food sample analysis/ results [CP – 4.5.3]												
Assessment of any documented quality system [CP – 4.5.3]												
Details of other businesses that produce or import for the business [CP – 4.5.3]												
Details of food suppliers and other businesses to which food is supplied. General Food Regs. 2004 article 18 178/2002												
*Evidence of internal monitoring on files? [Std – 19.2 & CP – 7.1]												

FEEDSTUFFS	1	2	3	4	5	6	7	8	9	10	11	12
Records - Size and scale of business												
Records - Type of food activity												
Copies of correspondence with the business												
Copies of feed sample analysis/ results												
Assessment of any documented quality system												
Details of other businesses that produce or import for the business												
Details of feed suppliers and other businesses to which feed is supplied. Article 18 178/2002												
*Evidence of internal monitoring on files?												

*[*Details of internal monitoring may be maintained separately from inspection files/records].*

Checklist (FAC) E - Inspection Reports and Letters
Section 7 - Food Premises Inspection

Frequency of checks: A minimum of 10 inspection reports should be checked. Auditors should generally check the most recent inspection report from those premises files examined.

N.B. There is currently no requirement to issue a report following feeding stuffs inspections.

	1	2	3	4	5	6	7	8	9	10	11	12
File Name/File Identifier												
Food Hygiene and Food Standards Report of Inspection requirements [CP – 4.5 & Annex 6]												
Trading name and address of the business, and registered address if different												
Name of the food business operator.												
Type of business												
Person seen/interviewed												

File Identifier	1	2	3	4	5	6	7	8	9	10	11	12
Date and time of inspection												
Specific food law under which inspection conducted												
Areas inspected												
Documents/other records examined												
Samples taken												
Key points discussed during the inspection including any contravention identified and recommendations. <i>NB Annex 6 does not specifically require contraventions to be detailed although 3.1.6 does</i>												
Actions to be taken by the food authority												
Signed by officer												
Officers name in capitals												
Designation of inspecting officer												
Contact details of inspecting officer												
Contact details of senior officer												
Date												
Food Authority name and address												
Report copied to relevant head office where appropriate [CP – 3.1.5]												

Clear distinction between legal requirements and recommendations [CP – 3.1.6]												
Indication of time scale for achieving compliance [CP – 3.1.6]												
All contraventions identified and the measures needed to secure compliance listed [CP – 3.1.6]												
*Evidence of internal monitoring on files? [Std –19.2 & CP – 7.1]												

*[*Details of internal monitoring may be maintained separately from inspection files/records].*

NOTES

Checklist (FAC) F – Alternative Enforcement Strategies

Section 5 - Authorised Officers

Section 7 - Food Premises Inspection

Section 10 - Advice to Business

Section 11 - Food Premises Database

Section 16 - Records and Inspection Reports.

Frequency of checks: A minimum of 10 premises files for each discipline (food hygiene and food standards) should be examined for inspection frequencies in accordance with the Food Law Code of Practice.

	1	2	3	4	5	6	7	8	9	10	11	12
Food Hygiene: (Risk scores below 31) Food Standards: (Risk scores below 45) File Name/identifier												
When was the business last risk rated?												
Did an appropriately qualified officer carry out the risk rating?												
Premises appropriately risk rated?												
When is the next AES planned to take place for the premises?												

File identifier	1	2	3	4	5	6	7	8	9	10	11	12
Premises subject to AES at the minimum frequency required? [CP – Annex 5.2.3 & 5.3.6]												
Have any incidents occurred which should have triggered a primary visit to the premises since the AES was introduced? [CP – 4.1.11]												
Primary visit carried out where appropriate?												
Method of alternative enforcement used at the premises in accordance with the AES operated by the LA? [CUSTOMISE]												
If the AES involved a visit and the officer was not appropriately authorised, was the visit limited to information gathering and reporting back? [CP – 1.2.10]												
Evidence that a qualified officer reviewed the AES carried out at the premises? [CP – 1.2.10]												
Any follow-up action required? [CUSTOMISE]												
Any necessary follow-up action carried out or programmed?												
Sufficient records of the way in which the AES was carried out at the premises?												
*Evidence that the AES is being monitored?												

[*Details of internal monitoring may be maintained separately from inspection files/records].

Checklist (FAC) G – Hygiene Improvement Notices

Section 5 – Authorised Officers

Section 7 – Food Premises Inspection

Section 15 – Enforcement

Frequency of checks: A minimum of 10 Hygiene improvement notices served by differing officers or 100% if less than 10 have been served in the last 2 years.

	1	2	3	4	5	6	7	8	9	10	11	12
Name of Premises/Notice Identifier <i>[Use a separate column where more than 1 notice has been served on the same premises].</i>												
HYGIENE IMPROVEMENT NOTICES												
Reason for notice (detail below)												
Signed by correctly authorised officer [CP – 1.2.9.1.5]												
Signed by officer witnessing contravention [CP – 1.2.9.1.5]												
Was notice appropriate course of action?[CP – 3.2.2]												
Served on food business operator												

	1	2	3	4	5	6	7	8	9	10	11	12
Food business operators full name on notice [LACORS guidance June 2006]												
Details of regulation contravened [CP – 3.1.6 & LACORS guidance 2006]												
Reason for contravention: • Reason specified [PG – 3.2.4]												
• Wording of notice clear & easily understood [PG – 3.2.4]												
• Wording reflects LACORS/centrally issued guidance												
Works required: • Measures to be taken specified [PG – 3.2.4]												
• Wording of works required clear & and easily understood [PG – 3.2.4]												
• Wording reflects LACORS & centrally issued guidance												
Appropriate time limits (14 days min.) [PG – 3.2.5]												
Liaison with Home Authority where appropriate [PG – 3.2.10]												

	1	2	3	4	5	6	7	8	9	10	11	12
Indication of works of equivalent effect [PG – 3.2.7]												
Rights of appeal & name and address of relevant court [PG – 3.2.9]												
Where local court sited [PG – 3.2.9]												
Evidence of proper service by hand/post [PG – 3.2.3]												
Timely check on compliance [PG – 3.2.8]												
Appropriate follow-up action taken if needed [Std – 7.4]												
Written application for extension received [CP 3.2.6]												
LA granted time extension? [PG – 3.2.6]												
Original notice withdrawn and new notice issued with revised compliance date [PG – 3.2.6]												
Letter confirming works are satisfactory [PG – 3.2.8]												
*Any evidence on file of internal monitoring? [Std – 19.2]												

[*Details of internal monitoring may be maintained separately].

FEED BUSINESS IMPROVEMENT NOTICES													
Reason for notice (detail below)													
Signed by correctly authorised officer													
Signed by officer witnessing contravention													
Was notice appropriate course of action?													
Served on feed business operator?													
Feed business operators full name on notice													
Details of regulation contravened													
Reason for contravention: • Reason specified													
• Wording of notice clear & easily understood													
• Wording reflects LACORS/centrally issued guidance													
Works required: • Measures to be taken specified													
• Wording of works required clear & and easily understood													
• Wording reflects LACORS & centrally issued guidance													

Appropriate time limits (14 days min.)												
Liaison with Home Authority where appropriate												
Indication of works of equivalent effect												
Rights of appeal & name and address of relevant court												
Where local court sited												
Evidence of proper service by hand/post												
Timely check on compliance												
Appropriate follow-up action taken if needed												
Written application for extension received												
LA granted time extension?												
Original notice withdrawn and new notice issued with revised compliance date												
Letter confirming works are satisfactory												
*Any evidence on file of internal monitoring?												

[*Details of internal monitoring may be maintained separately].

FILE IDENTIFIER & REASON FOR NOTICE	COMMENTS
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
11.	
12.	

Checklist (FAC) H – Emergency Prohibition Procedures and Voluntary Closure of Premises

Section 5 – Authorised Officers

Section 7- Food Premises Inspection

Frequency of Checks: A minimum of 10 or 100% if less have been served in the last 2 years.

	1	2	3	4	5	6	7	8	9	10	11	12
Name of premises/Notice Identifier												
VOLUNTARY FEED/FOOD CLOSURE												
Reason for closure (detail below)												
Appropriate? Y/N												
Was it confirmed in writing with the food business operator [CP – 3.3.2.4]												
Premises visited to check on closure. [CP – 3.3.2.4]												
Appropriate follow-up action taken on breach of a voluntary closure agreement.												

	1	2	3	4	5	6	7	8	9	10	11	12
HYGIENE EMERGENCY PROHIBITION NOTICE												
Reason for prohibition (detail below)												
Was the correct issue the subject of prohibition?												
Was the HEPN appropriate? [CP 3.3.2]												
HEPN signed by correctly authorised officer [CP – 1.2.9.1.5]												
Premises meets criteria set out in enforcement policy and CP [Std – 15.1 & CP – 3.3.2]												
HEPO application notified to proprietor at least the day before hearing [PG – 3.3.2.2]												
Address of local court given? [PG – 3.3.2.2]												
Monitoring visits made? [PG –3.3.16]												
Last visit less than one day before hearing [PG –3.3.16]												
LA has responded to written request to lift the order from FBO within 14 days [PG – 3.3.20]												

	1	2	3	4	5	6	7	8	9	10	11	12
Certificates issued lifting HEPOs asap/within 3 days of determination [PG – 3.3.20]												
Appeal rights notified to food business operator if lifting of HEPO refused? [PG – 3.3.22]												
Notification of continuing risk to health served asap where appropriate? [PG – 3.3.20]												
Premises subject to a secondary inspection [CP – 4.2.5]												
Appropriate follow-up action taken on breach of a Notice/Order. [PG – 3.3.21]												
Enforcement action in accordance with LA's Enforcement Policy [Std – 15.3]												
*Any evidence on files of internal monitoring? [Std – 19.2]												

*[*Details of internal monitoring may be maintained separately].*

	1	2	3	4	5	6	7	8	9	10	11	12
EMERGENCY PROHIBITION NOTICE												
Reason for prohibition (detail below)												
Was the correct issue the subject of prohibition?												
Was the EPN appropriate? [CP 3.3.3.1]												
EPN signed by correctly authorised officer [CP – 1.2.9.1.6]												
Premises meets criteria set out in enforcement policy and CP [Std – 15.1 & CP – 3.3.3]												
EPO application notified to proprietor at least the day before hearing [PG – 3.3.15]												
Address of local court given? [PG – 3.3.2.2]												
Monitoring visits made? [PG –3.3.16]												
Last visit less than one day before hearing [PG –3.3.16]												
LA has responded to written request to lift the order from proprietor within 14 days [PG – 3.3.20]												

	1	2	3	4	5	6	7	8	9	10	11	12
Certificates issued lifting EPOs asap/within 3 days of determination [PG – 3.3.20]												
Appeal rights notified to proprietor if lifting of EPO refused? [PG – 3.3.22]												
Notification of continuing risk to health served asap where appropriate? [PG – 3.3.20]												
Premises subject to a secondary inspection [CP – 4.2.5]												
Appropriate follow-up action taken on breach of a Notice/Order. [PG – 3.3.21]												
Enforcement action in accordance with LA's Enforcement Policy [Std – 15.3]												
*Any evidence on files of internal monitoring? [Std – 19.2]												

	1	2	3	4	5	6	7	8	9	10	11	12
FEED BUSINESS EMERGENCY PROHIBITION NOTICE												
Reason for prohibition (detail below)												
Was the correct issue the subject of prohibition?												
Was the FBEPN appropriate? [Draft FCP 3.3]												
FBEPN signed by correctly authorised officer												
Premises meets criteria set out in enforcement policy and CP												
FBEPN application notified to Feed Business Operator at least the day before hearing												
Appeal rights given to feed business operator?												
Address of local court given?												
Monitoring visits made?												
Last visit less than one day before hearing												
LA has responded to written request to lift the order from feed business operator within 14 days												

	1	2	3	4	5	6	7	8	9	10	11	12
Certificates issued lifting FBEPOs asap/within 3 days of determination												
Appeal rights notified to feed business operator if lifting of FBEPO refused? [PG – 3.3.18]												
Notification of continuing risk to health served asap where appropriate?												
Premises subject to a secondary inspection												
Appropriate follow-up action taken on breach of a Notice/Order.												
Enforcement action in accordance with LA's Enforcement Policy [Std – 15.3]												
*Any evidence on files of internal monitoring? [Std – 19.2]												

FILE IDENTIFIER	REASON FOR CLOSURE
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
11.	
12.	

NOTES

Checklist (FAC) I Prosecutions and Simple Cautions

Section 5 – Authorised Officers

Section 7 – Food and Feeding Stuffs Premises Inspection

Section 15 – Enforcement

Frequency of checks: A minimum of 10 or 100% if less have been taken in the last 2 years.

	1	2	3	4	5	6	7	8	9	10	11	12
Name of Premises/Premises Identifier												
PROSECUTIONS												
Reason for prosecution (detail below)												
Was the prosecution appropriate? [CP – 3.1.10]												
Authorised by officer with appropriate delegated powers? [Std – 5.3] [CUSTOMISE]												
Evidence that enforcement policy has been considered? [Std – 15.3]												

	1	2	3	4	5	6	7	8	9	10	11	12
Has action been taken in line with Enforcement Policy? [Std – 15.3]												
If no – Is the reason for the departure documented? [Std – 15.3]												
Prosecution taken without unnecessary delay [CP – 3.1.10]												
Prosecution takes account of PACE?												
If appropriate, prosecution takes account of RIPA												
Prosecuting Officer specified (CPIA)												
Investigating Officer specified (CPIA)												
Officer in Charge of the Investigation specified (CPIA)												
Disclosure Officer specified (CPIA)												
Schedule of unused information (If necessary) (CPIA)												
Certificate from the disclosure officer re. Un-used info. (CPIA)												
Prosecution prepared in accordance with LA procedures [Customise]												
Action taken under correct legislation?												
*Any evidence on files of internal monitoring. [Std–19.2]												

	1	2	3	4	5	6	7	8	9	10	11	12
SIMPLE CAUTIONS												
Reason for SC (detail below)												
Was the SC appropriate?												
Authorised by officer with appropriate delegated powers? [Std – 5.3] [CUSTOMISE]												
Evidence that Enforcement Policy has been considered [Std – 15.3]												
Has action been taken in line with enforcement policy [Std – 15.3]												
If no – Is the reason for the departure documented? [Std – 15.3]												
SC taken without unnecessary delay [3.1.10]												
FC prepared in accordance with LA procedures [CUSTOMISE]												
Action taken under correct legislation?												
*Any evidence on files of internal monitoring? [Std-19.2]												

[*Details of internal monitoring may be maintained separately].

FILE IDENTIFIER	REASON FOR PROSECUTION/FORMAL CAUTION
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
11.	
12.	

NOTES

NOTES

Checklist (FAC) J –Detentions, Seizure and Voluntary Surrender (VS) of Food

Section 5 – Authorised Officers

Section 7 – Food and Feeding Stuffs Premises Inspection

Section 12 – Food Inspection and Sampling

Frequency of checks: A minimum of 10 files should be inspected or less if fewer have been served in the last 2 years.

	1	2	3	4	5	6	7	8	9	10	11	12
Name of Premises/premises Identifier												
VOLUNTARY SURRENDER												
Reason for VS (detail below)												
VS appropriate?												
Did receipts state “voluntarily surrendered for destruction” [CP – 3.4.9]												
Receipt signed by the officer. [CP – 3.4.9]												
Counter-signed by person surrendering food [CP – 3.4.9]												
Receipt records time place and method of destruction. [3.4.9]												

	1	2	3	4	5	6	7	8	9	10	11	12
Record of destruction e.g. waste transfer note kept on file. [CP - 3.4.10]												
Food correctly disposed of [CP –3.4.10]												
*Any evidence on file of internal monitoring? [Std-19.2]												
FOOD SAFETY ACT DETENTION												
Inspection and decision to detain food taken by correctly Authorised Officer [CP – 1.2.9.3.1]												
Food detention notice signed by officer who takes the decision. [CP – 3.4.6]												
Detention appropriate? Y/N												
Does notice clearly specify foods to be detained [CP – 3.4]												
Time limit within max 21 days [CP – 3.4.7]												
Arrangements made to ensure the security of the food were satisfactory [CP – 3.4.4]												
Removed to another Authority's area? (Y/N)												

	1	2	3	4	5	6	7	8	9	10	11	12
If yes, arrangements made with LA to monitor [CP – 3.4.4]												
Withdrawal notice served (Y/N) [CP – 3.4.7]												
Decision re withdrawal notice taken by correctly authorised officer [CP – 3.4.7]												
If no, has food been seized? [FSA s9]												
*Any evidence on file of internal monitoring? [Std-19.2]												
REGULATION 27 CERTIFICATION (Food Hygiene only)												
Standard form used (CP 3.4.2)												
Action appropriate?												
Food subsequently seized or voluntary surrendered?												
SEIZURE												
Inspection and decision to detain food taken by correctly Authorised Officer [CP – 1.2.9.3.1]												
Seizure appropriate? Y/N												
Written confirmation issued immediately after seizure [CP – 3.4.6]												

Chain of evidence from detention to seizure [CP – 3.4.6]												
Person in charge notified of hearing by food condemnation warning notice [CP – 3.4.6]												
Owner notified of hearing [CP – 3.4.6]												
	1	2	3	4	5	6	7	8	9	10	11	12
Food brought before magistrate within two days [CP – 3.4.5]												
Receipt records time, place and method of destruction. [3.4.10]												
Record of destruction e.g. waste transfer note kept on file. [CP - 3.4.10]												
*Any evidence on file of internal monitoring? [Std-19.2]												

* *Details of internal monitoring may be maintained separately.*

FILE IDENTIFIER	REASON FOR VOLUNTARY SURRENDER
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
11.	
12.	

Checklist (FAC) K - Approved Establishments

Section 5 – Authorised Officers

Section 7 – Inspection of Food Premises

Section 10 - Advice to business

Section 11 - Food Premises Database

Section 16 - Records and Inspection reports.

Frequency of checks: A minimum of 10 approved establishments should be checked. Those exporting goods should receive priority, however, a spread of differing types both large and small should be included.

Premises:	1	2	3	4	5	6	7	8	9	10
File reference										
Type of establishment										
Approval number(s).										
Is there evidence that the establishment requires approval?										
Does the establishment appear on the relevant FSA list(s)?										

	1	2	3	4	5	6	7	8	9	10
Examine a minimum of the last 2 primary inspections and 2 secondary inspections										
Date of last primary inspection [Std – 7.1]										
Was inspection based on relevant inspection form for business [CP 4.1.2]										
Report/letter sent? [Std - 7.4]										
<i>Does file record /report confirm the scope of the inspection and if not all elements were covered, is the reason recorded?:</i>										
Date of previous primary inspection [Std – 7.1]										
Was inspection based on relevant inspection form for business [CP 4.1.2]										
Report/letter sent? [Std - 7.4]										
<i>Does file record /report confirm the scope of the inspection and if not all elements were covered, is the reason recorded?:</i>										
Date of last secondary inspection [CP 4.3.6]										
Was inspection based on relevant inspection form for business [CP 4.1.2]										
Report/letter sent? [Std - 7.4]										
Date of previous secondary inspection [CP 4.3.6]										

	1	2	3	4	5	6	7	8	9	10
Was inspection based on relevant inspection form for business [CP 4.1.2]										
Report/letter sent? [Std - 7.4]										
Does the most recent file record /report/follow up letter confirm that the scope of secondary inspection included at least:										
Confirmation of operations carried out										
Confirmation of products produced										
Assessment of effectiveness of CCP's										
Examination of CCP records										
Review of use of health marks and any commercial documents										
Premises inspected at correct frequency [Std – 7.1]										
Inspected by officer with correct authorisation. [Std – 5.3 CP 1.2.9.1.3]										
Revisited in accordance with LA policy [Std - 7.4] CUSTOMISE										
Evidence that local authority acting as home/originating authority?										
Is key information and documentation included in file? [Appendix 3, Annex 12 of PG]:										
Synopsis of establishment on file ¹ ?										

¹ To include type of premises, products produced and volume, type of trade, no. of employees, approval number and what approved for, cleaning methods employed

	1	2	3	4	5	6	7	8	9	10
Written application on file ² ?										
Pre-approval inspection report on file?										
Plans available of:										
• Layout of establishment										
• Location of equipment										
• Work flows for each product line										
• Water distribution system										
• Drainage layout										
• Pest control										
Labels bearing identification mark										
Inspection reports on file in chronological order										
Correspondence with establishment in chronological order										
Copies of notices or other formal action in chronological order										
Copy of company's emergency withdrawal plan including full contact details of key personnel										

² No requirement for establishments approved prior to 1/1/06 to re-apply for approval under 853/2004

	1	2	3	4	5	6	7	8	9	10
Copies of any other documents provided by establishment or copied at premises including:										
HACCP documentation										
Supplier information										
Product list										
Raw material, product and water test results										
Process records										
Management and key contact names and contact details										
Photographs & digital images										
Product recall procedures										
Evidence that an assessment of staff training has been undertaken by local authority										
Results of all samples taken by LA										
Location of any off-site facilities										
Approval notification document on file?										
Was approval granted without reasonable delay?										
Does the approval document specify:										
Details of activities to which approval relates										

	1	2	3	4	5	6	7	8	9	10
Approval number										
Whether full or conditional approval										
Any derogations granted										
Any other conditions specified by LA										
Any arrangements acceptable to LA										
CONDITIONAL APPROVAL										
Issue of Conditional Approval appropriate? ³ (CP 5.1.8, PG A.3.4)										
Secondary inspection within 3 months of issue? (CP 5.1.8, PG Annex 4)										
If Conditional Approval prolonged – appropriate? (PG Annex 4)										
If Conditional Approval prolonged - Secondary Inspection within 6 months of original issue? (PG Annex 4)										
FSA, FBO notified? (CP 2.4.3)										
WITHDRAWAL										
Was the FBO notified in writing of LA's decision to withdraw approval? [using standard forms in A.11.4 of PG]										
Was FSA notified in writing of LA's decision to withdraw approval? [using standard forms in A.11.4 of PG]										
Was withdrawal correct course of action? (CP 5.2.4)										
Does notice of withdrawal specify: - Reasons for withdrawal -Matters necessary to satisfy										

³ All infrastructure (inc HACCP) and equipment requirements met

requirements of the Regulation -Activities requiring approval may not be undertaken. -Right of appeal										
SUSPENSION	1	2	3	4	5	6	7	8	9	10
Does suspension notice [standard forms in A.11.5 of PG] specify:										
Fact that the authority is suspending Approval										
Reasons for decision to suspend										
Matters that need to be remedied in order to lift suspension										
Date on which suspension should take place										
Information regarding right of appeal										
Did the local authority notify the FSA when served and when lifted?										
Was the notice lifted in writing?										
REMEDIAL ACTION NOTICE	1	2	3	4	5	6	7	8	9	10
Was the notice [standard forms in CP A.7.7]:										
Served by authorised officer (CP 1.2.9.1.8) ⁴										
Served on FBO or duly authorised representative (A.7.7)										

⁴ EHO, 2 yrs post qualification experience in food safety, currently working in food enforcement and properly trained, competent and duly authorised.

Checklist (FAC) L – Database and Monitoring Returns
Section 7 - Food and Feeding Stuffs Premises Inspection
Section 11 – Food Premises Database

Frequency of checks: A minimum of 10 checks from an up to date yellow pages or from observation of the area and other sources. Premises should include - Food manufacturers/caterers/retailers/butchers/bakers/importers and ERTS. Different parts of the Authority's area should be included.

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Name of premises															
FOOD HYGIENE															
Record on computer system [Std – 11.1]															
Premises included within the food hygiene inspection programme															
FOOD STANDARDS															
Record on computer system [Std – 11.1]															
Premises included within the food standards inspection programme															

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
FEEDING STUFFS Record on computer system [Std – 11.1]															
Premises programmed for inspection															

NOTES

Checks on Monitoring Returns:**1. Pre-audit checks**

- All monitoring returns for the preceding 2 years should be checked for any anomalies and inconsistencies (eg high numbers of inspections but very low figures for informal written warnings).
- Lists of actions carried out are requested from LAs as part of their PVQ submission (eg inspections; complaint investigations and enforcement actions) and should be cross-referenced with the monitoring returns for inconsistencies (eg the number of EPNs provided for audit purposes not reflected in the monitoring returns).
- Comparison of data on premises profiles in LAs Service Plan and monitoring returns.
- Highlight and investigate anomalies between premises profiles for food hygiene and food standards purposes within unitary LAs and between counties and relevant districts.

2. On-site audit checks

- Hardcopy records for all activities examined during the audit should be cross-referenced with database entries to ensure that they are correctly coded and entered (eg on inspection files audited, checks made to ensure that inspections are recorded as such on the database, revisits are correctly coded, sampling visits are not marked as inspections etc.).
- Comparison of sampling monitoring returns with records on site.
- Relevant LA officers and administrators responsible for the database should be interviewed to establish the data inputting controls, to audit the process for compiling monitoring returns and to further examine any concerns identified.
- ***A range of management reports should be run from the LA's database to identify any anomalies (lists of premises without risk ratings and food premises that do not form part of the Authority's inspection programme will also have been provided with the PVQ information):***

Reports for On-Site Audit Checks of Databases:

REPORT	PURPOSE	SUMMARY OF FINDINGS
FOOD		
'No inspectable risk' (NIR) premises list	All premises with 'no inspectable risk' ratings (usually for food standards) to check that all relevant premises are included in the inspection programme. Can be used to identify incorrectly risked premises and useful in determining compliance with an inspection programme.	
List of Manufacturers and 'manufacturers selling mainly by retail' (as defined by the FSA return)	This list may highlight wrongly classified premises. The result may be incorrect FSA returns. If risk category, last inspection date and next inspection date is included then problems in missing fields/ no risk assessment/ incorrect risk assessment may be determined. This would indicate an inaccurate database and/or problems with risk assessment. This list can also be cross-checked to approvals list as all approved premises are normally manufacturers.	
All A or high risk rated premises with last and next inspection date.	Incorrectly rated premises may be identified; differences from monitoring returns; overdue inspections; premises missing from the inspection programme and any with no food activity.	
Those premises with a food inspection code and no risk assessment rating.	Usually these would be premises that have recently opened but not yet inspected.	
All premises coded as having received AES with premises type, risk rating and the date subject to AES.	This can in be usefully cross checked against a report showing all risk category E and F for food hygiene and all category C premises for food standards. This will help establish if AES at low risk premises are being undertaken at the correct frequency.	

<p>Overdue inspections with premises type and dates of last or next inspections.</p>	<p>List of overdue inspections by risk category enables comparison with monitoring returns and figures on PI performance in Service Plan.</p>	
<p>Identify categories of premises e.g. delicatessens</p>	<p>This report will show whether the Authority can easily identify categories of premises that may require action in response to food alerts</p>	
<p>Identify categories of premises e.g. delicatessens</p>	<p>This report will show whether the Authority can easily identify categories of premises that may require action in response to food alerts</p>	
<p>FEEDING STUFFS</p>		
<p>Total number of inspection visits to approved premises.</p>	<p>Compare against figures submitted in the latest to the Animal Feed Unit.</p>	
<p>Total number of visits to registered premises.</p>	<p>Compare against figures submitted in the latest to the Animal Feed Unit.</p>	
<p>Total number of enforcement actions.</p>	<p>Compare against figures submitted in the latest to the Animal Feed Unit.</p>	
<p>Total number of samples from approved operators.</p>	<p>Compare against figures submitted in the latest to the Animal Feed Unit.</p>	
<p>Total number of samples from registered operators.</p>	<p>Compare against figures submitted in the latest to the Animal Feed Unit.</p>	
<p>Total number of samples from other operators.</p>	<p>Compare against figures submitted in the latest to the Animal Feed Unit.</p>	

Checklist (FAC)M –Complaints

Section 8 – Food, feeding stuffs and food premises complaints

Frequency of checks: A minimum of 10 complaints should be checked. These should be sampled across the officers dealing with complaints and include a variety of types of complaint.

File reference	1	2	3	4	5	6	7	8	9	10
<u>FOOD HYGIENE/ PREMISES COMPLAINTS</u>										
Complaint reference										
Complete information on complainant/food/premises [LACORS guidance]										
Contact with supplier/manufacturer and/or importer as appropriate. [LACORS guidance]										
Contact with Home/Originating authorities as appropriate. [CP – 2.4.1]										
Appropriate investigation carried out.										
Appropriate action taken on findings										

	1	2	3	4	5	6	7	8	9	10
Confirm results of investigation with supp/man/importer. [Std – 8.3]										
Confirm results of investigation with complainant. [Std – 8.3]										
Confirm results of investigation with HA/OA. [Std – 8.2]										
Complies with timing set out in Authority procedures? [CUSTOMISE]										
Complaint details on premises file [Std – 16.1]										
FSA contacted as appropriate. [CP – 1.7.6 & 2.5]										
*Any evidence of internal monitoring on files? [Std -19.2]										

[* Details of internal monitoring may be maintained separately].

NOTES

NOTES

File reference	1	2	3	4	5	6	7	8	9	10
<u>FOOD STANDARDS COMPLAINTS</u>										
Complaint reference										
Complete information on complainant/food/premises [LACORS guidance]										
Contact with supplier/manufacturer and/or importer as appropriate.										
Contact with Home/Originating authorities as appropriate.										
Appropriate investigation carried out. [Std – 8.3]										
Appropriate action taken on findings [Std – 8.3]										
Confirm results of investigation with supp/man/importer. [Std – 8.3]										
Confirm results of investigation with complainant. [Std – 8.3]										
Confirm results of investigation with HA/OA. [Std – 8.2]										

	1	2	3	4	5	6	7	8	9	10
Complies with timing set out in Authority procedures? [CUSTOMISE]										
Complaint details on premises file [Std – 16.1]										
FSA contacted as appropriate. [CP –1.7.6 & 2.3.2]										
*Any evidence of internal monitoring on files? [Std-19.2]										

[* Details of internal monitoring may be maintained separately].

NOTES

File reference	1	2	3	4	5	6	7	8	9	10
<u>FEEDING STUFFS COMPLAINTS</u>										
Complaint reference:										
Complete information on complainant/feeding stuffs/ premises [LACORS guidance]										
Appropriate investigation carried out. [Std – 8.3]										
Appropriate action taken										
Confirm results of investigation with complainant. [Std – 8.3]										
Complies with timing set out in Authority procedures? [CUSTOMISE]										
*Any evidence of internal monitoring on file? [Std-19.2]										

[* Details of internal monitoring may be maintained separately].

NOTES

Checklist (FAC) N - Sampling

Section 5 – Authorised Officers

Section 12 – Food and Feeding Stuffs inspection and sampling

Frequency of Checks: A minimum of 10 checks should be made.

N.B. References differ for feeding stuffs samples.

	1	2	3	4	5	6	7	8	9	10
Sample number/premises reference:										
General										
Part of sampling programme/in accordance with sampling policy. [Std – 12.3 & CP – 6.1.2]										
Taken by trained authorised officer [CP – 1.2.7] [For Feeding Stuffs: Std – 5.3]										
Results on file [Std – 16.1]										
Appropriate action taken [Std – 12.5]										
Business informed of (unsatisfactory) result. [CP – 6.1.9 (analysis) & 6.1.13 (examination)]										
Liaison with home/originating authority as appropriate. [CP – 6.1.2]										

	1	2	3	4	5	6	7	8	9	10
*Evidence of internal monitoring on files? [Std-19.2]										
Formal Sample for Analysis										
Third part stored in correct environment [PG – 6.1.6.3]										
Notification of Manufacturer/packer and/or importer [CP – 6.1.7 & 6.1.9]										

Sample sent to an accredited lab. [CP – 6.1.5]										
Formal Sample for Mycotoxin Analysis										
Evidence of representative sample in accordance with Regulation (EC) 401/2006										
Business informed of availability of defence sample?										
Imported Food/Feed Samples (unsatisfactory result)										
Importer notified. [CP – 6.1.7]										
Appropriate follow-up action taken eg FA/RASFF/port of entry notified										
Feeding Stuffs - Formal										
Third part stored, labelled and sealed correctly. Reg 30 Feed (H&E) Regs										
Sample sent to manufacturer within 14 days (where appropriate) Reg 30 (2) Feed (H&E) Regs										
Statement signed by authorised officer sent to analyst (Reg 30 (3) F(H&E) Regs										
Portion sent to seller as appropriate [Ag Act – S77/Feed (Reg 30 (1) Hygiene and Enforcement) Regs.]										
Any oil analysis done within 3 weeks of date of sample.										
Certificate as per Feeding Stuffs (S & A) Regs Sch. 3										
Copy of certificate sent to those who received sample portions. [Reg 30 (4) Feed (H&E) Regs]										

Checklist (FAC) O - Food Alerts, Incidents and RASFF**Section 12 – Food Alerts**

FA/RASFF reference <i>NB: This checklist should be updated, prior to each audit, to include a list of recent FAs (& ref. nos.) that required action.</i> [CUSTOMISE:]	Information /Action	Date issued	Action required	Date Received	Action consistent with instructions [CP – 2.1.5]	Actions and outcomes documented (including no action taken) [Std – 14.3]
1. Ref: 49/2006 New Primebake Ltd recall batches of Garlic & Speciality Bread Products due to possible metal contamination	For information	26/10/06	Heads of Environmental Health Services via Principal Officer (Food Safety) and Directors of Trading Standards			
2. Ref 48/2006 Product withdrawal of Sainsbury's incorrectly date coded Taste the Difference Traditional Beef Joint	For information	13/10/06	Heads of Environmental Health Services via Principal Officer (Food Safety) and Directors of Trading Standards			
3. Ref 46/2006 Sainsbury's Supermarkets Ltd. recall their own brand taste the difference lightly salted tortilla chips due to a packaging error resulting in incorrect allergen labelling information	For information	12/10/206	Heads of Environmental Health Services via Principal Officer (Food Safety) and Directors of Trading Standards			
4. Ref: 41/2006 Walkers Snack Foods Ltd withdraw certain batches of their own brand salt and vinegar squares due to incorrect labelling information	For information	01/09/06	Heads of Environmental Health Services via Principal Officer (Food Safety) and Directors of Trading Standards			

<p>5. Ref: 36/2006 (update 1) Update on incident involving Cadbury Schweppes Plc recalling a range of their own brand chocolate products due to possible contamination with <i>Salmonella</i></p>	<p>For action</p>	<p>23/06/06</p>	<p>Heads of Environmental Health Services via Principal Officer (Food Safety) and Directors of Trading Standards</p>			
<p>6. Ref: 36/2006 Cadbury Schweppes Plc recall a range of their own brand Chocolate Products due to possible contamination with <i>Salmonella</i></p>	<p>For action</p>	<p>23/06/06</p>	<p>Heads of Environmental Health Services via Principal Officer (Food Safety) and Directors of Trading Standards</p>			

Legislation/publications/ information	Correct version available	Comments – e.g. on superseded documents.
Feeding Stuffs		
Local policies and procedures, eg:		

NOTES

Checklist (FAC) Q – Authorisation of butchers for removal of SRM Vertebral Column

Section 5 – Authorised Officers

Section 7 – Inspection of Food Premises

Section 10 - Advice to business

Section 16 - Records and Inspection reports.

Frequency of checks: A minimum of 10 licensed butchers should be checked.

	1	2	3	4	5	6	7	8	9	10
Name address of premise/file identifier										
[Transmissible Spongiform Encephalopathies (No. 2) Regulations 2006 Schedule 6										
Standard application form in use.										
Register of authorised butchers up to date? ⁵										
Evidence that butcher signed up to RMOP for VC removal?										

⁵ Note: no site visit required for issue of authorisation.

File Identifier	1	2	3	4	5	6	7	8	9	10
Evidence of assessment of compliance with SRM controls ⁶										
Evidence that disposal arrangements for SRM VC assessed by LA? ⁷										
Evidence of internal monitoring of on files? [Std -19.2										

⁶ Assessment to take place as part of normal hygiene inspection.

⁷ VC from the carcasses of 24-30 month animals is SRM and therefore category 1 material. Regulation (EC) 1774/2002 requires Category 1 material to be collected and transported without undue delay to an approved intermediate plant (collection centre) or direct to an approved incinerator or processor.

NOTES

Checklist (FAC)R – Food related Infectious Disease Notifications

Section 13 – Control and Investigation of Outbreaks and Food Related Infectious Disease.

Auditors should check a minimum of 10 investigations of food related diseases, investigated by more than one officer, and covering more than one suspected causative organism.

	1	2	3	4	5	6	7	8	9	10	11	12
File Reference												
Follow-up inspection of any linked food premises.												
As appropriate:												
- Food/environmental sampling.												
- Stool specimens												
- Checks/exclusions of food handlers/high risk groups												
- Contact with/referral to other LAs												
Adequate and appropriate records												
Appropriate investigation carried out												
Evidence of internal monitoring on files? [Std-19.2]												

NOTES

Checklist (FAC) S – Approved/Registered Feeding Stuffs Premises Files

Section 5 – Authorised Officers

Section 7 – Food and Feeding Stuffs Premises Inspection

Section 16 – Records

Frequency of checks – A minimum of 10 premises files should be checked.

	1	2	3	4	5	6	7	8	9	10	11	12
File Name/identifier												
General												
Evidence of notification to FSA?												
Approval/Registration number allocated [Std – 7.2]												
Inspected by officer with correct authorisation (European Communities Act) [Std – 5.3]												
Appropriate action taken on any non-compliance found. [Std – 7.4]												
Six years records [Std – 16.2]												

File identifier	1	2	3	4	5	6	7	8	9	10	11	12
Revisited in accordance with local authority policy - <i>Customise</i>												
Records of amendment of approvals/registrations [Std – 7.2 & 16.1]												
All inspection details on the database. [Std – 11.1]												
Approved Feeding Stuffs premises Regulation (EC) 183/2005												
Application for approval on file [Std – 16.1]												
Date of on spot verification [Reg. – 6 & Reg. – 13]												
Evidence of the following :												
Assessment of the risk of the enterprise failing to meet feed compositional requirements;												
<ul style="list-style-type: none"> • Consideration of the existence and effectiveness of management systems designed to ensure that feed compositional requirements are met and, where they exist, test their effectiveness; 												
<ul style="list-style-type: none"> • Assessment of compliance with composition, presentation and labelling requirements by examining labels, descriptions, formulae and other records; 												

File identifier	1	2	3	4	5	6	7	8	9	10	11	12
<ul style="list-style-type: none"> Assessment of compliance with the traceability requirements of Article 18 of Regulation 178/2002; 												
<ul style="list-style-type: none"> Recommendations of good practice in accordance with relevant industry codes and other relevant technical standards 												
On register of approved premises. [Std – 7.2]												
Withdrawal of Approvals The Feed (Hygiene and Enforcement)(England) Regulations 2005 -Regulation 11												
Written notice served.												
Register amended.												
Registered Feeding Stuffs premises												
For all registered premises which have been visited – evidence that the following have been checked:												
Facilities and equipment												
Personnel												
Production												
Quality Control												

File identifier	1	2	3	4	5	6	7	8	9	10	11	12
Storage												
Documentation/Register												
*Evidence of internal monitoring on files. [Std – 19.2]												

[* Details of internal monitoring may be maintained separately].

NOTES

Checklist (FAC) T – Ships and Aircraft Inspection Records , Reports and Letters

Section 5 – Authorised Officers

Section 7 - Food Premises Inspection

Section 9 – Home Authority Principle

Section 10 - Advice to Business

Section 12 - Sampling

Section 16 - Records and Inspection Reports.

Frequency of checks: A minimum of 10 records to be checked, although in some cases a document review may show that a risk based decision was taken not to inspect Ships and Vessels: Appropriate risk rating could be assessed by the use of Annex 5. In general, cruise ships and passenger ferries should be inspected at least once every 12 months and general cargo and merchant ships at least once every 18 months to 2 years, unless there are clear grounds to justify further investigations, e.g. the ship visiting a UK port for the first time or after an absence of 12 months or more. Visits to other vessels, such as training yachts, based at specific ports should be decided on a basis of number of vessels, local conditions and knowledge gained through previous inspections.

	1	2	3	4	5	6	7	8	9	10	11	12
The Food Safety (Ships and Aircraft) (England and Scotland) Order 2003 [(Wales Order) 2003] [(Northern Ireland Order) 2001]												
<u>SHIPS</u>												
Preparation/ document check												
Previous inspection report obtained from Master or another UK Authority [CP – 4.4.5.1]												

Date of previous inspection												
INSPECTION	1	2	3	4	5	6	7	8	9	10	11	12
Purpose of inspection – new or follow up												
Scope of food activities on vessel												
Specification and source of food [CP – 4.4.5.2]												
Transportation to vessel [CP – 4.4.5.2]												
Potable water supply [CP – 4.4.5.2]												
Valid de-ratting certificate or exemption [CP – 4.4.5.5]												
Adequacy of system based on HACCP principles [CP – 4.4.5.2]												
Temperature control & monitoring ⁸ [CP – 4.4.5.2]												
Information on food hygiene training/own health status [CP – 4.4.5.2]												
Food and water sampling [CP – 4.4.5.2]												
Pest control procedures [CP – 4.4.5.2]												
Known adverse report or cases/outbreaks of gastric illness [CP – 4.4.5.2]												
Enforcement action [Complete the relevant Checklist as appropriate]												
If yes – in accordance with Enforcement Policy and COP guidance												

⁸ Note Schedule 4 Food Hygiene (England) Regulations 2006 do not apply to aircraft or ships. Article 4, Annex II 852/2004 applies

	1	2	3	4	5	6	7	8	9	10	11	12
Inspection report given to Master [CP – 4.4.5.3]												
LACORS/APHA report proforma in use?												
Copy of report given to Owner? [CP – 4.4.5.3]												
Copy of report sent to Maritime and Coastguard Agency / PHA at next port of call [CP – 4.4.5.3]												
Copy of report sent to Shipping Company Home Authority [CP – 4.4.5.3]												
If vessel from another Member State - Liaison re: contraventions [CP – 4.4.3]												
If vessel from Third Country contraventions should be notified to the Food Standards Agency [CP – 4.4.3.]												
Six years records [Std – 16.2 & CP – 4.5.4]												
Inspection details on computer database and file are up to date, accurate & consistent. [Std – 16.1 & 4.5.3]												
*Evidence of internal monitoring checks? [Std – 9.2 & CP – 7.1]												
REPORT												
Name of ship [LACORS/APHA]												
Type of ship												
Home Port/Flag State												
Home Authority contact												

	1	2	3	4	5	6	7	8	9	10	11	12
Location in Port												
Year of Build												
Inspection type – whole / part												
IMO or official No												
Captain / officer in charge												
Owner / Agent details												
Documents / certificates examined												
Garbage management plan												
Samples taken												
Summary of action												
Summary of closing meeting discussion												
Date and time of inspection												
Person interviewed												
Officer name in capitals												
Officer designation												
Signed by Officer												
Date of Report												

	1	2	3	4	5	6	7	8	9	10	11	12
AIRCRAFT												
Preparation/ document check												
Information from Airline Company / previous inspection report [CP – 4.4.6.1]												
Date of previous inspection – if known												
Inspection – only if necessary. Most of information should be obtained from airline or Home Authority.												
Airline food safety policy/procedure document												
Type of catering menus and the service of high risk foods												
Food handler (cabin staff) knowledge												
Training records												
Flight caterers												
Pest control contract and monitoring												
Assessment of hazard analysis												
Temperature control & monitoring												
Cleaning arrangements – galley, storage areas and toilets												
Enforcement action [Complete relevant Checklist as appropriate]												

	1	2	3	4	5	6	7	8	9	10	11	12
If yes in accordance with Enforcement Policy and PG												
Report proforma in PG – 4.4.6 used Yes/No												
Report given to Airline Company [CP – 4.4.6.5]												
Copy of report sent to the Home Authority [CP – 4.4.6.5]												
If aircraft from another Member State – Liaison COP 4.4.3												
If aircraft from Third Country – Food Standards Agency notified [CP – 4.4.3]												
Six years records [Std – 16.2 & 4.5.4]												
Inspection details on computer database and file are up to date, accurate & consistent. [Std – 16.1 & 4.5.3]												
*Evidence of internal monitoring checks? [Std – 9.2 & CP – 7.1]												

[Details of internal monitoring may be maintained separately].*

REPORT	1	2	3	4	5	6	7	8	9	10	11	12
Aircraft Registration No [PG – 4.4.6]												
Aircraft Type [PG – 4.4.6]												
Flight Number [PG – 4.4.6]												
Airline Company details:												
Home Authority [PG – 4.4.6]												
Airline Person interviewed / designation [PG – 4.4.6]												
Date of previous inspection [PG – 4.4.6]												
Documents / certificates examined [PG – 4.4.6]												
Areas / processes inspected [PG – 4.4.6]												
Samples taken [PG – 4.4.6]												
Summary of any action [PG – 4.4.6]												
Summary of closing meeting discussion [PG – 4.4.6]												
Date and time of inspection [PG – 4.4.6]												
Person interviewed [PG – 4.4.6]												
Officer name in capitals/legible [PG – 4.4.6]												
Officer designation [PG – 4.4.6]												
Report signed and dated [PG – 4.4.6]												

Checklist (FAC)U – Illegal Imports of Products of Animal Origin

Section 5 – Authorised Officers

Section 12 – Food Inspection and Sampling

Section 15 – Enforcement

Frequency of checks: A minimum of 10 Products of Animal Origin (Third Country Imports) Regs. notices served by differing officers or 100% if less than 10 have been served in the last 2 years.

	1	2	3	4	5	6	7	8	9	10	11	12
Name of Premises/Notice Identifier												
Reason for actions (detail below)												
R.16(4) POAO notice served and referred to Customs if in Customs approved area?												
Sufficiently thorough investigation carried out? e.g. info sought from importer/retailer/analyst/FSA/DEFRA?												
Product sampled and detained pending decision? (R.8 POAO (TCI) Regs.)												

	1	2	3	4	5	6	7	8	9	10	11	12
Did the POAO (TCI) Regs. apply? i.e. product was of animal origin/had been imported illegally from 3 rd country?												
If YES, notice served under R.24 (illegally introduced), or												
Notice served under R.25 (product dangerous to public or animal health)?												
Product re-exported? [NB: option only if in same shipping container/mode of transport]												
RASFF alert instigated?, or												
Product properly destroyed, without delay, in line with Animal By Products Order? (i.e. incineration).												
Notification sent to DEFRA?												
*Evidence of internal monitoring checks? [Std – 9.2 & CP – 7.1]												

FILE IDENTIFIER	REASON FOR NOTICE/BACKGROUND
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
11.	
12.	

