

## **FULL AUDIT**

# ***FOOD LAW ENFORCEMENT AUDIT PROTOCOLS***

[Revised June 2007]

[NOTE: These protocols should be used for full audits of local authorities' food law enforcement services. Additional protocols 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; the Port/Imported Food Protocols (*IFP 1-16*) and 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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**(FAP/1) Organisation and Management [The Standard - para. 3]**

- 3.1 The Authority shall draw up, document and implement a service delivery plan in accordance with the Service Planning Guidance in Chapter 1 of the Framework Agreement
- 3.2 A performance review shall be carried out by the Authority at least once a year based on the service delivery plan, documented and submitted for appropriate member approval.
- 3.3 Any variance in meeting the service delivery plan shall be addressed in the subsequent year's service arrangements.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority (LA) have a service plan?	Yes/No	Document review/PVQ	<i>The service plan should be provided prior to the visit. Auditors should check the document or documents against the Food Law Enforcement – Service Planning Guidance. The plan should ideally address all the relevant areas in the Guidance. However, the plan may be written in a corporate format, and the information might not be within one document. Auditors will need to look carefully through the paperwork provided, and follow up any areas where information is not available. (It is likely that the paperwork available for other sections of the audit will provide some answers).</i>
Can the LA provide information on all elements of the Food Law Enforcement – Service Planning Guidance? i.e:		Document review/PVQ	
a) Aims and objectives of the Service;	Yes/No		<i>These elements should include responsibilities and arrangements for imported food controls and any specialist/non-typical/potentially high risk food operations in the LA's area.</i>
b) Links to corporate objectives and plans;	Yes/No		
c) Profile of the LA;	Yes/No		
d) Organisational structure identifying officers with specialist and managerial responsibilities for food;	Yes/No		
e) The scope of the food service;	Yes/No		
f) The demands on the Service;	Yes/No		
g) Enforcement policy;	Yes/No		

Question	Answer	Comments/Evidence	Auditors Notes
h) Details of the inspection programme: <ul style="list-style-type: none"> <li>• Food hygiene;</li> <li>• Food standards</li> <li>• Feedingstuffs.</li> </ul>	Yes/No		<i>This element should include reference to ship/aircraft inspections if the LA has a sea/air port in its area.</i>
i) Where appropriate, a statement of the LA's approach to Alternative Enforcement Strategies.	Yes/No		<i>This information may alternatively be contained in the authority's enforcement policy [CP –Annex 5.4.2xiii]</i>
j) A statement of the LA's approach to inspection out of hours [ CP – 4.1.13];	Yes/No		
k) A statement of the LA's policy on food and feeding stuffs complaints, and likely demand;	Yes/No		
l) A statement of the LA's policy on the Home Authority Principle;	Yes/No		
m) A statement of the LA's policy on advice to business, and likely demand;	Yes/No		
n) A statement on the LA's food and feeding stuffs sampling policy and arrangements for analysis/ examination;	Yes/No		
o) A statement on the LA's policy on the investigation of food poisoning notifications, outbreak control, and likely demand;	Yes/No		
p) A statement on the LA's policy on the handling of Food Alerts (and RASFF where applicable), and the likely demand;	Yes/No		<i>(RASFF = Rapid Alert System for Food and Feed. Relevant to LA's with ports).</i>
q) Details of the liaison arrangements in place;	Yes/No		
r) A statement of the LA's food and feeding stuffs safety and standards promotional activity;	Yes/No		
s) Financial allocation;	Yes/No		
t) Staffing allocation;	Yes/No		<i>This should include details of the staffing needed to deliver the LA's enforcement programme and the staffing resource available.</i>

Question	Answer	Comments/Evidence	Auditors Notes
u) Staff development plan;	Yes/No		
v) Quality assessment, including relevant monitoring arrangements and any external accreditation;	Yes/No		
w) Performance review against the service plan;	Yes/No	Document review/PVQ	<i>The performance review may be in a separate document.</i>
x) Identification of any variance in meeting the service plan;	Yes/No		
y) Areas for improvement;	Yes/No		
Did Members agree the plan?	Yes/No	Document review/PVQ Date and Member forum:	<i>Auditors will need to see a copy of the relevant minutes for verification.</i>
Are staff aware of the service plan?	Yes/No	Officer interviews	<i>Implementation should be checked on site. Staff at all levels should be aware of the service plan. Auditors should expect the lead officer to be aware of the service planning process and the Authority's PIs. Officers and technical staff should be aware of the PIs/relevant Service targets and their role in fulfilling them. It would be good practice to see staff involved in the development of the plans and any associated PIs.</i>
Has the Authority undertaken an annual review of their performance?	Yes/No	Document review/PVQ	<i>The auditor should look for a documented review of Service activity.</i>

Question	Answer	Comments/Evidence	Auditors Notes
Has the review been submitted to the appropriate Member forum?	Yes/No	Document review/PVQ Date and Member forum:	<i>Auditors will need to see a copy of the relevant minutes. Auditors should have in mind that the reason for the submission of the review to the Member forum is to ensure that the detail of the review is in the public domain and that Members are aware of the Service's performance. Reviews should be undertaken on at least an annual basis.</i>
Has the submission been made in the last year?	Yes/No		
Following the review were actions to address any variations from the service plan included in the following year's arrangements?	Yes/No	Document review/PVQ/ Officer interview (if necessary)	<i>Give brief details of the variations and the proposed action to redress these. Where the following years' arrangements do not include proposed action on the variations, the auditor should interview the appropriate manager to identify and verify any decisions that may have been made, the detail of which should be recorded on this protocol.</i>
Are there clear links between the service plan and the PIs in the Best Value Performance Plan?	Yes/No	Document review	<i>The auditor should look for consistency between the service plan and the Best Value Performance Plan. It should be clear how the Service's performance feeds into the Authority's overall objectives.</i>

**Documents:** BVPP (appropriate sections), service plan, performance review, copy of committee report agreeing service plan and review.

**Statistics:** Service budget, no. of staff, no. of full time equivalents, no. of premises for food hygiene, food standards and feed (risk categorised – these may be obtained from the LA's OCD returns. *Note that from the calendar year 2004 monitoring data regarding feeding stuffs enforcement is collected by the Animal Feed Unit*), current planned programme (from PVQ), achievement against programme (from PVQ), no. inspections in previous financial year (from OCD returns), no. Approved Premises (from PVQ),.



**(FAP/2) Reviewing and Updating of Documented Policies and Procedures [The Standard - para. 4]**

4.1 The Authority shall ensure that all documented policies and procedures for each of the enforcement activities covered by this Standard are reviewed.

NOTE: This should normally be at regular intervals and whenever there are changes to legislation or centrally issued guidance.

4.2 The Authority shall set up, maintain and implement a control system for all documentation, which may be in electronic format, relating to its enforcement activities. The system shall ensure that:

- a) up to date copies of the appropriate documentation including legislation and guidance are available at all relevant locations and to all relevant staff;
- b) all changes to documents or amendments to documents are covered by the correct authorisation and are carried out without undue delay to ensure timely availability; and
- c) superseded documents are removed from use throughout the Authority.

Question	Answer	Comments/Evidence	Auditors Notes
Is there a document control system for the LA's policies and procedures?	Yes/No	Audit check Detail:	<p><i>NB: The control system does not need to be documented.</i></p> <p><i>The quality control manual/documented procedures should be examined. Sampling of documentation at differing locations should identify if the system is working correctly. There should be at least one controlled copy of policies and procedures available at each office base and/or on the electronic administration system.</i></p>
How are reviews of documented policies and procedures programmed?		Audit check. Detail:	<p><i>There should be evidence of a regular review (programmed) of policies and procedures. Auditors should check re-issue dates.</i></p>
<p>How are ad-hoc changes made to documented policies and procedures in response to:</p> <ul style="list-style-type: none"> <li>• new legislation?</li> <li>• non-conformances highlighted during monitoring/internal audit?</li> </ul>		Audit check/Officer interviews. Detail:	<p><i>Auditors should check for recent changes, to check timeliness, and that changes are covered by correct authorisation.</i></p>

Question	Answer	Comments/Evidence	Auditors Notes
Are up to date copies of appropriate documentation including legislation and guidance available at all relevant locations and to all relevant staff?	Yes/No	Checklist (FAC) P/Officer interviews.	Auditors should ensure that checklist has been updated to reflect any newly issued guidance.  <b>NB: Appropriate documentation may be in an electronic format/accessible from websites – auditors should check officer access.</b>
Are any superseded documents in use at the Authority?	Yes/No	Checklist (FAC) P J/Officer interviews.	Checks should be made to ensure officers are not working from uncontrolled and therefore out of date procedures/documents or legislation.

**Documents:** procedure (if documented) for document control.

- 5.1 The Authority shall set up, maintain and implement a documented procedure for the authorisation of officers based on their competence and in accordance with the Food Law Code of Practice and any centrally issued guidance.
- 5.2 The Authority, where it is responsible for the enforcement of food hygiene, food standards and/or feeding stuffs legislation, shall appoint an officer/s with specialist knowledge to have lead responsibility for that legislation. Where the Authority has specific responsibilities, for example, it is a UK point of entry or it has establishments approved under product specific legislation, it should ensure that officers have the necessary specialist knowledge.
- 5.3 The Authority shall appoint a sufficient number of authorised officers to carry out the work set out in the approved service delivery plan and they shall have suitable qualifications, training and experience consistent with their authorisation and duties in accordance with the Food Law Code of Practice.
- 5.4 The Authority shall set up, maintain and implement a documented training programme. The Authority shall ensure the training of all authorised officers and appropriate support staff in the technical and administrative aspects of the work in which they will be involved. Where training is provided, details of the content and objectives of the course, the duration and any assessment made of that training should be maintained on file. The training given shall depend upon the ability, qualifications, experience and responsibility of persons involved and their level of authorisation.
- 5.5 Records of relevant academic or other qualifications, training and experience of each authorised officer and appropriate support staff shall be maintained by the Authority in accordance with the Food Law Code of Practice.

Question	Answer	Comments/Evidence	Auditors Notes
<p>Any problems identified with the LA's scheme of delegated authority? i.e:</p> <ul style="list-style-type: none"> <li>• Officer authorisations;</li> <li>• Prosecutions;</li> <li>• Notices;</li> <li>• pprovals.</li> </ul>	<p>Yes/No</p>	<p>Document review Detail:</p>	<p><i>The scheme of delegated authority should be coherent and complete, with provision for the delegation of all relevant food law enforcement powers. Auditors may also find evidence of authorisation inconsistencies during the audit checks of records of enforcement actions.</i></p>

Question	Answer	Comments/Evidence	Auditors Notes
<p>Does the LA have a documented procedure covering authorisations? (CP 1.2.2)</p>	<p>Yes/No</p>	<p>Document review/PVQ</p>	<p><i>An authorisation procedure should cover:</i></p> <ul style="list-style-type: none"> <li>• <i>delegated powers - who is authorised to do what and what qualifications are required;</i></li> <li>• <i>who is authorised to approve legal proceedings (auditors will need to confirm these delegations through the Authority's standing orders and scheme of delegation);</i></li> <li>• <i>the arrangements in place for refresher and induction training;</i></li> <li>• <i>the assessment process to ensure and demonstrate that the Authority has assessed the competence of the authorised officers in accordance with CP 1.2 (inspection techniques; HACCP assessment; knowledge of legislation; food technology – if high risk – appropriate competency in the technology involved – and for food standards quality assurance).</i></li> </ul>
<p>Has the LA appointed specialist officer(s) (where applicable) with responsibility for:</p> <ul style="list-style-type: none"> <li>• Food hygiene</li> <li>• Food standards</li> </ul> <p>*Also, areas where the LA has specific responsibilities, e.g:</p> <ul style="list-style-type: none"> <li>• Feeding stuffs</li> <li>• Imported food</li> <li>• Approved Premises;</li> <li>• Shellfish harvesting areas;</li> <li>• Other.</li> </ul>	<p>Yes/No</p> <p>Yes/No</p> <p>Yes/No</p> <p>Yes/No</p> <p>Yes/No</p> <p>Yes/No</p> <p>Yes/No</p> <p>Yes/No</p> <p>Yes/No</p> <p>Yes/No</p> <p>Yes/No</p>	<p>Checklist (FAC) A/Officer interview/Document Review/PVQ Annex</p> <p>Name of Officer(s):</p>	<p><i>CP 1.2.8. Food Authorities with responsibility for food hygiene and safety should appoint a suitably qualified and experienced lead officer for food hygiene and food standards.</i></p> <p><i>The Food Authority should notify the Agency of the name(s) of their lead officer(s) and notify the Agency of changes</i></p> <p><i>*There is no requirement to appoint a lead officer for these activities. However, auditors should check that the specialist/enforcement officer(s) have the relevant experience, knowledge, training and general qualification, if, for example, the LA has responsibilities as a UK port of entry for imported foods and/or a number of product specific premises in its area requiring approval/classification.</i></p>

Question	Answer	Comments/Evidence	Auditors Notes
<p>Do the specialist officers have the relevant qualifications and knowledge?</p> <ul style="list-style-type: none"> <li>• Food hygiene;</li> <li>• Food standards;</li> <li>• Feedingstuffs;</li> <li>• Imported foods;</li> <li>• Approved Premises;</li> <li>• Other.</li> </ul>	<p>Yes/No Yes/No Yes/No Yes/No Yes/No Yes/No</p>	Checklist (FAC) A	<i>CP – 1.2.8.1 and 1.2.8.2 Lead officers should meet the requirements of para 1.2.9.1.1 for food hygiene and 1.2.9.2.1 for food standards, have a technical understanding of the food production processes used in the food authority's area.</i>
Is there a sufficient number of suitably authorised staff employed by the LA to carry out enforcement activities?	Yes/No	Document review/PVQ/Audit checks	<i>Auditors should check that the resources needed and those available to carry out food/feed law enforcement activities are properly specified in the service planning arrangements.</i>
If there is a shortfall in resources, how is this being addressed?		Audit Check/Officer interview Detail:	<i>Any shortfall should also have been identified and highlighted by the LA in the service planning documents – if not, auditors should investigate further</i>
Do any other 'on-call' officers undertake formal food law enforcement work outside normal office hours?	Yes/No	PVQ (Annex)/Audit checks/Checklist (FAC) A/ All enforcement actions checklists	<i>Check on site that those officers involved are all listed on annex of the PVQ.</i>
Are any other officers authorised for food law enforcement activities who have not been routinely involved in this area of work?	Yes/No	PVQ (Annex)/Audit checks/Checklist (FAC) A/ All enforcement actions checklists	<i>Auditors should check on site whether generic authorisations have been issued that also cover, for example, pollution, housing and/or health &amp; safety law enforcement officers.</i>
Are Agency/contractors/temporary staff used for food law enforcement work?	Yes/No	PVQ (Annex)/Checklist (FAC) A	<i>Food Authorities should be satisfied that contracted or temporary enforcement staff meet the qualification and experience requirements set out in CP 1.2.9 and are duly authorised in writing (CP 1.2.6)</i>

Question	Answer	Comments/Evidence	Auditors Notes
Are all staff, including 'on-call' officers and Agency/temporary staff appropriately authorised?	Yes/No	Document Review (PVQ Annex) Checklist (FAC) A/All enforcement actions checklists	<p><i>Auditors should check the authorisations against the qualifications of the officers from the PVQ information.</i></p> <p><i>Authorisations should also be checked against the process set out in the Authority's own procedure. Agency and/or non-specialist IF enforcement staff should fulfil the same qualification criteria and be properly authorised by the LA, in accordance with the authorisation procedure.</i></p>
Are their authorisations consistent with their qualifications, training and experience and *CoP requirements?	Yes/No	Checklist (FAC) A Detail:	<p><b>Auditors should also ensure that original certificates have been checked and verify with examining bodies as necessary.</b></p> <p><i>If generic authorisations have been conferred, then auditors should test through interview and file checks that the officers are aware of any limitations placed on their authorisations.</i></p>
Are officers acting in accordance with their authorisations/individual levels of qualification, training and experience?	Yes/No	Audit checks/all enforcement actions checklists	<p><b>If authorisations identify specific subordinate legislation under the Food Safety Act 1990, auditors should ensure that all relevant statutory instruments are included. Authorisations for enforcement of Products of Animal Origin requirements under the European Communities Act 1972 must cite the specific regulations.</b></p>

\*Authorisations must be in accordance with officers' individual levels of qualification, training, experience and CoP requirements:

**Food Hygiene:** Competencies at Annex 2 in regard to HACCP and inspection techniques; nature and types of food businesses in their area and the technology they utilise, relevant legislation, Code of Practice, Industry Guides, LACORS guidance and Central Government. CP-1.2.9.1.4. EHO (EHRB or REHIS registered), OVS, + higher certificate needed for A & B risk premises, all premises in the "substantial" category of the Consumers at Risk section in Annex 5 of the CP. Where premises are approved under product specific legislation officers must have detailed knowledge of the relevant product specific regulations. Officers inspecting specialist or complex processes shall have received additional training and demonstrated their competence to undertake such inspections CP 1.2.9.1.2. **Hygiene Improvement notices:** EHOs Higher Cert. in AB premises and Ordinary in C-F + authorised [CP1.2.9.1.5]. **Improvement Notices:** EHOs enforcing Food Standards, holders of Higher Certificate authorised for food standards inspections (CP 1.2.9.1.6) **Hygiene Emergency Prohibition Notices and Emergency prohibition notices:** EHOs, 2yrs experience in food currently involved in food [CP 1.2.9.1.7]. **Seizure and detention:** EHO, TSO, OVS, Meat only - Authorised Officers (Meat Inspection) Regulations 1987 [CP 1.2.9.3.1] **Food Standards:** competent - nature, types of food industry, relevant food standards and marketing legislation, Codes of Practice, LACORS and government guidance. Qualifications: DTS, Consumers Protection Degree Manchester Metropolitan University, MSc in Food Inspection and Control University of Lincolnshire & Humberside, MSc in Food Safety and Control South Bank University, Degree in Trading Standards University of Wales Institute Cardiff, Degree in Consumer Protection University of Teeside,

Certificate in Legal Practice University of Kent, the Certificate of Registration of EHRB, EHRB or REHIS Diploma in EH/EHO Higher Certificate or IFST both with FS endorsement, or SFSORB Higher Certificate in Food Standards) DCA if includes Food and Agriculture paper, DCA certificate of competence in relation to food and agriculture. Officers undertaking food standards inspections of premises risk rated A in Annexe 5 should have additional training in quality assurance systems and demonstrated their competence. **Food Sampling:** Only officers trained in the appropriate techniques should take microbiological examination or chemical analysis and be competent to carry out the duties assigned to them. Officers must be qualified in accordance with CP 1.2.9 where formal action may result following receipt of an adverse report. **Alternative Enforcement Strategies:** Officers managing AES must be qualified in accordance with Chapter 1 of the Code of Practice. Officers undertaking AES need not meet the qualification requirements provided their activities are confined to information collection and reporting back [CP 1.2.10].

Question	Answer	Comments/Evidence	Auditors Notes
<b>Training</b>			
How are officer/Service training needs identified?		Document review/Officer interview Detail:	
Has the LA established a training programme?	Yes/No	Document review	
Are any training needs in relation to enforcement identified and included in the training programme?	Yes/No	Audit check/Officer interview	<i>Auditors should look particularly for evidence of recent/update training relating to the Regulation of Investigatory Powers (Scotland) Act 2000` , and other training relevant to processing formal actions.</i>
Are officer qualifications and training records maintained?	Yes/No	Document review/Audit check	
Are records of the content, objectives, duration and assessments of training maintained?	Yes/No	Document review/Audit check	

**Documents:** training programme (current and previous years), authorisation procedure, scheme of delegation, qualification/training records, relevant pages from standing orders, training budget.

- 6.1 The Authority shall make available the necessary facilities and equipment to permit all activities associated with the service to be carried out.
- 6.2 The Authority shall set up, maintain and implement a documented procedure to ensure that equipment is properly maintained and calibrated, and removed from service when found to be defective.
- 6.3 Relevant information about the equipment shall be recorded.

NOTE: This should normally include identification, calibration status and the results of any in service checks.

- 6.4 Any computer software package or other method of record administration used by the Authority shall be capable of providing any information reasonably requested by the Food Standards Agency. Such systems shall be operated in such a way so as to be able to provide required information to the Agency.
- 6.5 The Authority shall set up, maintain and implement appropriate back up systems for any electronic databases and systems or documented procedures which have been designed to minimise the risk of corruption or loss of information held on its databases. The Authority should ensure that reasonable security measures are in place to prevent access and amendment by unauthorised persons.

<b>Question</b>	<b>Answer</b>	<b>Comments/Evidence</b>	<b>Auditors Notes</b>
Has the LA identified the equipment and facilities it requires?	Yes/No	Document review/Checklist (FAC) B	<i>Auditors should identify if the LA has carried out an assessment of their needs. If so a check against their assessment should be made. Checklist (FAC) B gives guidance on what might be needed.</i>
Are the equipment and facilities available?	Yes/No	Audit check	<i>Some equipment may not be required on a regular basis and some authorities may, in these circumstances, have documented arrangements to borrow necessary items from neighbouring LAs.</i>
Does the Authority have a documented procedure in relation to calibration and defective equipment?	Yes/No	Document review	<i>Auditors should ascertain the types and quantities of equipment used by the Authority. Are all pieces of equipment adequately covered?</i>

Question	Answer	Comments/Evidence	Auditors Notes
<b>Does the procedure cover:</b>		Checklist (FAC) C	
• The equipment to be calibrated;	Yes/No		
• Frequency of checks;	Yes/No		
• Method of calibration;	Yes/No		
• Tolerances;	Yes/No		
• Action to be taken where results are outside tolerances;	Yes/No		
• Recording of results;	Yes/No		
• Checks before and after taking readings that could be used in formal enforcement action;	Yes/No		
• Isolation of defective equipment.	Yes/No		
Is the procedure implemented?	Yes/No	Checklist (FAC) C/Staff interviews.	<i>Staff should be interviewed. Are staff aware of the procedure? What would they do if equipment were faulty?</i>
Are records kept of the calibration and maintenance of equipment?	Yes/No	Checklist (FAC) C	<i>Auditors may choose to observe the calibration of an item of equipment to verify that procedures are adhered to.</i>

Question	Answer	Comments/Evidence	Auditors Notes
<b>Database</b>	<b>System used:</b>		
Is the Authority's recording system capable of providing accurately the information required by the FSA?	Yes/No		<i>[The Food Standards Act requires LAs to provide information to the FSA]</i>
If <i>NO</i> , is the failure due to the recording system, or <i>other reasons</i> ?	Yes/No	Details:	<i>The auditors should obtain the monitoring information received by the FSA. and cross-reference it with the LA's records. If this information has not been provided then the auditor should investigate the reason. The auditor should discuss with the Agency's Monitoring Branch any queries they may have on the accuracy of the returns. Note that from 21 May 2005 the Agency has requested LAs to send monitoring data on animal feeding stuffs enforcement direct to the Animal Feed Unit at the Agency using the new EU Harmonised Model.</i>
Have there been problems with the LA's official monitoring returns?	Yes/No	Validation reports run on site. Details:	<i>Any differences between the data in the returns, the LA's records and, the information obtained from the PVQ provided by the LA (e.g. in the Service Plan) should be investigated.</i>
If <i>YES</i> , any measures taken to address these problems?	Yes/No	Details:	

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority have systems/procedures in place to prevent corruption of its database(s)  (LAs may have databases of sampling/food consignments checked).	Yes/No	Document review/Officer interview	Auditors should check the systems/procedures (NB these do not need to be documented).  Arrangements might include: <ul style="list-style-type: none"> <li>• Restricted access for entering and deleting premises;</li> <li>• Documented input protocols;</li> <li>• Training of input staff ;</li> <li>• Mandatory fields;</li> <li>• Dedicated input staff;</li> <li>• Relevant data codes.</li> </ul>
Are the procedures implemented?	Yes/No	Audit check Detail:	Auditors should check whether any other sections or department have access to the database and the extent of that access. Auditors should confirm that appropriate controls are in place.  Auditors may need to interview the Systems Administrator.
What arrangements does the Authority have to backup the computer database?		Detail:	Arrangements should provide for off-site storage of back-up data.
Is access to the computer system controlled?	Yes/No	Document review/Officer interview	Auditors should expect to find a password system in place. Passwords should be changed regularly and each individual should be allocated one. The purpose of passwords is to limit access and to enable the internal audit log to detail that person's activity. Auditors should pay particular attention to shared computers where, once accessed, the system can be used by anyone.

**Documents:** calibration procedure, procedures to minimise corruption or loss of database information (if documented).

**(FAP/5) Food and Feeding Stuffs Premises Inspections [The Standard – para. 7]**

7.1 The Authority shall carry out food hygiene, food standards and feeding stuffs inspections of premises in their area, at a frequency which is not less than that determined under the inspection rating system set out in the relevant legislation, Food Law or Feed Law Enforcement Codes of Practice or other centrally issued guidance.

7.2 The Authority shall inspect, approve, register, and license relevant premises in accordance with the relevant legislation, Food Law Code of Practice, Feed Law Enforcement Code of Practice, centrally issued guidance and the Authority’s policies and procedures.

NOTE: Premises includes any ship or aircraft of a description specified in the schedule to the Food Safety (Ships and Aircraft) (England and Scotland) Order 2003, the Food Safety (Ships and Aircraft) (Wales) Order 2003 [and the Food Safety (Ships and Aircraft) (Northern Ireland) Order 2004.

7.3 The Authority shall assess the compliance of premises and systems in their area to the legally prescribed standards.

NOTE: In assessing compliance, the Authority shall give due consideration to any relevant Industry Guides to Good Hygiene Practice and have regard to any other relevant centrally issued guidance. The Authority shall take appropriate action on any non-compliance found, in accordance with the Authority’s enforcement policy.

7.4 The Authority shall set up, maintain and implement documented inspection procedures for the range of inspections it carries out.

7.5 Observations made and/or data obtained in the course of an inspection shall be recorded in a timely manner to prevent loss of relevant information. Officers’ contemporaneous records of inspections shall be legible and stored in such a way that they are retrievable.

Question	Answer	Comments/Evidence	Auditors Notes
Are inspections being carried out at a frequency of not less than that set out in the Food Law Code of Practice and the Feed Law Enforcement Code of Practice?		Document Review. Checklist (FAC) D.	<i>The service plan should have identified the planned programme. The FSA’s monitoring information should identify the LA’s progress towards these targets. The auditor should verify from the computer/file records that:</i>
• Food hygiene;	Yes/No	(PVQ CA1 Annex 2 Part1)	<i>a) Premises are being risk-rated correctly;</i>
• Food standards	Yes/No	(PVQ) CB1 Annex 2 Part 2)	<i>b) Premises are receiving inspections according to their risk category and no later than 28 days after they are due except in circumstances outside of the control of the Authority such as seasonal businesses. (CP 4.1.7 &amp; CP A5.2.1 &amp; CP A5.4.1)</i> <i>Internal monitoring reports of inspections due, and inspections overdue should be requested, and auditors should verify that inspections are up to date. CP 7.1.2</i>

Question	Answer	Comments/Evidence	Auditors Notes
<ul style="list-style-type: none"> <li>• Feeding Stuffs</li>   <li>• Alternative Enforcement Strategies</li> </ul>	<p>Yes/No</p> <p>Yes/No</p>	<p>(PVQ) CC1 Annex 2 Part 3)</p>	<p><i>Auditors should consider whether the LA is adhering to the <b>feeding stuffs</b> risk rating scheme within the LACORS' guidance. If not, establish what arrangements the LA has put in place.</i></p> <p><i>Businesses scoring 30 or less for food hygiene and 45 or less for food standards that are part of an AES must be subject to the AES at least once every 3 years for food hygiene (A 5.2.3) and once every 5 years for food standards ( A5.4.2)</i></p>
<p>Are inspections being carried out by correctly authorised staff?</p>	<p>Yes/No</p>	<p>Checklists (FAC) D K Q T</p>	
<p>Does the LA's area include a sea/air port?</p>	<p>Yes/No</p>		<p><i>The service plan should identify the LA's policy in relation to the inspection of ships/aircraft under the Food Safety (Ships &amp; Aircraft) Order 2003, CoP and associated guidance.</i></p>
<p>If YES, are inspections of ships and/or aircraft being carried out?</p>	<p>Yes/No</p>	<p>Checklist (FAC) T</p>	<p><i>The auditor should confirm that, where appropriate, inspections are being considered and carried out in accordance with relevant legislation and official guidance. A strategy for frequency of inspection should be adopted based on knowledge about different types of craft, their origin and history (CP 4.4.1)</i></p>
<p>Does the Authority have documented inspection procedures?</p>	<p>Yes/No</p>	<p>Document Review (PVQ B4, CA1, CB1, CC1)</p>	<p><i>The service plan should have identified the types of premises in the LA's area. The auditor should expect to see inspection procedures for each of the different types of premises.</i></p> <p><i>The process and content of inspection procedures should set out the LA's system of inspection including use of any checklists and aide memoirs. The Auditor should be looking for compliance with the relevant codes.</i></p>

Do the procedures cover:			
Food Hygiene			
Policy on announced/unannounced inspections; [PG – 4.2.2]	Yes/No		<i>General principle that inspections should be unannounced.(Regulation (EC)882/2004 A3.2)</i>
<ul style="list-style-type: none"> <li>Use of experts; [PG 4.2.3]</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>New premises inspections;</li> </ul>	Yes/No		<i>All registration forms reviewed and appropriate visits made to new premises? [CP - 4.1.4]</i>
<ul style="list-style-type: none"> <li>Secondary inspection criteria;</li> </ul>	Yes/No	Detail:	<i>Food businesses that fail to comply with significant statutory requirements must be subject to appropriate enforcement action and secondary inspections. Suggested criteria contained in [CP 4.2.5]</i>
<ul style="list-style-type: none"> <li>Assessment of whether to take food samples;</li> </ul>	Yes/No		<i>An assessment of whether to take samples, and if so what sample, should be an integral part of every primary inspection, but particularly in food manufacturing, packing and catering businesses. [CP – 4.2.2]</i>
<ul style="list-style-type: none"> <li>Process and content of inspection (inc. reference to aide memoire/checklists);</li> </ul>	Yes/No		<i>Relevant inspection forms should be used. These may be LACORS inspection forms or ones developed by food authorities or their regional groups, provided they include all the elements of an inspection that are appropriate to the type of business [CP 4.1.2]</i>
<ul style="list-style-type: none"> <li>Content and timing of inspection reports.</li> </ul>	Yes/No	Detail:	

Are there inspection procedures covering:			
<ul style="list-style-type: none"> <li>Approvals;</li> </ul>	Yes/No		<p><i>The procedures should cover all categories of Approval relevant to the premises in the LA's area. Where no premises have been identified that require Approval, the procedures should contain sufficient information to assist officers to recognise such operations and appropriate references to the relevant legislation, guidance and inspection forms.</i></p> <p><i>The procedures should cover the inspection of Approved Premises and the Approval process.</i></p>
<ul style="list-style-type: none"> <li>Authorisation of Butchers Shops for removal of SRM Vertebral Column;</li> </ul>	Yes/No		<p>Butchers may be authorised by local authorities for the removal of SRM Vertebral Column from Cattle 24 – 30 Months of age. Vertebral column (VC) or backbone is now classified as specified risk material (SRM) in cattle over 24 months of age at slaughter. This means it must be removed, stained, and safely disposed of. It must not be sold to the public. SRM VC in carcasses of cattle between 24 and 30 months of age at slaughter must be removed in cutting plants or in butcher shops specifically authorised, monitored and registered for this purpose.</p>
<ul style="list-style-type: none"> <li>Ships/Aircraft (where appropriate)</li> </ul>	Yes/No		

Food Standards/feeding stuffs	Answer	Comments / Evidence	Auditors comments
<ul style="list-style-type: none"> <li>Policy on announced/un-announced inspections; [PG – 4.2.2 &amp; EC 882/2004 A3.2)</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>Use of experts; (CP 1.2.1 &amp; 3.1.8) &amp; [PG 4.2.3]</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>New premises inspections; [CP-4.1.4]</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>Secondary inspection criteria;</li> </ul>	Yes/No	Detail:	<i>Food businesses that fail to comply with significant statutory requirements must be subject to appropriate enforcement action and secondary inspections. Suggested criteria contained in [CP 4.2.5]</i>
<ul style="list-style-type: none"> <li>Process and content of inspection (inc. reference to aides memoire/checklists.)</li> </ul>	Yes/No		<i>Relevant inspection forms should be used. These may be LACORS inspection forms or ones developed by food authorities or their regional groups, provided they include all the elements of an inspection that are appropriate to the type of business [CP 4.1.2]</i>
<ul style="list-style-type: none"> <li>Content and timing of inspection reports.</li> </ul>	Yes/No	Detail:	
<p>Are inspections carried out in accordance with the LA's procedures?</p>	Yes/No	Audit Check/Officer interviews. Checklist (FAC) D F .	<i>Interviews with officers should test their understanding of the procedures. Ask officers to talk you through how they would undertake an inspection and how they would assess further action.</i>
<p>Do officers determine the conformance of businesses against the relevant legislation?</p>	Yes/No	Checklists (FAC) D E F	<i>Auditors should look at any aide-memoire or inspection checklists to ensure that the legislation is covered.</i>
<p>Are officer's observations and data obtained during the course of inspections legible and retrievable?</p>	Yes/No	Officer interviews.	<i>Auditors should look at a sample of inspection notebooks/inspection sheets or computer systems.</i>

Question	Answer	Comments/Evidence	Auditors Notes
<b>Inspection reports/ Informal warning letters</b>			
Have officers reported back in writing at the end of every food or feeding stuffs inspection?	Yes/No	Checklist (FAC) D	<i>Auditors may need to x-check computer files with inspection records to ascertain that reports were sent after inspection.</i>
Do the reports contain the requirements laid out in the codes?	Yes/No	Checklist (FAC) E	<i>Inspection reports: [CP -4.5.1 &amp; Annexe 6]</i>
Do informal warning letters meet the requirements of the Code?	Yes/No	Checklist (FAC) E.	
<b>Informal Appeal (Enforcement Concordat)</b>			
Is there evidence of a mechanism to allow discussion of the content of informal letters, improvement notices etc?	Yes/No	Audit check.	<i>Auditors should check for any standard paragraph in letters or pamphlet given to proprietors.</i>
Are decisions recorded?	Yes/No	Audit check.	

Question	Answer	Comments/Evidence	Auditors Notes
<b>Alternative Enforcement Strategies</b>			
Does the LA have details of how the AES is to be undertaken?	Yes/No	Detail:	
Which officers are to undertake the AES and any restrictions on their activities?	Yes/No		
Who is to monitor/manage the AES?	Yes/No		
Criteria for follow-up action if not included in the enforcement policy?	Yes/No		
Criteria for carrying out primary inspections to premises otherwise subject to AES?	Yes/No		
<b>Business registration (where applicable)</b>			
Are all registration forms sent in error passed to the relevant Authority?	Yes/No		The Auditor may wish to check with the receiving Authority that they have been notified of the most recent registrations, or the Auditor may wish to compare numbers of premises on Article 14 returns.
Has the Authority a copy of the original registration forms?	Yes/No		
Are supplementary records accessible to the public?	Yes/No		

Is there a public register not more than 2 months out of date?	Yes/No		Regulation (EC) 882/2004, Art 31(1)(b). Food register compiled in accordance with revoked Food Premises (Registration) Regulations 1991 will satisfy this requirement. (CP 1.5.4.1)
Are there mechanisms in place to transfer information to other interested authorities (e.g. to other councils) within 28 days (CP 1.1.5)?	Yes/No		

**Documents:** Examples of Management reports (e.g. inspection programme, overdue inspections, premises according to risk), inspection procedures, enforcement procedures.

**Statistics:** Inspection programme statistics.

**(FAP/6) Food, Feedingstuffs and Food Premises Complaints [The Standard - para. 8]**

- 8.1 The Authority shall set up, maintain and implement a documented policy and procedure(s) in relation to food and feeding stuffs complaints that originate within the UK, and those foods and feeding stuffs originating from other EU member states, or from third countries and in relation to complaints against food premises. Procedures should cover any referral arrangements to inland authorities and/or authorities with responsibility for imported food and feeding stuffs controls at the UK point of entry.
- 8.2 The Authority shall investigate complaints received in accordance with the Food Safety Act Code of Practice, centrally issued guidance and the Authority's policies and procedures.
- 8.3 The Authority shall take appropriate action on complaints received in accordance with the Authority's enforcement policy.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority have a policy on the investigation of food, food premises and feeding stuffs complaints?	Yes/No	Document review/PVQ	<i>The policy may include specific reference to the types of complaints that are to be investigated and any Performance Indicators (PIs) for response.</i>
Does the policy address complaints about premises?	Yes/No		
Imported foods? (where applicable)	Yes/No		
Are all complaints investigated in accordance with the policy?	Yes/No	Audit check/Checklists (FAC) M	
Does the Authority have procedure(s) on the investigation of complaints?	Yes/No	Document review/PVQ	<i>The procedure may link to others covering, for instance, formal interviews and preparation of legal cases.</i>
<b>Do the procedures include:</b>		Document Review	<i>LACORS' 'Guidance on Food Complaints (2)'</i>
• Receipt/traceability/storage of complaints;	Yes/No		
• Determining the enforcement responsibility;	Yes/No		

Question	Answer	Comments/Evidence	Auditors Notes
• Investigation;	Yes/No		
• Contact with the complainant;	Yes/No		
• Involvement of home or originating authority (beginning and end of investigation);	Yes/No		
• Submitting samples for scientific investigation;	Yes/No		
• Notification to FSA in appropriate cases; •	Yes/No		Food Authorities must notify the Agency as soon as they become aware of :  <ul style="list-style-type: none"> <li>- Serious localised food hazard</li> <li>- Non-localised food hazard</li> <li>- Serious localised outbreak of food-borne illness</li> <li>- Withdrawal of food in accordance with Art 19 Regulation (EC) 178/2002 (CP 2.4.2)</li> </ul>
• Links with other relevant procedures e.g. food poisoning investigations;	Yes/No		
• Single Liaison Body referral;	Yes/No		From 1/4/06 FSA is designated single liaison body (CP 2.5.1)
• Contact with the importer /manufacturer/supplier as appropriate.	Yes/No		
• Referral arrangements to inland LAs re: imported foods (where appropriate)	Yes/No		
Does the Authority have the ability to identify home and originating authorities?	Yes/No	Audit check Detail:	
Are the procedures implemented – has appropriate follow-up action been taken on all complaints ?	Yes/No	Checklist (FAC) M	

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**Documents:** Complaints policy, service plan, complaints procedure.

**Statistics:** Nos. complaints, complaints dealt with to date against estimate in service plan.

- 9.1 The Authority shall provide advice to businesses on legal compliance where they act as home and/or originating authority.
- 9.2 The Authority shall have regard to any information or advice it has received from any liaison with home and/or originating authorities.
- 9.3 The Authority shall liaise with the home and/or originating authority of a company whose premises have been inspected and offences identified which are, or appear to be, associated with the company's centrally defined policies and procedures.
- 9.4 During a complaint investigation, the Authority shall liaise with the home and/or originating authority regarding matters which are or may be associated with the company's centrally defined policies or procedures.
- 9.5 The Authority shall liaise with the home and/or originating authority of a company in relation to any unsatisfactory samples which are or may be associated with the company's centrally defined policies or procedures.
- 9.6 The Authority, having initiated liaison with any home and/or originating authority, shall notify that authority of the outcome.

<b>Question</b>	<b>Answer</b>	<b>Comments/Evidence</b>	<b>Auditors Notes</b>
Does the LA support the Home Authority Principle?	Yes/No	Document Review	<i>This policy statement should be within the Authority's service plan – the policy may include references specific to imported foods. A Food Authority that is unable to adopt, implement, or adhere to the Home Authority Principle must firstly discuss the matter with LACORS and, if the matter cannot be resolved, with the Agency. [CP – 1.1.2]</i>
How has the LA identified businesses with decision making bases in their area?		Officer interviews Detail:	

Question	Answer	Comments/Evidence	Auditors notes
Has the LA been asked to act as home authority for any local businesses?	Yes/No	Document review/Officer interviews Detail:	
Does the LA act as home authority for any local food businesses?	Yes/No	Document review/Officer interviews/Audit check Detail:	<i>Auditors should identify those businesses for which the LA acts as home authority. If the LA has written home authority agreements, copies should be examined.</i>
Has the Authority followed up referrals made to it by other LAs?	Yes/No	Officer interviews/Audit check Detail:	<i>Auditors should check a number of home authority records. It should be clear that the Authority has appropriately investigated referrals in accordance with their policy and agreed in writing any corrective action required by the company and a closing date by which the action should be taken.</i>
What level of assistance is offered to other authorities on relevant businesses for which the Authority is home/originating authority?		Document review/Audit check Detail:	
How does the Authority ensure that officers liaise with home or originating authorities?		Audit check Detail:	
Is there evidence that the policy on the Home Authority Principle is followed?		All enforcement actions checklists Detail:	

Question	Answer	Comments/Evidence	Auditors notes
How does the LA notify LACORS of home authority arrangements?		Audit check/Officer interview Detail:	

**Documents:** Examples of any home authority agreements.

**Statistics:** Numbers of home authority premises.

10.1 The Authority shall work with businesses to help them comply with food and feeding stuffs legislation. For example this may include:

- running training courses/seminars;
- on the spot advice during routine visits and inspections;
- the provision of advice lines;
- Business Information Sheets;
- responding to queries; and
- dialogue with business through local business partnerships or similar forum.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority work with businesses to help them comply with relevant food law?	Yes/No	Detail of action and evidence:	<p><i>Auditors will need to verify any initiatives as far as is practicable.</i></p> <p><i>If advice is given it must be accurate and reflect current practice [ CP 3.1.6</i></p> <p><i>Auditors should check any in-house produced leaflets/advice. They may also wish to ring any advice line to verify the accuracy of the advice given.</i></p> <p><i>Auditors may check to see if there is a budget allocation for this work. Agendas and minutes of any meetings held with businesses may be required.</i></p> <p><i>Auditors may also check records of any evaluations of advisory activities.</i></p>

Question	Answer	Comments/Evidence	Auditors Notes
<p>Has the Authority ensured that potential or actual conflicts of interest do not arise?</p>	<p>Yes/No</p>		<p><i>Food Authorities should ensure that their officers are aware of potential conflicts of interest that may arise in an enforcement situation through promotion of the Food Authority's services.</i></p> <p><i>Food Authorities should ensure that potential or actual conflicts of interest do not arise as a result of home or originating authority responsibilities and contracting in services for enforcement purposes.</i></p> <p><i>Food Authorities and their officers should avoid promoting the Food Authority's services exclusively if other providers of those services exist in the area.</i></p> <p><i>Pest control and food hygiene training are examples of Food Authority services that may be provided in competition with those supplied by other organisations. [CP – 1.3.2]</i></p> <p>Where a food authority delegates enforcement to an independent third party (control body) then that authority must obtain proof that the control body is impartial and free from any conflict of interest as to regards the tasks delegated to it.</p>

**Documents:** Examples of any unique advisory letters or leaflets, minutes of any business liaison meetings, outcomes of consultation, budget allocation, any evaluation documents.



Question	Answer	Comments/Evidence	Auditors Notes
How does the Authority control the information entered onto the database?		Detail:	<p><i>Arrangements might include:</i></p> <ul style="list-style-type: none"> <li>• <i>Restricted access for entering and deleting premise;</i></li> <li>• <i>Documented input protocols;</i></li> <li>• <i>Training of input staff;</i></li> <li>• <i>Mandatory fields;</i></li> <li>• <i>Dedicated input staff.</i></li> </ul>
How does the LA verify the information held on its database?		Detail:	<p><i>The effort the Authority needs to expend in checking the database will depend on the amount of users and the number of entries made. Arrangement might include:</i></p> <ul style="list-style-type: none"> <li>• <i>Data management checks e.g. Reports showing missing fields such as risk score, premises usage code etc. Reports showing names and addresses against a particular usage code to verify that they have been correctly allocated.</i></li> <li>• <i>File audits to check for errors inputting from standard input sheets and whether hard copy files correspond to the information held on computer e.g. copies of inspection forms will indicate where an inspection should be recorded on the computer.</i></li> <li>• <i>Utilising audit logs to ensure timely updates of records.</i></li> </ul>
Who has management responsibility for the database?		Detail:	
<p>Do they take responsibility for recording:</p> <ul style="list-style-type: none"> <li>• Details of any problem with the system and the action taken?</li> <li>• User access definitions?</li> <li>• Configurations of any standard reports?</li> </ul>	<p>Yes/No</p> <p>Yes/No</p> <p>Yes/No</p> <p>Yes/No</p>		<p><i>Some proprietary systems will have reports set up by the computer company. Others have report writing capabilities that are easily understood. Auditors should verify that the person responsible has knowledge of what any standard reports are showing him especially where these are used to monitor compliance with the service plan or make returns to the Agency.</i></p>

**Documents:** Database procedures

**(FAP/10) Food and Feeding Stuffs Inspection and Sampling [The Standard- para. 12].**

**[NB: Formal enforcement actions carried out following inspection/sampling also covered by para. 15 of The Standard 'Enforcement']**

- 12.1 The Authority shall ensure that food and feeding stuffs are inspected in accordance with relevant legislation, Food Law Code of Practice and centrally issued guidance to ensure that food and feeding stuffs meet legally prescribed standards.
  - 12.2 The Authority shall take appropriate action on any non-compliance found in accordance with the Authority's enforcement policy.
  - 12.3 The Authority shall set up, maintain and implement documented procedures for the inspection of food and feeding stuffs.
  - 12.4 The Authority shall set up, maintain and implement a documented sampling policy and programme that shall accord with any centrally issued or relevant guidance, and relevant Food Law Code of Practice and shall include reference to its approach to any relevant national sampling programme centrally co-ordinated by the Food Standards Agency.
- NOTE: The Authority should consider the nature of its food and feeding stuffs establishments, and where applicable the nature of imported foods and feeding stuffs, and also have regard to any relevant sampling programme centrally co-ordinated by LACORS and in Scotland, the HPS and SFELC (the Scottish Food Enforcement Liaison Committee),
- 12.5 The Authority shall set up, maintain and implement documented procedures for the procurement or purchase of samples, continuity of evidence and the prevention of deterioration or damage to samples whilst under their control in accordance with the relevant Food Law Code of Practice and centrally issued guidance.
  - 12.6 The Authority shall carry out sampling in accordance with its documented sampling policy, procedures and programme.
  - 12.7 The Authority shall take appropriate action in accordance with its enforcement policy where sample results are not considered to be satisfactory.
  - 12.8 The Authority shall, where appropriate, ensure a Public Analyst, and/or Agricultural Analyst is appointed to carry out examinations and analyses of food and feeding stuffs samples. In making these appointments all relevant legal requirements and Food law Code of Practice shall be satisfied. All samples for examination should be submitted to a Food Examiner at a laboratory accredited for the purpose of examination.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority have a documented sampling policy? [CP – 6.1.2]	Yes/No	Document review/PVQ	Auditors will need to take account of the LA's range of responsibilities when assessing the completeness of the sampling policy, procedures and programme e.g. specific imported food/Approved Premises responsibilities.
<b>If YES, does the sampling policy take into account:</b>			
• A risk based approach?	Yes/No		
• Home Authority premises?	Yes/No		

Question	Answer	Comments/Evidence	Auditors Notes
• Originating Authority premises?	Yes/No		
• Process monitoring?	Yes/No		
• Complaints?	Yes/No		
• Surveys – national & regional?	Yes/No		
• Special investigations?	Yes/No		
• ERTS/Imported food?	Yes/No		<i>[ERTS = Enhanced Remote Transit Sheds]. Where appropriate, the policy should cover any responsibilities for sampling as a port of entry/any ERTS in the area.</i>
Does the Authority have a sampling procedure?	Yes/No		
<b>If YES, does the sampling procedure cover:</b>		Document review	
• Equipment required?	Yes/No		
• Procurement of samples?	Yes/No		
• Sample size?	Yes/No		<i>Procedures may reference centrally issued protocols that cover sample size/method of sampling, or those drawn up by food liaison groups.</i>
• Method of sampling (hot, cold, frozen, solid, liquid, bulk etc)?	Yes/No		
• Equipment required?	Yes/No		
• Sealing, labelling, bagging?	Yes/No		
• Documentation?	Yes/No		
• Sealing, labelling and bagging?	Yes/No		
• Storage and transport?			
Question	Answer	Comments/Evidence	Auditors Notes

• Results and further action?	Yes/No		
• Traceability/continuity of evidence?	Yes/No		
• Link with FA procedure	Yes/No		[FA = Food Alert]
• Contact with PA/FE/HPS	Yes/No		[PA = Public Analyst. FE = Food Examiner. HPS = Health ProtectionScotland]
Does the LA have a documented sampling programme? [CP – 6.1.2]	Yes/No	Document review/PVQ	
If YES, was the programme developed in consultation with the PA/FE? [CP – 6.1.2]	Yes/No	Audit check	
Is the programme in accordance with the sampling policy?	Yes/No	Document review	
Is the sampling programme being implemented?	Yes/No	Officer interview/Audit checks	<i>Auditors should note that monitoring returns will also give an idea of activity prior to the audit. If the LA has not met its programme, any review carried out with the PA/FE should be checked to determine the reasons.</i>
Has appropriate action followed sample results that were not considered satisfactory?	Yes/No	Checklist (FAC) N	<i>The auditor will need to examine records of sampling activity. Where samples have been unsatisfactory, the premises files/interviews with officers should establish whether appropriate action has been taken. The PA/FE reports will give an indication whether the food met legal requirements and if further investigation was necessary.</i>  <i>NB: Formal enforcement follow-up actions are recorded on Protocol (FAP/15) 'Enforcement'.</i>
Are all microbiological and formal food standards food samples submitted to an Official Control laboratory?	Yes/No	Checklist (FAC) N	Details of the Public Analyst and the Food Examiner should be within the service plan information and provided with the PVQ information. The List of official labs can be found at <a href="http://www.food.gov.uk/enforcement/foodsampling/foodcontrollabs#h_4">http://www.food.gov.uk/enforcement/foodsampling/foodcontrollabs#h_4</a>

Question	Answer	Comments/Evidence	Auditors Notes
If applicable, are all feeding stuffs samples sent to the Agricultural Analyst?	Yes/No	Checklist (FAC) N	

**Documentation:** sampling policy, sampling procedures, sampling programmes (current and last year's), appointment letters for PA and AA (where applicable), SLA with lab(s), sampling budget.

**Statistics:** Numbers of samples taken, verification of OCD statistics.

**(FAP/11) Control and Investigation of Outbreaks and Food related Infectious Disease [The Standard – para. 13]**

- 13.1 The Authority shall set up, maintain and implement a documented procedure which has been developed in association with all relevant organisations in relation to control of outbreaks of food related infectious disease in accordance with relevant central guidance.
- 13.2 The Authority shall set up, maintain and implement a documented procedure which has been developed in accordance with centrally issued guidance, and in association with all relevant organisations for the investigation of notifications of food related infectious disease.
- 13.3 All records relating to the control and investigation of outbreaks and food related infectious disease shall be kept for at least 6 years.

Question	Answer	Comments/Evidence	Auditors Notes
Is there a procedure for <b>outbreaks of food poisoning</b> ?	Yes/No	Document Review (PVQ CA2 and CD1)	Auditors should familiarise themselves with 'Department of Health Management of Outbreaks of Foodborne Illness' or relevant devolved administration guidance.
Was the LA consulted/involved in developing the procedure?	Yes/No	Officer interview or list in document. Detail.	Development of outbreak plans/procedures are Health Authority/Board lead, but this should be with the full participation of all parties involved in their implementation.
<b>Does it cover:</b>			
<ul style="list-style-type: none"> <li>The criteria for declaring an outbreak;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>A description of the role and the extent of the responsibilities of each of the organisations and individuals;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>The arrangements for consulting and informing the CDSC or HPS, relevant reference labs, the Health Authority and the FSA;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>The arrangements for liaison with neighbouring LAs and home authorities;</li> </ul>	Yes/No		

Question	Answer	Comments/Evidence	Auditors Notes
<ul style="list-style-type: none"> <li>• Arrangements for creating an outbreak control team, the support for this group and the duties of the group;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>• Support for Outbreak Control Team;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>• Duties of the Outbreak Control Team;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>• The facilities required;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>• The provision of staff outside normal working hours;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>• Final report to CDSC.</li> </ul>	Yes/No		
Has the outbreak procedure been implemented?	Yes/No	Officer interview	<i>The Auditor should check with Colindale on outbreaks in the LA's area. Auditors should check minutes of any Outbreak Control team meetings. The Auditor should note the investigative methods.</i>
Have all outbreaks been investigated properly?	Yes/No		
Does the Authority have a documented procedure in relation to the investigation of <b>food poisoning notifications</b> ?	Yes/No	Document review (PVQ CA2)	<i>(i.e. sporadic /isolated cases)</i>
<b>Does it cover:</b>			
<ul style="list-style-type: none"> <li>• Investigation required for differing organisms;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>• Follow up inspections of implicated food premises;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>• Links with the official laboratory;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>• Identification of possible links between sporadic cases;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>• Sampling suspect food;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>• Taking stool specimens;</li> </ul>	Yes/No		

Question	Answer	Comments/Evidence	Auditors Notes
<ul style="list-style-type: none"> <li>Exclusion of food handlers/those in high risk groups;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>Links with other LAs.</li> </ul>	Yes/No		
Have all incidents been properly investigated?	Yes/No		
Do officers follow the procedures?	Yes/No	Checklist (FAC) R.	

**Documents:** Outbreak Control Plan, procedure on investigation of sporadic infectious disease cases.

**Statistics:** Numbers of outbreaks.

**(IFP/12) Food Safety Incidents [The Standard- para. 14].**

- 14.1 The Authority shall set up, maintain and implement a documented procedure for initiating and responding to food alerts in accordance with the relevant Food Safety Act Code of Practice. For UK points of entry, this procedure should also address RASFF notifications and relevant EC decisions. This procedure shall include out of hours contact arrangements.
- 14.2 The Authority shall maintain a computer system capable of receiving food alerts.
- 14.3 The Authority shall document its response to and the outcome of each food alert.
- 14.4 The Authority shall set up, maintain and implement a documented procedure for responding to food safety incidents.

NOTE: Food safety incidents might be notified as part of the food alert system (see 14.1 above) or as a separate notification from the Food Standards Agency.

- 14.5 The Authority shall notify the Food Standards Agency of any serious localised incident or a wider food safety problem in accordance with the Food Safety Act Codes of Practice or feeding stuffs legislation.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority have a documented procedure for dealing with food incidents in its area? [CP – 1.7.2]	Yes/No	Document review (PVQ B9)	<i>For LA's with ports, does the procedure include arrangements for responding to RASFF notifications and EC Decisions?</i>
Does the food incident procedure include response to food alerts? [CP – 2.2.2]			
Is the procedure for Incidents and Alerts in accordance with Code of Practice? [CP - 1.7.2 & 2.2.2 and Std 14.1]	Yes/No		
Does the Authority have a computer system / electronic mail system capable of receiving food alerts? [CP – 2.2.3]	Yes/No	Checklist (FAC) O	
Does the Authority document its response to each food alert? [Std 14.3]	Yes/No	Checklist (FAC) O	

Question	Answer	Comments/Evidence	Auditors Notes
Has the Authority's responses to food alerts been adequate? [CP – 2.2.5]	Yes/No	Checklist (FAC) O	
Does the Authority have out of hours contact arrangements?	Yes/No	Audit check Detail:	<p><i>Green "Directory of Environmental Health Departments" contact details [CP - 2.2.4]</i></p> <p><i>Auditors will need to cross-reference this issue with the officer authorisation and food inspection procedures.</i></p> <p><i>[Food incidents – system still to be determined for feeding stuffs]</i></p>
Has the Authority had any incident that could be classified as a serious localised incident or a wider food safety problem?	Yes/No	Officer interviews/audit checks Detail:	<p><i>Auditors may also identify incidents through checks made on infectious disease notifications, outbreak and complaint investigations.</i></p> <p><i>In the case of local incidents where the Authority has issued a media release it should be copied to the Agency, who should also be informed if the food business raises objections to the release of the information. [CP 1.7.7]</i></p>
Did the Authority notify the FSA?	Yes/No	Officer interviews/Audit check/Agency records Detail:	<p><i>Matters relating to food hazards where Agency must be notified are listed in CP 2.4.2.</i></p>
Are officers aware of this provision of the code re: notification arrangements?	Yes/No	Officer interviews	

**Documents:** Procedure on Food Hazard Incidents/Alerts, computer print outs of categories of premises.

15.1 The Authority shall set up, maintain and implement a documented enforcement policy, in accordance with the relevant Food Safety Act Codes of Practice, the Enforcement Concordat and other official guidance, approved by the relevant Local Authority Member forum.

NOTE: The enforcement policy or an accurate summary should be readily available to the public and food businesses in the Authority's area.

15.2 The Authority shall set up, maintain and implement documented procedures for follow up and enforcement actions in accordance with the relevant Food Safety Act Codes of Practice and official guidance.

15.3 The Authority shall carry out food law enforcement in accordance with the relevant Food Law Codes of Practice and centrally issued guidance.

15.4 All decisions on enforcement action shall be made following consideration of the Authority's enforcement policy. The reasons for any departure from the criteria set out in the enforcement policy shall be documented.

Question	Answer	Comments/Evidence	Auditors Notes
Has the Authority adopted the Enforcement Concordat?	Yes/No	Document review/Officer interview	
Does the Authority have a written enforcement policy? [CP – 3.1.1]	Yes/No	Document review (PVQ B6)	
<b>Does it cover:</b>			
<ul style="list-style-type: none"> <li>Enforcement options and the circumstances in which they should be used;</li> </ul>	Yes/No	Document review (PVQ B6)	
<ul style="list-style-type: none"> <li>The internal appeals mechanism;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>Emphasis on proportionate enforcement based on risk;</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>Include reference to the involvement of home and originating authorities;</li> </ul>	Yes/No		
Includes the PF Prosecution Code and Code 3.1.10 requirements in deciding to report to the Procurator Fiscal.	Yes/No		
<ul style="list-style-type: none"> <li>Human Rights Act.</li> </ul>	Yes/No		

Question	Answer	Comments/Evidence	Auditors Notes
The LA approach to enforcement where it is the Food Business Operator? [CP – 1.3.3]	Yes/No		
Has the appropriate Member forum approved the policy?	Yes/No	Date: Forum:	<i>The committee minutes should be available to verify this approval. The forum chosen should ensure that the policy is made public.</i>
Are officers aware of the contents of the policy?	Yes/No	Officer interview	
Is there evidence of it being implemented?	Yes/No	Audit check Detail:	<i>This evidence may be in the form of coversheets on prosecutions or notes in relation to follow up on inspections demonstrating that the policy has been considered, or it may be obtained through officer interview</i>
Have any enforcement decisions been made outside the enforcement policy guidelines?	Yes/No	Checklists (FAC) E F G H I J	
Have the reasons been documented?	Yes/No	Checklists (FAC) E F G H I J	
Has the policy or a summary been published?	Yes/No	Audit check	
Is it made available to the public and businesses? And how is this done?	Yes/No	Audit check Detail:	

Question	Answer	Comments/Evidence	Auditors Notes
Does the LA have documented procedures for formal follow up/enforcement actions?	Yes/No		
Have staff been trained in these procedures?	Yes/No	Audit check/Officer interviews/Checklist (FAC) A	
<b>Do the procedures cover:</b>	<i>Auditors should check that the procedures are in accordance with relevant legislation &amp; official guidance.</i>		
<ul style="list-style-type: none"> <li>Prosecutions?</li> </ul>	Yes/No		
Has the Authority acted in accordance with its procedure/policy/official guidance?	Yes/No	Checklist (FAC) I	
<ul style="list-style-type: none"> <li>Emergency prohibitions?</li> </ul>	Yes/No		
Has the Authority acted in accordance with its procedure/policy/official guidance?	Yes/No	Checklist (FAC) H	
<ul style="list-style-type: none"> <li>Hygiene Emergency prohibitions?</li> </ul>	Yes/No		
<ul style="list-style-type: none"> <li>Has the Authority acted in accordance with its procedure/policy/official guidance?</li> </ul>	Yes/No	Checklist (FAC) H	
<ul style="list-style-type: none"> <li>Voluntary closures?</li> </ul>	Yes/No		
Has the Authority acted in accordance with its procedure/policy/official guidance?	Yes/No	Checklist (FAC) H	
<ul style="list-style-type: none"> <li>Detention and seizure?</li> </ul>	Yes/No		
Has the Authority acted in accordance with its procedure/policy/official guidance?	Yes/No	Checklist (FAC) H	Including use of Regulation 27 and Regulation 9 Food Hygiene (Scotland ) Regulations 2006
<ul style="list-style-type: none"> <li>Voluntary surrender?</li> </ul>	Yes/No		
Has the Authority acted in accordance with its procedure/policy/official guidance?	Yes/No	Checklist (FAC) H	

Question	Answer	Comments/Evidence	Auditors Notes
<ul style="list-style-type: none"> <li>• Hygiene Improvement notices?</li> </ul> Has the Authority acted in accordance with its procedure/policy/official guidance?	Yes/No  Yes/No	Checklist (FAC) G	
<ul style="list-style-type: none"> <li>• Remedial Action Notices and Reg 9 notices</li> <li>• Has the Authority acted in accordance with its procedure/policy/official guidance?</li> </ul>	Yes/No  Yes/No	Checklist (FAC) H	Currently limited to establishments “subject to approval under Regulation (EC) 853/2004”
<ul style="list-style-type: none"> <li>• Notices served to deal with illegally imported POAO products?</li> </ul> Has the Authority acted in accordance with its procedure/policy/official guidance?	Yes/No  Yes/No	Checklist (FAC) U	<i>Authorities must take action to deal with illegally imported products of animal origin (POAO) [R.24/25 Products of Animal Origin (Third Country Imports) Regs. 2002 (as amended)].</i>

**Documents:** Enforcement policy and any public versions, minutes confirming Member approval, SLA with Legal Services, formal enforcement procedures.

**(FAP/14) Records and Inspection Reports [The Standard - para. 16]**

- 16.1 The Authority shall maintain up to date accurate records in retrievable form for all food and feeding stuffs premises in its area and relevant checks on imported food and feeding stuffs in accordance with the relevant Food Law of Practice. These records shall include reports of all inspections and visits and the determination of compliance with legal requirements made by the authorised officer, details of action taken where non compliance was identified, details of any enforcement action taken, results of any sampling, details of any complaints and any action taken, and also relevant food and/or feeding stuffs registration, approval and licensing information.
- 16.2 All records shall be kept for at least 6 years, unless they have been marked for longer retention because of litigation or Local Government Ombudsmen review.

<b>Question</b>	<b>Answer</b>	<b>Comments/Evidence</b>	<b>Auditors Notes</b>
Are records of food premises easily retrievable?	Yes/No	Audit check/Enforcement actions checklists	<i>Records will be required for the checks on enforcement. This will go some way in determining whether they are retrievable. Auditors should examine the storage system and attempt to retrieve records themselves.</i>
<b>Question</b>	<b>Answer</b>	<b>Comments/Evidence</b>	<b>Auditors Notes</b>

<p>Do they include relevant details?</p>	<p>Yes/No</p>	<p>Enforcement actions checklists</p>	<p><i>These details may be either on computer databases and/or on paper files. The information to be stored includes:</i></p> <ul style="list-style-type: none"> <li>• <i>information on the size and scale of the business;</i></li> <li>• <i>type of food activities including any special equipment;</i></li> <li>• <i>processes or features, copies of correspondence including documentation associated with approvals or licensing;</i></li> <li>• <i>copies of food sample analysis/examination results. In addition <b>food hygiene:</b></i></li> <li>• <i>assessment of compliance with HACCP requirements;</i></li> <li>• <i>hygiene training by employees including any training on the implementation and operation of the food safety management system;</i></li> <li>• <i>for premises subject to Regulation (EC) 853/2004. details of any derogations in force;</i></li> <li>• <i>approved products handled and cleaning methods employed. <b>food standards:</b></i></li> <li>• <i>existence/assessment of any documented quality system;</i></li> <li>• <i>details of other businesses that produce or import for the business. [CP – 4.5.3]</i></li> </ul>
<p>Are records available for the last 6 years? [CP – 4,5,4]</p>	<p>Yes/No</p>	<p>Enforcement actions checklists</p>	

**(FAP/15) Complaints About the Service [The Standard - para. 17]**

- 17.1 The Authority shall set up, maintain, implement and make readily available to the public and the food and feeding stuffs businesses in its area, a documented complaints procedure regarding complaints about the service.
- 17.2 The Authority shall investigate complaints received in accordance with the relevant centrally issued guidance.
- 17.3 A record shall be made of all complaints received and of the actions taken by the Authority in response to those complaints.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority have a documented complaints procedure?	Yes/No	Document Review (PVQ B11)	<i>This complaint procedure need not be separate to any Authority wide procedure provided under the Enforcement Concordat.</i>
Is it readily available to the public and to business?	Yes/No	Audit check Detail:	<i>Auditors should request a leaflet or explanation of how to complain from the LA reception. The Authority may also have publicised its procedure in leaflets sent to homes and business.</i>
Does the Authority keep a record of complaints made?	Yes/No	Audit check	
Does the Authority keep a record of actions taken in response to complaints made?	Yes/No	Audit check	
Have there been any complaints made about the Service over the last 2 years?	Yes/No	Audit check/Officer interview	
If YES, were they properly investigated?	Yes/No		

**Documents:** Complaints procedure and public leaflet.

**(IFP/16) Liaison with Other Organisations [The Standard - para. 18]**

18.1 The Authority shall put in place liaison arrangements with neighbouring authorities and any other appropriate body aimed at facilitating consistent enforcement in accordance with the relevant Food Law Code of Practice and centrally issued guidance.

Question	Answer	Comments/Evidence	Auditors Notes
Does the LA have liaison arrangements in place with other local authorities?	Yes/No	Audit check Detail + evidence:	<p><i>Liaison arrangements are likely to be via food liaison groups/County Trading Standards groups/Association of Port Health Authorities. The Authority's arrangements should be detailed in their service plan.</i></p>
Does the LA have liaison arrangements in place with other relevant bodies?	Yes/No	Audit check Detail + evidence:	
Dates of the last 3 meetings of relevant liaison groups.		Detail	<p><i>Auditors should look for evidence of these activities when on-site e.g. minutes of last 3 meetings and confirmation that the LA was represented. There may also be records of agendas for routine scheduled meetings.</i></p>
Did a representative of the LA attend all of these meetings?	Yes/No		
Does the Authority have a designated liaison officer?	Yes/No	Document review (PVQ Annex)	

**Documents:** Copies of any relevant liaison group minutes, agendas/minutes for other relevant liaison meetings.

- 19.1 The Authority shall set up, maintain and implement documented internal monitoring procedures in accordance with the Food Law Code of Practice and centrally issued guidance.
- 19.2 The Authority shall verify its conformance with this Standard, relevant legislation, the relevant Food Law Codes of Practice, relevant centrally issued guidance and the Authority's own documented policies and procedures.
- 19.3 A record shall be made of all internal monitoring. This should be kept for at least 2 years.

Question	Answer	Comments/Evidence	Auditors Notes
Does the Authority have a documented monitoring procedure?	Yes/No	Document review (PVQ B12)	Planned inspection programme, quality & consistency [CP –7.1.2] Officers returning to food after > 3 years – should be monitored for at least 3 months [CP - 1.2.4]
Who is responsible for carrying out the monitoring?		Name(s):	
Are there nominated deputies?	Yes/No	Name(s):	If not, auditors should check the arrangements for monitoring in the absence of the person responsible.
<b>Does it cover monitoring of:</b>	<i>Monitoring of the different sections of the Standard may be undertaken at differing frequencies. The aim of monitoring is to ensure compliance with official guidance, the Standard, the Authority's procedures, and for consistency of enforcement between officers. The auditor may consider making use of any third party report in assessing conformance with this part of the Standard.</i>		
<ul style="list-style-type: none"> <li>• Officer authorisations, in line with their individual competencies/ qualifications/ training/ experience?</li> </ul>	Yes/No	Detail:	Include details of any competency matrices used for this purpose.
Compliance with: <ul style="list-style-type: none"> <li>• Official guidance?</li> <li>• Internal policies/procedures?</li> <li>• The Standard?</li> </ul>	Yes/No Yes/No Yes/No		<i>NB: compliance with local policies and procedures will ensure compliance with official guidance/the Standard where these have been developed to reflect the national standards.</i>
<ul style="list-style-type: none"> <li>• Inspections?</li> </ul>	Yes/No		Should include: <ul style="list-style-type: none"> <li>• adherence to the planned inspection programme;</li> <li>• priority given to inspecting businesses according to inspection ratings, compliance with Food Safety CP and FSA guidance;</li> <li>• consistent assessment of inspection ratings;</li> <li>• compliance with relevant inspection forms;</li> <li>• compliance with internal procedures and</li> </ul>

			<p>policies;</p> <ul style="list-style-type: none"> <li>• interpretation and follow-up action is consistent within in that Authority with centrally issued guidance;</li> <li>• that officers are aware of and have access to published industry codes and other centrally issued guidance;</li> <li>• that in relation to food hygiene inspections: priority is given to inspecting businesses subject to Regulation (EC) 853/2004 and that officers have due regard to published UK and EU Guides to Good Practice. [CP – 7.1.2]</li> </ul>
• Alternative Enforcement Strategies?	Yes/No		
• Complaints?	Yes/No		
• Food sampling?	Yes/No		
• Enforcement actions?	Yes/No		
• Outbreaks?	Yes/No		
• Food alerts?	Yes/No		

Question	Answer	Comments/Evidence	Auditors Notes	
<ul style="list-style-type: none"> <li>Frequency of monitoring and responsibility?</li> </ul>	Yes/No			√
<ul style="list-style-type: none"> <li>Quantitative aspects of the Service?</li> </ul>	Yes/No	Detail:	<p><i>Examples of quantitative monitoring may include:</i></p> <ul style="list-style-type: none"> <li><i>No. inspections against the programme;</i></li> <li><i>No. samples against the programme;</i></li> <li><i>No. complaints/service requests outstanding;</i></li> <li><i>Response times against PIs e.g. response to service requests/issue of inspection reports.</i></li> </ul>	
<ul style="list-style-type: none"> <li>Qualitative aspects of the service?</li> </ul>	Yes/No	Detail:	<p><i>[NB: LACORS guidance on monitoring systems 1995]</i></p> <p><i>Examples of qualitative monitoring may include:</i></p> <ul style="list-style-type: none"> <li><i>Consistency exercises;</i></li> <li><i>Team meetings to discuss interpretational issues;</i></li> <li><i>File audits;</i></li> <li><i>Review of paperwork;</i></li> <li><i>Prior approval of formal enforcement actions;</i></li> <li><i>Shadow/verification visits;</i></li> <li><i>Review of complaints about the Service;</i></li> <li><i>Customer satisfaction questionnaires;</i></li> <li><i>Business focus groups.</i></li> </ul>	

Question	Answer	Comments/Evidence	Auditors Notes
<ul style="list-style-type: none"> <li>Monitoring of the database for data integrity and accuracy of data entry? (Including timeliness of data entries and proper use of codes).</li> </ul>	Yes/No	Document review/Audit check Detail:	
Has the procedure been implemented?		Audit check Detail:	<i>Auditors should check team meeting minutes and records of qualitative monitoring activity. Quantitative monitoring is likely to form part of regular management meeting, minutes, reports to Members and reviews against the service plan.</i>
What examples of internal monitoring are evident and at what frequency have they been carried out?		Detail:	
Are records of internal monitoring maintained?	Yes/No	Detail:	
Where necessary have corrective actions been identified and implemented?	Yes/No	Audit check of records	<i>There should be evidence of corrective action where non-conformity is found. Continuing identification of the same problem could indicate that corrective action had not been effective.</i>
How have these been addressed?		Detail:	<i>e.g. training; revised procedures; discussion at Team Meetings etc.</i>

**Documents:** Internal monitoring procedures, copies of any internal reports following consistency and monitoring exercises.

20.1 The Authority shall participate in any appropriate third party or peer review process against the Standard.

Question	Answer	Comments/Evidence	Auditors Notes
Have any inter-authority audit schemes taken place in the LA's area?	Yes/No	Officer interview	<i>The auditor should record the scope of any audits, the dates and whether it was part of a rolling/wider programme. A copy of any audit reports should have been received with the PVQ. If there is no evidence of an inter-authority audits (IAA), the auditor should ascertain whether any such exercises have been undertaken in the area.</i>
Has the Authority participated in any inter authority audit scheme?	Yes/No	Document review (PVQ B13)/Officer interview Scope/Date(s)/Detail of areas covered:	<i>Scope - i.e. full/focused/partial. If not full, detail areas covered.</i>
If YES, was it part of a rolling series of audits/wider programme?	Yes/No	Details:	
Has the Authority participated in any other third party/peer review process?	Yes/No	Document review (PVQ B13)/Officer interview Detail/Date(s):	
If YES, what standard(s) was the audit(s) carried out against? e.g. Port Benchmarking/National guidance/the Standard/ISO etc.		Detail:	

Question	Answer	Comments/Evidence	Auditors Notes
Have corrective actions been identified during any third party/peer review process?	Yes/No	Document review (PVQ B13)/audit check	
If YES, have these corrective actions been programmed as part of an action plan?	Yes/No	Audit check	
Is the Authority adhering to this action plan?  How does the LA ensure that the action plan is completed?	Yes/No	Audit check  Detail:	
Who is responsible for following-up on implementation? e.g. the LA/the auditors?		Detail:	
Is there any over-arching monitoring of IAAs being undertaken by the liaison group? e.g. via a steering group.	Yes/No	Detail:	
Is there any dissemination of good practice?	Yes/No	Detail:	
Have reports on the findings of any audits gone to Members?	Yes/No	Detail:	

**Documentation:** Audit reports, summaries and action plans.

**(FAP/19) Food and Feedingstuffs Safety and Standards Promotions [The Standard- para. 21]**

21.1 The Authority shall promote food and feeding stuffs safety and standards. For example, this may include:

- food safety and standards awards or competitions;
- participation in co-ordinated food and feeding stuffs safety and standards campaigns;
- partnerships with voluntary organisations, the community and other agencies with a view to targeting specific groups;
- targeted dissemination of information on food and feeding stuffs safety and standards issues;
- supporting food safety and standards training in schools and colleges;
- raising awareness of imported food controls.

21.2 The Authority shall maintain records of its food and feeding stuffs safety and standards promotions.

Question	Answer	Comments/Evidence	Auditors Notes
Does the authority undertake any relevant promotional activities?	Yes/No	Detail:	The auditor should ascertain any allocated funding, minutes of relevant meetings with external organisations, feedback/evaluation forms and other evidence of promotional activities.

**Documentation:** Any relevant examples, evidence and good practice.

**Statistics:** Promotions budget.