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Local Authority _____

Establishment _____

Date _____

**2008-09 Focussed Audit of Establishments Subject to Approval under
Regulation (EC) 853/2004**

LOCAL AUTHORITY CHECKLIST

CHECKLIST:**Audit of Approved Establishments – Checklist for Local Authority File Checks**

Examine a minimum of at least 2 primary inspections and 2 secondary inspections

Establishment	Details	Source/ Reference
Establishment Name / File Reference		
Type of Establishment/Scope of approval		
Full approval or conditional approval date		
Is there evidence that the establishment requires approval?		
Date of application		
Has there been a pre approval assessment visit to determine application for approval & to assess compliance with requirements for approval? (CP 5.1.7)		
Date and Officer Responsible. Approval document on File?		

	Details	Source/ Reference
Does the establishment appear on the relevant FSA List?		
Date of notification to FSA		
Is a LACORS inspection form, liaison group or LA form used with all relevant information? (CP 4.1.2)		
Was the approval granted by the LA appropriate?		
Was approval granted without reasonable delay? Timescale?		
Does the relevant inspection form / record of inspection confirm LA checks of:		
<i>HACCP principles</i>		
<i>Design and maintenance of premises and equipment</i>		
<i>Pre-operational, operational and post-operational hygiene</i>		
<i>Personal hygiene</i>		
<i>Staff training</i>		
<i>Pest control</i>		
<i>Water quality</i>		

	Details	Source/ Reference
<i>Temperature control</i>		
<i>Controls of incoming and outgoing POAO</i>		
<i>Identification marking of products</i>		
<i>HACCP based procedures</i>		
<i>Taking of samples by FBO</i>		
<i>Correct use of approval no. by FBO</i>		
Compliance with ABP Reg 1774/2002		

Compliance with Reg (EC) 178/2002 including:	Details	Source/ Reference
<i>Art 16 – presentation & labelling</i>		
<i>Art 18 –traceability</i>		
<i>Art 19 – product recall</i>		
Compliance with micro criteria Reg 2073/2005 including:		
<i>Food safety criteria</i>		
<i>Process safety criteria</i>		
Has there been appropriate follow up on issues identified at assessment?		

	Details	Source/ Reference
Which Version of CoP used?		
Date of last primary inspection [Std – 7.1]		
Was inspection based on relevant Inspection form for business [CP 4.1.2]		
Report/Letter sent? Date of report/letter [Std – 7.4]		
Does file record /report confirm the scope of the inspection and if not all elements were covered, is the reason recorded?		
Date of previous primary inspection [Std 7.1]		
Was inspection based on relevant inspection form for business [CP 4.1.2]		
Report/letter sent? [Std - 7.4]		
Does file record /report confirm the scope of the inspection and if not all elements were covered, is the reason recorded?		
Date of last secondary inspection [CP 4.3.6]		
Was inspection based on relevant inspection form for business [CP 4.1.2]		
Report/letter sent? [Std - 7.4]		

	Details	Source/ Reference
Date of previous secondary inspection [CP 4.3.6]		
Does file record /report confirm the scope of the inspection and if not all elements were covered, is the reason recorded?		
<i>Does the most recent file record /report/follow up letter confirm that the scope of secondary inspection included at least:</i>	Details	Source/ Reference
Confirmation of operations carried out		
Confirmation of products produced		
Assessment of effectiveness of CCP's		
Examination of CCP records		
Review of use of health marks and any commercial documents		
Premises inspected at correct frequency [Std – 7.1]		
Inspected by officer with correct authorisation [Std – 5.3 CP 1.2.9.1.3]		
Revisited in accordance with LA policy [Std - 7.4]		
Evidence that local authority acting as home/originating authority?		

	Details	Source/ Reference
<i>Is key information and documentation included in file? [Appendix 3, Annex 12 of PG]:</i>		
Written application on file from 01/01/06 ¹ ?		
Synopsis of establishment on file ² ?		
Products produced		
Volumes		
Type of Trade		
No of Employees		
Approval Number		
What approved For		
Cleaning methods		
Pre approval inspection report(s) on file to indicate compliance with 852/2004 and 853/2004		

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

² To include type of premises, products produced and volume, type of trade, no. of employees, approval number and what approved for, cleaning methods employed

	Details	Source/ Reference
Plans available of:		
• Layout of Establishment		
• Location of equipment		
• Work flows for each product line		
• Water distribution system		
• Drainage layout		
• Pest control		
Labels bearing identification mark		
Commercial documents bearing ID mark		
Inspection reports on file in chronological order		
Copies of notices or other formal action available and in chronological order		
Copy of company withdrawal plan including full contact details of key personnel		
Copy of company's traceability system		

	Details	Source/ Reference
<i>Copies of other documents provided by establishments or copied at premises including:</i>		
HACCP documentation		
Supplier information		
Product list		
Raw material, product and water test results		
Process records		
Management and key contact names and contact details		
Photographs & digital images		
Product recall procedures		
Evidence that an assessment of staff training has been undertaken by LA		
Results of all samples taken by LA		
Location of any off site facilities		
Approval notification document on file		
Time period(s) in months between application / conditional / full approval		

	Details	Source/ Reference
<i>Does the approval document specify: (PG Annex 11.2 Model Notification)</i>		
Details of the types of products to which approval relates		
Details of the types of activities and specific products to which approval relates		
Approval Code		
Whether full or conditional approval		
Any derogations granted		
Any other conditions specified by LA		
Any arrangements acceptable to LA		

	Details	Source/ Reference
CONDITIONAL APPROVAL		
Issue of Conditional Approval appropriate? ³ (CP 5.1.8, PG A.3.4)		
Secondary inspection within 3 months of issue? (CP 5.1.8, PG Annex 4)		
If Conditional Approval prolonged – appropriate? (PG Annex 4)		
If Conditional Approval prolonged - Secondary Inspection within 6 months of original issue? (PG Annex 4)		
FSA, FBO notified? (CP 2.4.3)		
	Details	Source/ Reference
SUSPENSION		
Does suspension notice [standard forms in A.11.5 of PG] specify:		
Fact that the authority is suspending Approval		
Reasons for decision to suspend		
Matters that need to be remedied in order to lift suspension		
Date on which suspension should take place		
Information regarding right of appeal		
Did the local authority notify the FSA when served and when lifted?		
Was the notice lifted in writing?		

³ All infrastructure (inc HACCP) and equipment requirements met
Approved Establishments Audit
Local Authority Checklist February 2009

