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Local Authority _____

Establishment _____

Date _____

2008-09 Focussed Audit of Establishments Subject to Approval under

Regulation (EC) 853/2004

FOOD BUSINESS OPERATOR CHECKLIST

Approved Establishment trading Name:	
Address:	
Approval Code: Date of notification of approval Method of notification of approval	
Food Business Operators (FBO) name:	
Tel. No:	
Brief outline of operation: (scope, activities and specific products)	

General Notes

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1. Receipt, Identification

Verification check	Findings/Comments	Evidence
<p><i>Any checks or assessment undertaken by Authorised Officer (AO) on incoming products YES/NO</i></p> <p>What checks are carried out? (describe)</p> <ul style="list-style-type: none"> • Quality YES/NO • Safety YES/NO • Fitness YES/NO • Temperature: YES/NO • Best before/Use by dates: YES/NO • Other checks? • Traceability • Movement documents (shellfish) <p><i>Any issues identified by AO in this area that requires action by the FBO YES/NO</i></p> <p><i>Action taken</i></p>		<p>Commercial documents Delivery Notes 'Goods-in' records Incoming product specifications Suppliers' warranty of product quality</p> <p>LA File check/records LA letters Notices</p>
<p><i>[(1) Requirement for application of identification mark – Annex II Reg. (EC) No 853/2004 – FBOs shall not place on the market a POAO handled in an establishment subject to approval, unless it has either a health mark (854/2004) or an identification mark applied in accordance with Annex II Reg. (EC) No 853/2004 – (2) Reg. No (EC) 852/2004 – Chapter IX – FBO must not accept raw material or ingredients if it is known to be or might reasonably be expected to be contaminated.....(3) Incoming products should bear i.d. mark. On receipt it may be marked with FBOs own mark to facilitate traceability. Identification or coding for traceability purposes is distinct from the product identification requirements under 853/2004]</i></p>		

2. Approved establishment processes and operations

Verification check	Findings/Comments	Evidence
<p><i>Approval activities match the scope of approval given by the LA</i></p> <p>YES/NO</p> <p><i>Any issues identified by AO in this area that requires action by the FBO</i> YES/NO</p> <p><i>Are these repeat issues from earlier inspection(s)</i></p> <p>YES / NO</p> <p><i>Action(s) taken?</i></p>		<p>HACCP Plan Process monitoring records Processing procedures Dispatch records/notes Commercial documents Delivery Notes</p> <p>LA File check/records LA letters Notices</p>

3. Hygiene requirements

Verification check	Findings/Comments	Evidence
<p>Does AO assess FBO compliance with PRP's/GHP/ GMP / PRP's ? YES/NO?</p> <p>Any evidence to support this?</p> <p>How does AO assess GHP re:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Design and maintenance of premises and equip; <input type="checkbox"/> Cleaning & disinfection <input type="checkbox"/> Pre-operational, operational and post-operational hygiene, <input type="checkbox"/> Personal hygiene <input type="checkbox"/> Staff training, <input type="checkbox"/> Pest control <input type="checkbox"/> Water quality, <input type="checkbox"/> Temperature control, <input type="checkbox"/> Temperature requirements <input type="checkbox"/> Product/environmental samples <input type="checkbox"/> Use & security of approval No. by FBO <p>Any issues identified by AO in this area that requires action by the FBO YES/NO</p> <p>- Action taken?</p>		<p>FBO GHP procedures Food hygiene policy documents FBO Records of staff training, pest control, cleaning schedules, temperature records, sample analysis records, water testing records, maintenance records, etc</p> <p>LA File check/records LA letters Notices</p>
<p><i>[Approved Establishments are required to comply with hygiene requirements in accordance with Reg. (EC) No 852/2004]</i></p>		

4. Use of Identification Marks and Traceability

Verification check	Findings/Comments	Evidence
<p>Assess if AO checks FBOs use of identification mark correctly and appropriately. (853 A5 and Annex II sec 1 853 Annex II Application (A) 853 Annex II Method (C))</p> <p>Is identification mark applied to all processed products despatched from the establishment? YES/NO (178 A18 853 Annex II section 1 (b))</p> <p>Assess/Comment on effectiveness of AO checks on FBOs traceability procedures.</p> <p><i>Any issues identified by AO in this area that requires action by the FBO YES/NO</i></p> <p><i>Action taken</i></p>		<p>LA File check/records LA letters Notices</p>
<p><i>[The identification mark must be applied before the product leaves the establishment. The mark may be applied directly on the product, the wrapping, or packaging or on a label affixed to the product, wrapping or packaging. It may also be an irremovable tag made of a resistant material – Annex II, Reg. (EC) No 853/2004] [FBOs must in accordance with Art. 18 Reg. (EC) 178/2002 have in place systems and procedures to identify FBOs from whom they have received and to whom they have delivered POAO] ID mark not necessary for eggs as EC Reg 1907/90 covers labelling and marking</i></p>		

5. Date Marking

Verification check	Findings/Comments	Evidence
<p>- Is AO aware how product use by or best before dates are determined?</p> <p>- What checks done by AO?</p> <p>- AO aware of any incoming product 'best before/use by' dates transferred to processed outgoing products? YES/NO</p> <p>- If No does FBO have original manufacturer's/packers' permission to alter dates? YES/NO</p> <p>- Any issues identified by AO in this area that requires action by the FBO YES/NO</p> <p>- Action taken?</p>		<p>LA File check/records LA letters Notices</p>
<p><i>[Food Labelling Regulations 1996 – It is an offence to alter the use by/best before date on a product, without permission of the original manufacturer/packer] NB: [Product durability should be determined by validated scientific analysis methods]</i></p>		

6. Control of outgoing products

Verification check	Findings/Comments	Evidence
<p>- What assessment is carried out by the AO of FBO quality/safety checks on outgoing POAO?</p> <p>- Are products supplied in accordance with specifications agreed</p> <ul style="list-style-type: none"> - Does FBO retain a list of customers supplied? YES/NO - How long are/have these records been kept? <p>List any relevant FBO records checked by AO.</p> <p>- Any issues identified by AO in this area that requires action by the FBO YES/NO</p> <p>-Action taken?</p>		<p>FBOs procedures Records of FBOs checks Despatch notes Delivery notes Product specifications Customer List Test results</p> <p>LA File check/records LA letters Notices</p>

7. Application of HACCP Principles

Verification check	Findings/Comments	Evidence
<p>- Is there a HACCP plan? YES/NO</p> <p>- Is the HACCP Plan on site, the same as the Plan on file at the LA? YES/NO</p> <p>- Has the Plan been validated, and if so how? (taking account of specific HACCP requirements in 852, 853 , 854 and 2073)</p> <p>- Is the Plan verified by the FBO and the AO, if so how?</p> <p>- Does HACCP Plan include procedures to ensure compliance with; Reg. 2073/2005 (Microbiological criteria), 2074/2005 EC legislation residues, contaminants and prohibited substances, and preventing physical hazards – Reg. (EC) No 854/2004 – Art. 4(5)</p> <p>- Any issues identified by AO in this area that requires action by the FBO YES/NO</p> <p>- Action taken?</p>		<p>HACCP Plan HACCP procedures Relevant monitoring records Records of corrective and preventive actions</p> <p>LA File check/records LA letters Notices</p>
<p><i>[FBO must comply with general HACCP requirements under Art. 5 Reg. (EC) No 852/2004, and also ensure that HACCP procedures include procedures to ensure compliance with the hazards listed above] Reg. 2073/2005, Article 4, states that FBO`s must do appropriate micro testing against the micro criteria in annex I, to verify or validate their HACCP based procedures.</i></p>		

8. Compliance with microbiological criteria regulations

Verification check	Findings/Comments	Evidence
<p>- Does the HACCP Plan include procedures to ensure compliance with Reg 2073/2005? YES/NO</p> <p>- Any AO checks undertaken to ensure compliance with food safety and process hygiene criteria;</p> <p>- Any issues identified by AO in this area that requires action by the FBO YES/NO</p> <p>- Action taken?</p>		<p>Product and environmental sampling plan</p> <p>Product and environmental sample analysis records.</p> <p>LA File check/records</p> <p>LA letters</p> <p>Notices</p>
<p><i>Food Safety Criteria:Regulation 2073/2005 Annex 1, Chapter 1 gives details of testing criteria and minimum sampling regimes to be undertaken by FBO`s for different products including meat based products. Reg. 2073/2005 Annex 1, chapter 2, s.(2.1) gives micro testing criteria and corrective action required for various meat products inc. mince meat. Reg. 2073/2005 Annex 1, Chapter 3 contains specific guidance for sampling and frequencies at meat products premises, inc. mince meat production. Regulation 2073/2005, Article 7 states actions necessary for unsatisfactory micro results.</i></p>		

9. Specific 853/2004 Requirements

Verification check	Findings/Comments	Evidence
		Reference - Audit Aide Memoire for specific requirements.

11. Assessment of Compliance with Approval

Verification check	Findings/Comments	Evidence
<p>- Is the FBO operating in accordance with approval granted by LA? YES/NO.</p> <p>Give reasons as appropriate.</p>		<p>LA Approval letter at FBO premises?</p> <p>Scope of approval Activities & Specified products handled (CoP PG A 11.2)</p>

12. Waste products handling and disposal arrangements

Verification check	Findings/Comments	Evidence
<p>- Outline how waste POAO products are disposed of, or who collects waste for disposal.</p> <p>- Assess/comment on compliance with ABP Reg. No 1774/2002</p> <p>- <i>Any issues identified by AO in this area that requires action by the FBO</i> YES/NO</p> <p>- <i>Action taken?</i></p>		<p>FBO procedures Waste transfer notes ABP movement documents</p> <p>LA File check/records LA letters Notices</p>
<p><i>[Waste not for further processing must be disposed of as APB in accordance with the ABP Reg (EC) No 1774/2002</i></p> <p><i>* Any person consigning, transporting or receiving ABPs shall keep a record of consignments. Records shall contain the information specified in Annex II and shall be retained for 2 years- Article 9 and Annex II - Regulation (EC) No 1774 NB: A model commercial document is recommended by Defra]</i></p>		

13. FBO Records

Verification check	Findings/Comments	Evidence
FBO records examined	1 <input type="checkbox"/> Supplier specifications 2 <input type="checkbox"/> Supplier quality guarantees 3 <input type="checkbox"/> Approved suppliers 4 <input type="checkbox"/> Incoming product checks 5 <input type="checkbox"/> Temperature records 6 <input type="checkbox"/> Cleaning schedule 7 <input type="checkbox"/> Staff Training 8 <input type="checkbox"/> Process monitoring/control 9 <input type="checkbox"/> HACCP Plan 10 <input type="checkbox"/> Waste disposal records 11 <input type="checkbox"/> Outgoing product checks 12 <input type="checkbox"/> Customer List 13 <input type="checkbox"/> Product/water sample analysis results 14 <input type="checkbox"/> Pest control 15 <input type="checkbox"/> Calibration of measuring equipment 16 <input type="checkbox"/> Metal detector challenge tests	Other records s (specify):