

## **Audit Checklists**

# ***ASSESSMENT OF LOCAL AUTHORITY FEED/FOOD LAW ENFORCEMENT SERVICE DELIVERY & FOOD BUSINESS COMPLIANCE***

**(revised June 2009)**

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**Checklist (COMP) A –Service Planning**  
**Section 3 – Organisation & Management**

This checklist should as far as possible be completed before the on-site audit

QUESTION:	EVIDENCE & NOTES
<b>Do the service planning arrangements include:</b>	
<ul style="list-style-type: none"> <li>Organisational structure; identifying officers with specialist and managerial responsibilities for food/feed;</li> </ul>	
<ul style="list-style-type: none"> <li>Outline of the local enforcement policy (ie graduated and proportionate approach; higher risk activities and persistent offenders prioritised);</li> </ul>	
<ul style="list-style-type: none"> <li>Outline and estimations of the main areas and likely levels of demand on the service;</li> </ul>	
<ul style="list-style-type: none"> <li>The food hygiene, food standards and feed interventions programmes (as appropriate);</li> </ul>	
<ul style="list-style-type: none"> <li>Where appropriate, reference to the LA’s approach to alternative enforcement strategies;</li> </ul>	
<ul style="list-style-type: none"> <li>The LA’s policy on food and feed complaints, and the likely demand;</li> </ul>	

QUESTION:	EVIDENCE & NOTES
<ul style="list-style-type: none"> <li>The LA's food/feed sampling policy and arrangements for food examination and analysis;</li> </ul>	
<ul style="list-style-type: none"> <li>The LA's policy on the investigation of food poisoning notifications and outbreak control;</li> </ul>	
<ul style="list-style-type: none"> <li>The LA's policy on the handling of food/feed alerts (and RASFF relating to imported food where applicable)</li> </ul>	
<ul style="list-style-type: none"> <li>Details of the liaison arrangements in place;</li> </ul>	
<ul style="list-style-type: none"> <li>Financial allocation;</li> </ul>	
<ul style="list-style-type: none"> <li>Staff resource allocation;</li> </ul>	
<p>Performance review against the service plans, including:</p> <ul style="list-style-type: none"> <li>any identified variance in meeting the preceding year's service plan;</li> <li>areas for improvement;</li> </ul>	

**Checklist (COMP B) – Training Files**  
**Section 5 – Authorised Officers**

Frequency of Checks: A maximum of 5 records should be checked. As a minimum, the training records of the officers to be interviewed should be included. Ideally, there should be one check per grade of officer. Records for the appointed lead officer(s) should be checked, and auditors should select a representative cross-section of authorised officers, including contractors where appropriate. Officers should be asked to provide their authorisation documents. [Blank spaces have been left for training identified by the Authority].

	1	2	3	4	5	EVIDENCE & NOTES
<b>Name/designation of officer</b>  <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 are audited i.e. managers; professional officers; technical officers; temporary/contractor staff and out of hours cover].</i>						
Evidence of qualifications? ie FH:EHORB; Ordinary and/or Higher Food Premises Inspection Certificate. FS: CoP 1.2.9.2 – qualification/ competencies. <i>[NB: Ensure that original certificates have been checked]</i> [Std – 5.3 & CP – 1.2.5 & 1.2.6 FLECP – 1.2.9 & 1.2.6 NB 1.2.6 relates to contract staff]	<b><i>[Note down dates of relevant new and update training within the preceding 5 years]</i></b>					
Update CPD training? (10 hours) [CP – 1.2 FLECP – 1.2.4]						
Recent returner training? (15 hours) (if applicable) [CP – 1.2 FLECP – 1.2.4]						
New appointments/transfers appropriately qualified? [CP –1.2.3 FLECP – 1.2.3 &1.2.4]						
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]						

	1	2	3	4	5	EVIDENCE & NOTES
Training in HACCP principles and auditing of HACCP based food safety management systems. [CP – 1.2.9.1.1 & Annex 2 FLECP – 1.2.9.2 & Annex 2]						
Quality Assurance (Food/Feed Standards/Composition) [CP – 1.2.9.2.3, FLECP – 1.2.9.1]						
Imported food training [Std – 5.4]						
Other? [Customise]						
Other? [Customise]						
Formal enforcement training? e.g. PACE, CPIA and RIPA training [Std – 5.4]						
Training needs identified and programmed? [Std - 5.4]						
Qualification and training records complete and sufficiently detailed? [Std – 5.5]						

**NOTES**

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Level of officer authorisation: [Std – 5.3]	See Notes Below*					
	1	2	3	4	5	EVIDENCE & NOTES
Name of Officer						
General food/premises inspection and enforcement? <ul style="list-style-type: none"> <li>• Food Safety Act 1990 and subordinate regulations (CP 1.2.2)</li> <li>• OFFC (England) Regs 2007</li> <li>• Food Hygiene (England) Regs 2006</li> </ul>						
Specific authorisation under Food Hygiene (England) Regulations 2006: <ul style="list-style-type: none"> <li>• Reg 6 Hygiene Improvement Notices</li> <li>• Reg 8 Hygiene Emergency Prohibition Notices</li> <li>• Reg 9 Remedial Action Notices and Detention Notices</li> <li>• Reg 12 Sampling</li> <li>• Reg 14 Powers of Entry</li> <li>• Reg 27 Certify that food has not been produced, processed &amp; distributed in compliance with food hygiene regs.</li> </ul>						
Contaminants in Food (England) Regulations 2007						
Imported food authorisations:-						
- The Products of Animal Origin (Third Country Imports) (England) Regs. 2006						
- The Products of Animal Origin (Third Country Imports) (England) (Amendment) Regs. 2007						

	1	2	3	4	5	EVIDENCE & NOTES
- The Products of Animal Origin (Import and Export) Regulations 1996						
- The Products of Animal Origin (Import and Export) (Amendment) (England) Regulations 2001						
- Current/relevant Emergency Control Regulations (obtainable from: <a href="http://www.food.gov.uk/multimedia/pdfs/foodstuff_controls.pdf">http://www.food.gov.uk/multimedia/pdfs/foodstuff_controls.pdf</a> )						
Other Regulations made under the European Communities Act 1972						
Food and Environment Protection Act 1985 authorisation *						
<b>Officers enforcing feed legislation:</b>						
- Agriculture Act 1970 (as amended)						
- Feeding Stuffs (Sampling and Analysis) Regulations 1999						
- Genetically Modified Animal Feed Regulations 2004						
- The Feeding Stuffs Regulations 2005						
- Feed (Hygiene and Enforcement) Regulations 2005						
<b>Qualifications, training &amp; experience match authorisation and powers exercised in practice? [Std – 5.3 &amp; 5.4]</b>						

\*NB officers should be selected by the LA for specific FEPA authorisation by the FSA (not the LA).

*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).*

*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.*



**Checklist (COMP) C – FOOD/FEED PREMISES INSPECTIONS & INSPECTION REPORTS**

**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 5 of the 10 files selected for each of food hygiene, food standards and feed inspections (as appropriate) should be examined. The emphasis should be on higher risk premises, particularly those with apparent poor compliance histories, determined from the PVQ inspection histories and pre-site audit database dump checks.

	1	2	3	4	5	6	7	EVIDENCE & NOTES
<b>File Name/identifier</b> <b>Food Hygiene:</b> (A, B & C risk categories – examine a minimum of the last 3 inspections) <b>Food Standards:</b> (A & B – examine a minimum of the last 3 inspections) <b>Feedstuffs</b> (A & B – examine a minimum of the last 3 inspections)								
1. Current/latest R/R and date								
2. Preceding R/R and date								
3. Next preceding R/R and date								
Business inspected at the required frequency over the last 3 inspections?								

	1	2	3	4	5	6	7	EVIDENCE & NOTES
If the risk rating(s) were revised from previous, are reasons recorded on file? [CP – 4.1.5.2.5]								
Are reports sent/left on site [CP – 4.5.2 & Annex 6 FLECP – 4.4..2 & Annex 6]								
Correctly risk assessed (last 3 interventions)? [Std – 7.1 & CP – 4.1.5 FLECP – 4.14 & Annex 5] <i>NB can only assess intervention rating following inspection, partial inspection or audit where sufficient info gathered to complete an assessment.</i>								
Were any revisits necessary?								
Were timely and 'effective' revisits carried out?								
If the Authority has a SotD scheme, is there sufficient information to justify the score given?								
Appropriate aide-memoire in use [CP – 4.1.3 FLECP – 4.1.2]								
Detailed records of inspection maintained [Std – 16.1 & CP – 4.5.3 FLECP – 4.4.3]								
Details on computer database and file are up to date, accurate & consistent. [Std – 16.1 & CP – 4.5.3 FLECP – 4.4.3]								
Records - Size and scale of business [CP – 4.5.3]								

	1	2	3	4	5	6	7	EVIDENCE & NOTES
Records - Type of food activity [CP – 4.5.3]								
Details of: <ul style="list-style-type: none"> <li>• food suppliers, and;</li> <li>• other businesses to which food is supplied. [General Food Regs. 2004 article 18 178/2002]</li> </ul>								
Product recall/withdrawal arrangements, as appropriate (depends on size/scale of business).								
<b>ASSESSMENT OF COMPLIANCE WITH HACCP REQUIREMENTS</b>								
Is there evidence of an assessment of FBO compliance with <b>HACCP requirements</b> ?								
Evidence that assessment of FBO compliance include, the following:								
<ul style="list-style-type: none"> <li>• Identification (by FBO) of potential hazards that must be prevented reduced or eliminated</li> </ul>								
<ul style="list-style-type: none"> <li>• Identification of CCPs at appropriate steps</li> </ul>								
<ul style="list-style-type: none"> <li>• Determining that FBO has established critical limits</li> </ul>								
<ul style="list-style-type: none"> <li>• Determining if FBO has established and implemented effective monitoring procedures at CCPs</li> </ul>								
<ul style="list-style-type: none"> <li>• Establishing that corrective actions are implemented as necessary</li> </ul>								
<ul style="list-style-type: none"> <li>• Determining that verification procedures are adequate to establish that HACCP procedures are working as required</li> </ul>								

	1	2	3	4	5	6	7	EVIDENCE & NOTES
<ul style="list-style-type: none"> <li>Checks that there are HACCP documents and records commensurate with the nature and size of the business.</li> </ul>								
Are contraventions in relation to HACCP requirements picked up and adequately followed up.? [CP – 4.5.3]								
Assessment of business progress in meeting compliance with HACCP requirements adequate and recorded?								
<b>ASSESSMENT OF COMPLIANCE WITH GENERAL HYGIENE REQUIREMENTS</b>								
Do records of inspection findings confirm adequate assessment of compliance with <b>general hygiene requirements in Annex II, Reg. 852/2004</b> , as follows:								
<ul style="list-style-type: none"> <li>General requirements for food rooms (structure, layout, workflow, repair, facilities etc) (Ch. I)</li> </ul>								
<ul style="list-style-type: none"> <li>Walls, floor, ceiling, doors, windows, surfaces in contact with food (Ch. II)</li> </ul>								
<ul style="list-style-type: none"> <li>Equipment requirements (Ch. V)</li> </ul>								
<ul style="list-style-type: none"> <li>Food waste (Ch. VI)</li> </ul>								
<ul style="list-style-type: none"> <li>Water supply (Ch. VII)</li> </ul>								
<ul style="list-style-type: none"> <li>Personal Hygiene (Ch. VIII)</li> </ul>								
<ul style="list-style-type: none"> <li>Provisions applicable to foodstuffs (Ch. IX)</li> </ul>								

	1	2	3	4	5	6	7	EVIDENCE & NOTES
• Wrapping & packaging materials (Ch. X)								
• Heat treatment (Ch XI)								
• Information on hygiene training [CP – 4.5.3] (Ch. XII)								
• Temperature control requirements [Food hygiene Regulations – Sch. 4 Reg. 30]								
Are significant issues/contraventions <b>from previous</b> inspection adequately followed up?								
Are significant issues/contraventions <b>at each</b> inspection adequately highlighted for follow up?								
<b>POST-INSPECTION AND FOLLOW-UP ACTIONS</b>								
Has appropriate follow-up action been taken in light of inspection findings?								
Have previously identified issues/contraventions been addressed and appropriate action taken in case of recurring issues/contraventions?								
*Evidence of internal monitoring on files, including risk ratings? [Std – 19.2 & CP – 7.1]								
<b>FOOD STANDARDS</b>								
Records - Size and scale of business [CP – 4.5.3]								
Records - Type of food activity [CP – 4.5.3]								

	1	2	3	4	5	6	7	EVIDENCE & NOTES
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 an assessment of any imported foods being handled? [CP – A14.12]								
Where food and feed handled, evidence of an assessment of systems to ensure separation? [CP – A14.12]								
*Evidence of internal monitoring on files? [Std – 19.2 & CP – 7.1]								
<b>FEEDSTUFFS</b>								
Records - Size and scale of business [FLECP – 4.4.3]								
Records - Type of feed activity [FLECP – 4.4.3]								
Copies of correspondence with the business [FLECP – 4.4.3]								
Copies of feed sample analysis/ results [FLECP – 4.4.3]								

	1	2	3	4	5	6	7	EVIDENCE & NOTES
Assessment of any documented quality system [FLECP – 4.4.3]								
Details of other businesses that produce or import for the business [FLECP – 4.4.3]								
Details of feed suppliers and other businesses to which feed is supplied. Article 18 178/2002 [FLECP – 4.4.3]								
*Evidence of internal monitoring on files? [Std – 19.2]								

<b>PREMISES INSPECTION REPORTS AND LETTERS - Food Hygiene, Food Standards and Feeding Stuffs</b> Report of Inspection requirements [CP – 4.5 & Annex 6, FLECP 4.4 & Annex 6]								
Follow up letters sent in relation to inspections or revisit in accordance with LA policy and centrally issued guidance [Std – 7.4 & CP – 4.5.2 FLECP – 4.4.2] <b>(CUSTOMISE)</b>	1	2	3	4	5	6	7	EVIDENCE & NOTES
<b>Do inspection reports include:</b>								
• Trading name and address of the business, and registered address if different								
• Name of the food business operator/proprietor								
• Type of business								
• Person seen/interviewed								
• Date and time of inspection								
• Specific legislation under which intervention conducted								
• Areas inspected/audited								
• 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>
• Action to be taken by the food authority								

	1	2	3	4	5	6	7	EVIDENCE & NOTES
• Officer's name/signature legible								
• Designation of inspecting officer.								
• Contact details of inspecting officer								
• Contact details of senior officer								
• Date								
• Food Authority name and address								
Report/letter copied to relevant head office where appropriate [CP – 3.1.5 FLECP – 3.1.5]								
Letters have clear distinction between legal requirements and recommendations [CP – 3.1.6, FLECP – 3.1.6]								
Indication of time scale for achieving compliance [CP – 3.1.6 FLECP – 3.1.6]								
All contraventions clearly identified/worded and the measures needed to secure compliance listed [CP – 3.1.6 ]								
Copies of correspondence with the business on file?[CP – 4.5.3]								
Copies of food sample examination results on file? [CP – 4.5.3]								
*Evidence of internal monitoring on files? [Std –19.2 & CP – 7.1]								

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





**Checklist (COMP) D –Hygiene/Feed Improvement Notices**

**Section 5 – Authorised Officers**

**Section 7 – Food/Feed Premises Inspection**

**Section 15 – Enforcement**

Frequency of checks: A minimum of 3 Hygiene improvement notices served by different officers.

Name of Premises/Notice Identifier	1	2	3	EVIDENCE & NOTES
<i>[Use a separate column where more than 1 notice has been served on the same premises].</i>				
<b>HYGIENE IMPROVEMENT NOTICES</b> (Detail reason for HIN below on separate table)				
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?				
Food business operators full name on notice? [LACORS Guidance June 2006]				
Details of regulation contravened? [CP – 3.1.6 & LACORS guidance				

Name of Premises/Notice Identifier	1	2	3	EVIDENCE & NOTES
2006]				
<b>Reason for contravention:</b> Reason specified? [PG – 3.2.4]				
Wording of notice clear & easily understood? [PG – 3.2.4]				
Wording reflects LACORS/centrally issued guidance?				
<b>Works required:</b> 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]				
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]				

Name of Premises/Notice Identifier	1	2	3	EVIDENCE & NOTES
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 compliance with HIN? [PG – 3.2.8]				
*Any evidence on file of internal monitoring? [Std – 19.2]				

<b>FEED BUSINESS IMPROVEMENT NOTICES</b> (Reason for notice (detail below))	1	2	3	4	EVIDENCE & NOTES
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					
Works required: • Measures to be taken specified					
• Wording of works required clear & easily understood					
Appropriate time limits (14 days min.)					
Liaison with Home Authority where appropriate					
Indication of works of equivalent effect					

FEED BUSINESS IMPROVEMENT NOTICES	1	2	3	4	EVIDENCE & NOTES
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].*

<b>FILE IDENTIFIER &amp; REASON FOR NOTICE</b>	<b>COMMENTS</b>
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	



**Checklist (COMP) E – Emergency Prohibition Procedures and Voluntary Closure of Premises**

**Section 5 – Authorised Officers**

**Section 7- Food/Feed Premises Inspection**

Frequency of Checks: A minimum of 3 or 100% if less has been served in the last 2 years.

Name of premises/Notice Identifier	1	2	3	EVIDENCE & NOTES
<b>FOOD/FEED VOLUNTARY CLOSURE</b> (Detail reason for VC below on separate table)				
Appropriate? Y/N				
VC agreement confirmed in writing with the food business operator and the officer? [CP – 3.3.2.4 FLECP – 3.3.2.6]				
Premises visited to check on closure? [CP – 3.3.2 FLECP – 3.3.2.6]				
Appropriate follow-up action taken on breach of a voluntary closure agreement?				
*Any evidence on file of internal monitoring?				
<b>HYGIENE EMERGENCY PROHIBITION NOTICE</b> (Detail reason for notice below on separate table)				
Were the grounds for service of the HEPN consistent with CP guidance and enforcement				

Name of premises/Notice Identifier	1	2	3	EVIDENCE & NOTES
policy? [Std – 15.1 & CP – 3.3.2]				
HEPN signed by correctly authorised officer? [CP – 1.2.9.1.5]				
HEPO application notified to proprietor at least the day before hearing? [ PG – 3.3.2.2]				
Address of relevant court given? [PG – 3.3.2.2]				
Monitoring visits made? [PG –3.3.16]				
LA has responded to written request to lift the order from FBO within 14 days? [PG – 3.3.20]				
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 revisit 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 file of internal monitoring? [Std – 19.2]				

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

	1	2	3	EVIDENCE & NOTES
<b>EMERGENCY PROHIBITION NOTICE</b> (Detail reason for notice below on separate table)				
Were the grounds for service of the EPN consistent with CP guidance and enforcement policy? [Std – 15.1 & CP – 3.3.3]				
EPN signed by correctly authorised officer? [CP – 1.2.9.1.6]				
EPO application notified to proprietor at least the day before hearing? [ PG – 3.3.15]				
Address of relevant court given? [PG – 3.3.2.2]				
Monitoring visits made? [PG –3.3.16]				
LA has responded to written request to lift the order from proprietor within 14 days? [PG – 3.3.20]				
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 revisit 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]				

<b>FEED BUSINESS EMERGENCY PROHIBITION NOTICE</b> Reason for prohibition - (detail below)	1	2	3	4	5	EVIDENCE & NOTES
Was the correct issue the subject of prohibition?						
Was the FBEPN appropriate? [FLECP – 3.3]						
FBEPN signed by correctly authorised officer						
Premises meets criteria set out in enforcement policy and [FLECP – 3.3.2.1]						
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	EVIDENCE & NOTES
Certificates issued lifting FBEPOs ASAP/within 3 days of determination						
Appeal rights notified to feed business operator if lifting of FBEPO refused?						
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]						

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

FILE IDENTIFIER	REASON FOR CLOSURE
1.	
2.	
3.	
4.	
5.	



**Checklist (COMP) F - Prosecutions and Simple Cautions**

**Section 5 – Authorised Officers**

**Section 7 – Food Premises Inspection**

**Section 15 – Enforcement**

Frequency of checks: A minimum of 3 or 100% if less have been taken in the last 2 years.

	1	2	3	4	5	EVIDENCE & NOTES
<b>Name of Premises/Premises Identifier</b>						
<b>PROSECUTIONS</b> <i>(Detail reason for prosecution below on separate table)</i>						
Was prosecution the appropriate course of action? [CP – 3.1 FLECP – 3.1.9]						
Authorised by officer with appropriate delegated powers? [Std – 5.3] <b>[CUSTOMISE]</b>						
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]						

	1	2	3	4	5	EVIDENCE & NOTES
Prosecution taken without unnecessary delay? [CP – 3.1.10]						
Action taken under correct legislation?						
*Any evidence on files of internal monitoring? [Std–19.2]						

	1	2	3	4	5	EVIDENCE & NOTES
<b>SIMPLE CAUTIONS</b> <b>(Detail reason for SC below on separate table)</b>						
Was use of SC the appropriate course of action?						
Was the evidence adequately presented/ documented?						
Is there sufficient evidence of the suspect’s guilt to meet the threshold test? **						
Is there a record of the admission of the offence signed by the suspect?						
Has SC been administered in accordance with Home Office Circular 16/2008?						
Authorised by officer with appropriate delegated powers? [Std – 5.3] <b>[CUSTOMISE]</b>						
Evidence that Enforcement Policy has been considered? [Std – 15.3]						

	1	2	3	4	5	EVIDENCE & NOTES
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 issued without unnecessary delay? [3.1.10]						
SC prepared in accordance with LA procedures? <b>[CUSTOMISE]</b>						
Action taken under correct legislation?						
*Any evidence on files of internal monitoring? [Std-19.2]						

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

\*\* Threshold test – sufficient evidence for there to be on an objective basis at least a reasonable suspicion that the person has committed an offence and it is in the public interest to charge.

FILE IDENTIFIER	REASON FOR PROSECUTION/FORMAL CAUTION
1.	
2.	
3.	
4.	
5.	



**Checklist (COMP) G –Detentions, Seizure and Voluntary Surrender (VS) of Food/Feed**

**Section 5 – Authorised Officers**

**Section 7 – Food Premises Inspection**

**Section 12 – Food Inspection and Sampling**

Frequency of checks: A minimum of 3 files should be inspected or less if fewer have been served in the last 2 years.

	1	2	3	4	5	EVIDENCE & NOTES
<b>Name of Premises/premises Identifier</b>						
<b>VOLUNTARY SURRENDER</b>						
(Detail reason for VS below on separate table)						
VS appropriate?						
Did receipts state “voluntarily surrendered for destruction”? [CP – 3.4.9 FLECP – 3.4.6]						
Receipt signed by the officer? [CP – 3.4.9 FLECP – 3.4.6]						
Counter-signed by person surrendering food/feed? [CP – 3.4.9 FLECP – 3.4.6]						
Receipt records time place and method of destruction? [CP - 3.4.9 FLECP – 3.4.6]						
Record of destruction e.g. waste transfer note kept on file? [CP - 3.4.10 FLECP – 3.4.7]						

	1	2	3	4	5	EVIDENCE & NOTES
Where necessary was food disfigured/stained to prevent any possibility of it re-entering the food chain? [CP –3.4.10]						
*Any evidence on file of internal monitoring? [Std-19.2]						
<b>FOOD SAFETY ACT/FEED HYGIENE REGULATION DETENTION</b>						
Inspection and decision to detain food taken by correctly Authorised Officer? [CP – 1.2.9.3.1 FLECP – 1.2.2]						
Food/feed detention notice signed by officer who takes the decision? [CP – 3.4.6 FLECP – 3.4.4]						
Detention appropriate? Y/N						
Does notice clearly specify foods/feeds to be detained? [CP – 3.4 FLECP – 3.4.4]						
Arrangements made to ensure the security of the food were satisfactory? [CP – 3.4.4 FLECP – 3.4.2]						
Removed to another Authority's area? (Y/N)						
If yes, arrangements made with LA to monitor? [CP – 3.4.4 FLECP – 3.4.2]						
Withdrawal notice served within 21 days? (Y/N) [CP – 3.4.7 FLECP – 3.4.4.1]						
Decision re withdrawal notice taken by correctly authorised officer? [CP – 3.4.7 FLECP – 3.4.4.1]						
If no, has food been seized? [FSA s9]						

	1	2	3	4	5	EVIDENCE & NOTES
*Any evidence on file of internal monitoring? [Std-19.2]						
<b>REGULATION 27 CERTIFICATION (FOOD ONLY)</b>						
Standard form used? (CP 3.4.2)						
Action appropriate?						
Food subsequently seized or voluntary surrendered?						
<b>SEIZURE FOOD/FEED</b>						
Inspection and decision to detain food/feed taken by correctly Authorised Officer? [CP – 1.2.9.3.1 FLECP – 1.2.2]						
Seizure appropriate? Y/N						
Written confirmation issued immediately after seizure? [CP – 3.4.6 FLECP – 3.4.4]						
Chain of evidence from detention to seizure? [CP – 3.4.5]						
Person in charge notified of hearing by food condemnation warning notice? [CP – 3.4.6 FLECP – 3.4.4]						
Owner notified of hearing? [CP – 3.4.6 FLECP – 3.4.4]						
Food brought before magistrate within two days? [CP – 3.4.5 FLECP – 3.4.3]						
Receipt records time, place and method of destruction? [CP – 3.4.9 FLECP – 3.4.7]						
Record of destruction e.g. waste transfer note kept on file? [CP - 3.4.10 FLECP – 3.4.7]						

	1	2	3	4	5	EVIDENCE & NOTES
*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.	

**Notes**

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**Checklist (COMP) H 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 3 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	EVIDENCE & NOTES
File reference						
Type of establishment						
Approval number(s)						
Is there sufficient evidence that the establishment requires approval?						

<b>Premises:</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>EVIDENCE &amp; NOTES</b>
Date of most recent 'inspection' [Std – 7.1]						
Current intervention rating						
If intervention rating revised from previous, are reasons recorded on file? [CP – 4.1.5.2.5]						
Was inspection based on relevant form for business? [CP 4.1.3]						
Report/letter sent? [Std - 7.4]						
If any other intervention type used at the last visit, was it appropriate, and is explanation for choice of intervention documented on file? [CP – 4.1.5.2.5]						
<b>REVIEW OF LAST 3 INSPECTIONS</b>						
Were last 3 inspections carried out at the minimum frequency specified in the CoP?						
Was establishment correctly risk assessed at last 3 inspections or other interventions? [Std – 7.1 & CP – 4.1.5] <i>NB can only assess intervention rating following inspection, partial inspection or audit where sufficient info gathered to complete an assessment.</i>						
<b><i>Do file records /reports confirm the scope of the inspection/intervention and if not all elements were covered, is the reason recorded?</i></b>						

Premises:	1	2	3	4	5	EVIDENCE & NOTES
<b>Does the most recent file record /report/follow up letter confirm that the scope of the intervention included at least:</b>						
<ul style="list-style-type: none"> <li>• Confirmation of operations carried out</li> </ul>						
<ul style="list-style-type: none"> <li>• Confirmation of products produced</li> </ul>						
<ul style="list-style-type: none"> <li>• Assessment of effectiveness of CCP's</li> </ul>						
<ul style="list-style-type: none"> <li>• Examination of CCP records</li> </ul>						
<ul style="list-style-type: none"> <li>• Review of use of health marks and any commercial documents</li> </ul>						
Inspected by officer with correct authorisation. [Std – 5.3 CP - 1.2.9.1.3]						
Revisited in accordance with LA policy [Std - 7.4] <b>[CUSTOMISE]</b>						
Does the scope of the inspection/audit form ensure that the establishment is appropriately assessed against the requirements of 852/2004 and annexes II and III of 853/2004? [CP 5.1] [Std. 7.2]						
<i>(Where establishment was initially approved under revoked/previous legislation)</i> Has the establishment been appropriately re-approved under current hygiene legislation?						

<b>Premises:</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>EVIDENCE &amp; NOTES</b>
Is establishment file properly structured and does it contain relevant records/information as per guidance in Appendix 3, Annex 12 of PG? [PG pages 189-190]						
<b><i>Copies of documents provided by establishment or copied at premises including:</i></b>						
<ul style="list-style-type: none"> <li>• HACCP documentation?</li> </ul>						
<ul style="list-style-type: none"> <li>• Copy of company's emergency withdrawal plan including product recall procedures, full contact details of suppliers, customers and key members of staff?</li> </ul>						
Approval notification document on file?						
Was approval granted without reasonable delay?						
<b><i>Does the approval document specify:</i></b>						
<ul style="list-style-type: none"> <li>• Details of activities to which approval relates?</li> </ul>						
<ul style="list-style-type: none"> <li>• Approval number?</li> </ul>						
<ul style="list-style-type: none"> <li>• Whether full or conditional approval?</li> </ul>						
<ul style="list-style-type: none"> <li>• Any derogation granted?</li> </ul>						
<ul style="list-style-type: none"> <li>• Any other conditions specified by LA?</li> </ul>						
<ul style="list-style-type: none"> <li>• Any arrangements acceptable to LA?</li> </ul>						

<b>Premises:</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>EVIDENCE &amp; NOTES</b>
<b>CONDITIONAL APPROVAL</b>						
Granting of conditional approval appropriate? <sup>1</sup> (CP 5.1.8, PG A.3.4)						
Inspection to check compliance within 3 months? (CP 5.1.8, PG Annex 4)						
If conditional approval extended – was this appropriate course of action? (PG Annex 4)						
If conditional approval extended - inspection to verify compliance within 6 months of original issue? [CP 5.1.8]						
FSA/ FBO notified? [CP 2.4.3]						
<b>WITHDRAWAL</b>						
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 requirements of the Regulation -Activities requiring approval may not be undertaken. -Right of appeal						

<sup>1</sup> All infrastructure (inc HACCP) and equipment requirements met

Premises:	1	2	3	4	5	EVIDENCE & NOTES
<b>SUSPENSION</b>						
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 lifting of notice in writing?						
<b>REMEDIAL ACTION NOTICE</b>						
Was the notice [standard forms in CP A.7.7]						
• Served by authorised officer (CP 1.2.9.1.8) 2						
• Served on FBO or duly authorised representative (A.7.7)						
<i>If served in relation to breach of Regs, does the notice:</i>						
• State the nature of the breach						
• Specify the action required to remedy the breach						

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





**Checklist (COMP) I – Approved 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 5 premises files should be checked.

	1	2	3	4	5	EVIDENCE & NOTES
<b>File Name/identifier</b>						
<b>Initial Approval</b>						
Type of establishment						
Date of initial approval visit?						
Record of visit on file or evidence that approval undertaken by the Animal Medicines Inspectorate on behalf of the Authority?						

	1	2	3	4	5	EVIDENCE & NOTES
Evidence of the following :						
Assessment of the risk of the enterprise failing to meet feed compositional requirements;						
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; EC Regulation 183 Annex II						
Assessment of compliance with composition, presentation and labeling requirements by examining labels, descriptions, formulae and other records;						
Assessment of compliance with the traceability requirements of Article 18 of Regulation 178/2002;						
<b>Recommendations of good practice in accordance with relevant industry codes and other relevant technical standards</b>						

	1	2	3	4	5	EVIDENCE & NOTES
<b>Does the feed business appear in the FSA list of approved businesses?</b>						
Date of last primary inspection [Std – 7.1]						
Was inspection based on relevant inspection form? [FLECP – 4.1.2]						
Report/letter sent? [FLECP – 4.4.2]						
If inspection undertaken on behalf of the Authority by the Animal Medicines Inspectorate evidence on file of assessment by the authority of the inspection?						
Date of previous primary inspection [Std – 7.1]						
Was inspection based on relevant inspection form? [FLECP – 4.1.2]						
Report/letter sent? [FLECP – 4.4.2]						
If inspection undertaken on behalf of the Authority by the Animal Medicines Inspectorate evidence on file of assessment by the authority of the inspection?						
Date of previous primary inspection [Std – 7.1]						

	1	2	3	4	5	EVIDENCE & NOTES
Was inspection based on relevant inspection form? [FLECP – 4.1.2]						
Report/letter sent? [FLECP – 4.4.2]						
If inspection undertaken on behalf of the Authority by the Animal Medicines Inspectorate evidence on file of assessment by the authority of the inspection?						
Six years records [Std – 16.2]						
Records of amendment of approvals [Std – 7.2 & 16.1]						
All inspection details on the database. [Std – 11.1]						
Withdrawal of Approvals Feed H and E Regs 2005 - Regulation 11						
Written notice served.						
Register of approved premises amended.						
*Evidence of internal monitoring on files. [Std – 19.2]						

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

**NOTES**

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**Checklist (COMP) J – Database and Monitoring Returns**  
**Section 7 – Food and Feeding Stuffs Premises Inspection**  
**Section 11 – Food Premises Database**

Frequency of checks: A minimum of 6 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. Different parts of the Authority's area should be included.

	1	2	3	4	5	6	7	EVIDENCE & NOTES
<b>Name of premises</b>								
<b>FOOD HYGIENE</b> Record on computer system [Std – 11.1]								
Premises included within the food hygiene intervention programme								
<b>FOOD STANDARDS</b> Record on computer system [Std – 11.1]								
Premises included within the food standards inspection programme								

	1	2	3	4	5	6	7	EVIDENCE & NOTES
<b>FEEDING STUFFS</b> Record on computer system [Std – 11.1]								
Premises programmed for inspection								

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## **Checks on Monitoring Returns:**

### **1. *Pre-audit checks***

- Where the LA has provided an excel spreadsheet of food/feed premises details and inspection information prior to the audit, this should be checked/analysed for accuracy e.g. missing fields; duplicate entries; inappropriate/inaccurate/impossible risk rating scores; overdue inspections etc.
- All monitoring returns for the preceding 2 years should be checked for any anomalies and inconsistencies (e.g. high numbers of interventions but very low figures for informal written warnings).
- Lists of actions carried out are requested from LAs as part of their PVQ submission (e.g. interventions; complaint investigations and enforcement actions) and should be cross-referenced with the monitoring returns for inconsistencies (e.g. 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.
- Look on Authority's website for any food hygiene information scheme (such as SotD) ratings.
- Does the LAs sampling rate for imported foods as a percentage of all food samples meet the 10% target set by the Agency?
- Has the LA received funding from the Agency for imported food sampling? (either individually or as part of a regional scheme) – IFFSED can advise.
- Local feed establishments (farms/mills/hauliers) that may require Approval or Registration should be researched to establish if they are being properly identified.

## 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 (e.g. on inspection files audited, checks made to ensure that interventions are recorded as such on the database, revisits are correctly coded, 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.
- Check whether LA records information on enforcement relating to imported foods, e.g. samples taken, separately (not necessarily electronically) to enable response to IF questionnaire.
- ***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 intervention programme will also have been provided with the PVQ information):***

**Reports for On-Site Audit Checks of Databases:**

REPORT	PURPOSE	SUMMARY OF FINDINGS
<b>FOOD</b>		
<b>'No inspectable risk' (NIR) premises list</b>	All premises with 'no inspectable risk' ratings to check that all relevant premises are included in the intervention programme. Can be used to identify incorrectly risked premises and useful in determining compliance with an intervention programme.	
<b>All A or high risk rated premises</b> with last and next intervention date.	Incorrectly rated premises may be identified; differences from monitoring returns; overdue interventions; premises missing from the intervention programme and any with no food activity.	
<b>Premises which are broadly compliant</b> (all risk categories)	This will demonstrate if LA can identify premises to report against the new NI 184 and provide accurate LAEMS data. Auditors should cross check report against individual risk ratings on a selection of premises to ensure they fall within the definition of 'broadly compliant'.	
Those premises with a food inspection code and <b>no risk assessment rating.</b>	Usually these would be premises that have recently opened but not yet inspected.	
<b>Overdue interventions</b> with premises type and dates of last or next interventions.	List of overdue interventions by risk category enables comparison with monitoring returns and figures on PI performance in Service Plan.	
Identify <b>categories of premises</b> e.g. delicatessens	This report will show whether the Authority can easily identify categories of premises that may require action in response to food alerts	
List of lowest rated premises in any food hygiene information (SotD) scheme.	This report will identify businesses that are likely to require formal enforcement action.	

REPORT	PURPOSE	SUMMARY OF FINDINGS
<b>FEEDING STUFFS</b>		
Total number of inspection visits to approved premises.	Compare against figures submitted in the latest return to the Animal Feed Unit.	
Total number of visits to registered premises.	Compare against figures submitted in the latest return to the Animal Feed Unit.	
Total number of enforcement actions.	Compare against figures submitted in the latest return to the Animal Feed Unit.	
Total number of samples from approved operators.	Compare against figures submitted in the latest return to the Animal Feed Unit.	
Total number of samples from registered operators.	Compare against figures submitted in the latest return to the Animal Feed Unit.	
Total number of samples from other operators.	Compare against figures submitted in the latest return to the Animal Feed Unit.	
List of “no inspectable risk” and unrated premises	Compare against figures submitted in the latest return to the Animal Feed Unit.	



**Checklist (COMP) K –Food and Food Premises Complaints**  
**Section 8 – Food and food premises complaints**

Frequency of checks: A minimum of 5 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	EVIDENCE & NOTES
<b>Complaint reference</b>							
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 – 1.1.7 FLECP 1.1.5]							
Appropriate investigation carried out.							
Appropriate action taken on findings							

File reference	1	2	3	4	5	6	EVIDENCE & NOTES
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? <b>[CUSTOMISE]</b>							
Complaint details on premises file [Std – 16.1]							
FSA contacted as appropriate. [CP – 1.7.7 & 2.4 FLECP 1.6.2.6 & 2.4]							
*Any evidence of internal monitoring on files? [Std -19.2]							

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

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**Checklist (COMP) L – Food/Feed Sampling**  
**Section 5 – Authorised Officers**  
**Section 12 – Food inspection and sampling**

Frequency of Checks: A minimum of 5 checks should be made.

	1	2	3	4	5	6	EVIDENCE & NOTES
<b>Sample number/premises reference:</b>							
<b>General</b>							
Part of sampling programme/in accordance with sampling policy. [Std – 12.3 & CP – 6.1.2 FLECP 5.2]							
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 ]							

