

FOCUSED AUDIT OF LA OFFICIAL CONTROLS AND FBO CONTROLS IN APPROVED ESTABLISHMENTS

FOOD LAW ENFORCEMENT AUDIT CHECKLISTS

[February 2009]

[NOTE: These checklists should be used for focused audits of local authorities' food law enforcement services. They should be used in conjunction with the approved establishment protocols and FBO reality check protocol.

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

Frequency of Checks: Wherever practical, training records of all officers involved in approval and inspection of approved establishments should be checked. As a minimum, the training records of 3 officers should be checked, including those for the nominated lead officer(s). Officers should be asked to provide their authorisation documents. Blanks have been left for training identified by the Authority.

	1	2	3	4	5	6	7	8	9	10
Name/designation of officer										
Evidence of qualifications? <i>[NB: Ensure that original certificates have been checked]</i> [Std – 5.3 & CP – 1.2.5 & 1.2.6 NB 1.2.6 relates to contract staff]										
Update training? (10 hours) [CP – 1.2.4]										

	1	2	3	4	5	6	7	8	9	10
Recent returner training? (15 hours] (if applicable) [CP – 1.2.4]										
New appointments/transfers appropriately qualified? [CP –1.2.3 & 1.2.4]										
Did specialist training include:										
<ul style="list-style-type: none"> Nature, type and technology used in businesses in area [CP 1.2.4, 1.2.9.1.1 & 1.2.9.1.2 										
<ul style="list-style-type: none"> Inspection of Specialist or Complex Processes [CP – 1.2.9.12 										
<ul style="list-style-type: none"> Inspection of Premises for Approval under Regulation (EC) 853/2004 [CP – 1.2.9.1.3] 										
<ul style="list-style-type: none"> Update training in HACCP (Food Hygiene) [CP – 1.2.9.1.1 & Annex 2] 										
<ul style="list-style-type: none"> Quality Assurance (Food Standards) – if applicable [CP – 1.2.9.2.3] 										
Other? [Customise]										
Formal enforcement training? e.g.										
<ul style="list-style-type: none"> PACE Training [Std - 5.4] 										
<ul style="list-style-type: none"> CPIA Training [Std - 5.4] 										
<ul style="list-style-type: none"> RIPA Training [Std - 5.4] 										
<ul style="list-style-type: none"> Other 										

	1	2	3	4	5	6	7	8	9	10
Training needs identified and programmed? [Std - 5.4]										
Qualification and training records complete and sufficiently detailed? [Std – 5.5]										

NOTES

Level of officer authorisation: [Std – 5.3]	<p><i>For food safety and food standards matters this should include authorisation under the Food Safety Act 1990 and under hygiene and processing regulations issued under it, whether generally or specifically (Section 5(6) Food Safety Act 1990).</i></p> <p><i>Officers should also be authorised to enforce relevant regulations issued under the European Communities Act 1972. The European Communities Act does not however contain any enforcement powers and its primary function is to provide a mechanism by which regulations can be enacted. Powers of enforcement for Regulations made under the Act are usually contained in the Regulations themselves, therefore the Agency’s view is that all regulations relevant to imported food and feed control under the EC Act 1972 should specifically be referred to in authorisation documents, including officers’ credentials.</i></p>									
	1	2	3	4	5	6	7	8	9	10
Name of Officer										
General food/premises inspection and enforcement? <ul style="list-style-type: none"> • Food Safety Act 1990 and subordinate regulations (CP 1.2.2) • Food Hygiene (Wales) Regs 2006 • OFFC (Wales) Regs 2007 										

	1	2	3	4	5	6	7	8	9	10
Specific authorisation under Food Hygiene (Wales) Regulations 2006: <ul style="list-style-type: none"> • Reg 6 Hygiene Improvement Notices • Reg 8 Hygiene Emergency Prohibition Notices • Reg 9 Remedial Action Notices and Detention Notices • Reg 12 Sampling • Reg 14 Powers of Entry • Reg 27 Certify failing to meet food safety requirements 										
<ul style="list-style-type: none"> • Contaminants in Food (Wales) Regs. 2007 										
Qualifications, training & experience match authorisation and powers exercised in practice? [Std – 5.3 & 5.4]										

NOTES

Checklist (AEC) B – Approved Establishment Files

A minimum of 5 approved premises should be checked of various types.

Examine a minimum of the last 2 inspections, partial inspections or audits for each file/records check.

	1	2	3	4	5	6	7	8
Premises name / File reference								
Type of establishment								
Approval number(s)								
Does the establishment appear on the relevant FSA list(s)?								
APPROVAL or RE- APPROVAL								
Written application on file ¹ ?								

¹ No requirement for establishments approved prior to 1/1/06 to re-apply for approval under 853/2004, however, after 1/1/06 look for evidence of subsequent assessment under 853/2004.

	1	2	3	4	5	6	7	8
Has there been a pre-approval assessment visit to determine application for approval and to assess compliance with all relevant requirements for approval?								
Record of pre-approval assessment and follow-up letter/report on file?								
Was the application dealt with promptly? ²								
Is there evidence that the establishment requires approval? ³ or,								
Was an approval assessment carried out at 1 st inspection after 1/1/06 in previously approved establishments?								
Approval decision - full (F) or conditional (C)? <i>[if conditional, complete Conditional approval section in checklist]</i>								
Where establishment was initially approved under revoked/previous legislation) Has the establishment been appropriately re-approved under current hygiene legislation?								
Notification of Approval on file?								
Does the notification of approval include details of: <ul style="list-style-type: none"> activities to which approval relates 								

² FLCoP = within 28 days of receipt

³Eg POAO or exemptions - See Decision Tree in LACORS Guidance

	1	2	3	4	5	6	7	8
• any derogations granted?								
• Any other conditions specified by LA?								
Was approval granted without reasonable delay?								
Was the approval granted by the LA appropriate?								
CONDITIONAL APPROVAL								
Issue of Conditional Approval appropriate? ⁴ (CP 5.1.8, PG A.3.4)								
Follow-up reassessment inspection within 3 months of issue? (CP 5.1.8, PG Annex 4)								
Is any extension to conditional Approval appropriate? (PG Annex 4)								
If Conditional Approval extended, was there an inspection within 6 months of original issue? (PG Annex 4)								
FSA and FBO notified? (CP 2.4.3)								
Key Information and Documentation on File-[Appendix 3, Annex 12]								
Synopsis of establishment on file ⁵ ?								

⁴ All infrastructure (inc HACCP) and equipment requirements met

⁵ To include type of premises, products produced and volume, type of trade, no. of employees, approval number and what approved for, cleaning methods employed

	1	2	3	4	5	6	7	8
Up to date information available covering: ⁶ :								
• Layout of establishment								
• Location of equipment								
• Work flows for each product line								
• Water distribution system								
• Drainage layout								
• Pest control								
• Labels bearing identification mark								
Inspection reports on file in chronological order								
Correspondence with establishment in chronological order								
Copies of notices or other formal action in chronological order								
Copy of company's emergency withdrawal plan including full contact details of key personnel								
<i>Evidence that the following have been assessed and reviewed:</i>								
• HACCP documentation								

⁶ Recommended infrastructure guidance – not requirements.

	1	2	3	4	5	6	7	8
• Supplier information								
• Product list								
• Raw material, product and water test results								
• Process records								
• Management and key contact names and contact details								
• Product recall procedures								
• Evidence that an assessment of staff training has been undertaken by local authority								
• Results of all samples taken by LA								
• Location of any off-site facilities related to the approval								
Evidence of internal monitoring* [Std – 19.2 & CP – 7.1]								

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

Notes:

Checklist (AEC) C – Approved Establishment Inspection and Interventions Records

A minimum of 5 approved premises should be checked, of various types.

Examine a minimum of the last 2 inspections, partial inspections or audits for each file/records check.

Inspection/ Intervention Records	1	2	3	4	5	6	7	8
Premises name/file reference								
Appropriate LACORS/FSA aide memoire or equivalent in use for inspection [CP – 4.1.2,]								
Records:								
Size and scale of business [CP – 4.5.3]								
Type of food activity [CP – 4.5.3]								
Confirmation of products produced								
Assessment of compliance with HACCP principles. [CP – 4.5.3]								
Information on hygiene training [CP – 4.5.3]								

Inspection/ Intervention Records	1	2	3	4	5	6	7	8
Details of food suppliers and other businesses to which food is supplied. General Food Regs. 2004 article 18 178/2002								
Confirmation of the scope of the inspection and if not all elements were covered, was the reason recorded?								
Confirmation of operations carried out.								
HACCP based procedure and principles?								
Discussion regarding the effectiveness of CCP's								
An examination of CCP records								
Design and maintenance of premises and equip								
Pre-operational, operational and post-operational hygiene								

Inspection/ Intervention Records	1	2	3	4	5	6	7	8
Personal hygiene								
Staff training								
Pest control								
Water quality								
Temperature control								
Controls of incoming and outgoing POAO								
Identification marking of products								
Taking of samples by FBO								
Correct use of approval no. by FBO								

Inspection/ Intervention Records	1	2	3	4	5	6	7	8
Compliance with ABP Reg 1774/2002								
Compliance with Reg 178/2002 including:								
Art 16 – presentation & labelling								
Art 18 -traceability								
Art 19 – product recall								
Compliance with micro criteria Reg 2073/2005 including:								
Food safety criteria								
Process safety criteria								

Checklist (AEC) D – Inspection and Interventions History

A minimum of 5 approved premises should be checked, of various types, 3 of which, where possible, should be approved meat products establishments.

Examine a minimum of the last 2 inspections, partial inspections or audits for each file/records check.

Inspection/ Intervention History	1	2	3	4	5	6	7	8
Premises name/file reference								
Date of last inspection, partial inspection or audit								
Correctly risk rated (if appropriate) ⁷								
Inspected/audited by officer with correct authorisation? [Std- 5.3 CP 1.2.9.1.3]								
Inspection/intervention based on relevant form for business? [CP 4.1.2]								
Evidence of thorough assessment of HACCP documentation and business compliance with Article 5? (including recording any changes since last inspection-products, ingredients, suppliers, new hazards etc)								
Report/letter sent? [Std - 7.4]								

⁷ relevant to establishments inspected after 17.06.09

Inspection/ Intervention History	1	2	3	4	5	6	7	8
Report/ Letter details findings/ contraventions and clearly differentiates between legal requirements and recommendations?								
Appropriate follow up action taken in accordance with LA Enforcement Policy?								
If not, reason documented?								
Date of previous inspection, partial inspection or audit?								
Correctly risk rated? (if appropriate)								
Inspected/audited by officer with correct authorisation? [Std- 5.3 CP 1.2.9.1.3] Inspection/intervention based on relevant form for business? [CP 4.1.2]								
Inspected by officer with correct authorisation? [Std- 5.3 CP 1.2.9.1.3]								
Inspection based on relevant inspection form for business? [CP 4.1.2]								
Evidence of thorough assessment of HACCP documentation and business compliance with Article 5? including recording any changes since last inspection-products, ingredients, suppliers, new hazards etc?								
Report/letter sent? [Std - 7.4]								
Report/ Letter details findings/ contraventions and clearly differentiates between legal requirements and recommendations?								
Appropriate follow up action taken in accordance with LA Enforcement Policy?								

Checklist (AEC) E – Inspection/Intervention Report Form/Letters

A minimum of 5 approved premises should be checked, of various types.

Examine a minimum of the last 2 inspections, partial inspections or audits for each file/records check.

	1	2	3	4	5	6	7	8
Premises name/file reference								
Does the report form/letter include:								
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 intervention								
Specific legislation under which intervention conducted								

	1	2	3	4	5	6	7	8
Areas inspected/audited								
Documents/other records examined								
Samples taken								
Key points discussed during the intervention 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								
Signed by officer								
Officers name in capitals								
Designation of inspecting officer								
Contact details of inspecting officer								
Contact details of senior officer								
Date								
Food Authority name and address								
Report copied to relevant head office								

	1	2	3	4	5	6	7	8
where appropriate [CP – 3.1.5]								
Clear distinction between legal requirements and recommendations [CP – 3.1.6]								
Indication of time scale for achieving compliance [CP – 3.1.6]								
All contraventions identified and the measures needed to secure compliance listed [CP – 3.1.6]								
Any evidence on file of internal monitoring of inspection reports/letters? *								

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

Notes:

Checklist (AEC) F – RANs, Suspension and Withdrawal of Approval

	1	2	3	4	5	6	7	8
Premises name/file reference								
Remedial Action Notice								
Was the standard notice used? [standard forms in CP A.7.7]:								
Served by authorised officer (CP 1.2.9.1.8) ⁸								
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								
Information regarding right of appeal								
Written confirmation of compliance with notice?								
If notice not complied with, has appropriate follow-up action been taken?								
*Any evidence on files of internal monitoring? [Std-19.2]								

⁸ EHO, 2 yrs post qualification experience in food safety, currently working in food enforcement and properly trained, competent and duly authorised.

	1	2	3	4	5	6	7	8
Suspension of Approval								
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?								
Written confirmation of compliance with notice?								
If notice not complied with, has appropriate follow-up action been taken?								
Withdrawal of Approval								
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)								

Checklist (AEC) G –Hygiene Improvement Notices

Frequency of checks: A minimum of 5 or 100% if less have been served in the last 2 years

Name of Premises/Notice Identifier	1	2	3	4	5	6	7	8	9	10
<i>[Use a separate column where more than 1 notice has been served on the same premises].</i>										
HYGIENE IMPROVEMENT NOTICES										
(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 2006]										

Name of Premises/Notice Identifier	1	2	3	4	5	6	7	8	9	10
Reason for contravention: Reason specified? [PG – 3.2.4]										
Wording of notice clear & easily understood? [PG – 3.2.4]										
Wording reflects LACORS/centrally issued guidance?										
Works required: Measures to be taken specified? [PG – 3.2.4]										
Wording of works required clear & and easily understood? [PG – 3.2.4]										
Wording reflects LACORS & centrally issued guidance?										
Appropriate time limits? (14 days min.) [PG – 3.2.5]										
Liaison with Home Authority where appropriate? [PG – 3.2.10]										
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	4	5	6	7	8	9	10
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]										

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

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

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

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

Name of premises/Notice Identifier	1	2	3	4	5
VOLUNTARY CLOSURE					
(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]					
Premises visited to check on closure? [CP – 3.3.2.]					
Appropriate follow-up action taken on breach of a voluntary closure agreement?					
*Any evidence on file of internal monitoring?					
HYGIENE EMERGENCY PROHIBITION NOTICE					
(Detail reason for notice below on separate table)					
Were the grounds for service of the HEPN					

Name of premises/Notice Identifier	1	2	3	4	5
consistent with CP guidance and enforcement 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	4	5
EMERGENCY PROHIBITION NOTICE					
(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]					

	1	2	3	4	5
*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.	

Notes:

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Checklist (AEC) J Prosecutions and Simple Cautions

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

	1	2	3	4	5
Name of Premises/Premises Identifier					
PROSECUTIONS					
(Detail reason for prosecution below on separate table)					
Was prosecution the appropriate course of action? [CP – 3.1]					
Authorised by officer with appropriate delegated powers? [Std – 5.3] [CUSTOMISE]					
Evidence that enforcement policy has been considered? [Std – 15.3]					
Has action been taken in line with Enforcement Policy? [Std – 15.3]					
If no – Is the reason for the departure documented? [Std – 15.3]					

	1	2	3	4	5
Prosecution taken without unnecessary delay? [CP – 3.1.10]					
Prosecution takes account of PACE requirements?					
If appropriate, prosecution takes account of RIPA requirements?					
Prosecuting Officer specified? (CPIA)					
Investigating Officer specified? (CPIA)					
Officer in Charge of the Investigation specified? (CPIA)					
Disclosure Officer specified? (CPIA)					
Schedule of unused information? (If necessary) (CPIA)					
Certificate from the disclosure officer re. un-used info? (CPIA)					
Prosecution prepared in accordance with LA procedures? [Customise]					
Action taken under correct legislation?					
*Any evidence on files of internal monitoring? [Std-19.2]					

	1	2	3	4	5
SIMPLE CAUTIONS					
(Detail reason for SC below on separate table)					
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 30/2005?					
Authorised by officer with appropriate delegated powers? [Std – 5.3] [CUSTOMISE]					
Evidence that Enforcement Policy has been considered? [Std – 15.3]					
Has action been taken in line with enforcement policy? [Std – 15.3]					
If no – Is the reason for the departure documented? [Std – 15.3]					
SC issued without unnecessary delay? [3.1.10]					

SC prepared in accordance with LA procedures? [CUSTOMISE]					
Action taken under correct legislation?					
*Any evidence on files of internal monitoring? [Std-19.2]					

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

*** 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 (AEC) L –Detentions, Seizure and Voluntary Surrender (VS) of Food

Frequency of checks: A minimum of 3 files should be inspected or 100% if fewer have been served in the last 2 years.

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

	1	2	3	4	5
FOOD SAFETY ACT DETENTION					
Inspection and decision to detain food taken by correctly Authorised Officer? [CP – 1.2.9.3.1]					
Food detention notice signed by officer who takes the decision? [CP – 3.4.6]					
Detention appropriate? Y/N					
Does notice clearly specify foods to be detained? [CP – 3.4]					
Arrangements made to ensure the security of the food were satisfactory? [CP – 3.4.4]					
Removed to another Authority's area? (Y/N)					
If yes, arrangements made with LA to monitor? [CP – 3.4.4]					
Withdrawal notice served within 21 days? (Y/N) [CP – 3.4.7]					
Decision re withdrawal notice taken by correctly authorised officer? [CP – 3.4.7]					
If no, has food been seized? [FSA s9]					
*Any evidence on file of internal monitoring? [Std-19.2]					
REGULATION 27 CERTIFICATION					
Standard form used? (CP 3.4.2)					

	1	2	3	4	5
Action appropriate?					
Food subsequently seized or voluntary surrendered?					
SEIZURE					
Inspection and decision to detain food taken by correctly Authorised Officer? [CP – 1.2.9.3.1]					
Seizure appropriate? Y/N					
Written confirmation issued immediately after seizure? [CP – 3.4.6]					
Chain of evidence from detention to seizure? [CP – 3.4.5]					
Person in charge notified of hearing by food condemnation warning notice? [CP – 3.4.6]					
Owner notified of hearing? [CP – 3.4.6]					
Food brought before magistrate within two days? [CP – 3.4.5]					
Receipt records time, place and method of destruction? [CP – 3.4.9]					
Record of destruction e.g. waste transfer note kept on file? [CP - 3.4.10]					
*Any evidence on file of internal monitoring? [Std-19.2]					

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

FILE IDENTIFIER	REASON FOR VOLUNTARY SURRENDER
1.	
2.	
3.	
4.	
5.	

Notes

Checklist (AEC) M – Food Safety Alerts, Incidents and RASFFS

FSA/FA/RASFF reference [CUSTOMISE:] [Auditor should note any alerts or incidents that have been highlighted in pre-audit information that are relevant to approved establishments in the area.]	Information /Action	Date issued	Action required	Date Received	Action consistent with instructions [CP – 2.1.5]	Actions and outcomes documented (including no action taken) [Std – 14.3]

Checklist (AEC) N - Sampling

Frequency of Checks: A minimum of 5 checks should be made from different premises where possible. Priority should be given to samples with 'unsatisfactory' or 'unacceptable' results.

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

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

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

NOTES

Checklist (AEC) O –Food and Food Premises Complaints
Section 8 – Food and food premises complaints

AUDITORS TO USE THIS CHECKLIST ONLY IF ISSUES ARISE DURING OTHER AUDIT CHECKS REGARDING EFFECTIVENESS OF MONITORING ACTIONS.

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	7	8
Complaint reference								
Complete information on complainant/food/premises [LACORS guidance]								
Contact with supplier/manufacturer and/or importer as appropriate. [LACORS guidance]								
Contact with Home/Originating authorities as appropriate. [CP – 1.1.7]								

File reference	1	2	3	4	5	6	7	8
Appropriate investigation carried out.								
Appropriate action taken on findings								
Confirm results of investigation with supp/man/importer. [Std – 8.3]								
Confirm results of investigation with complainant. [Std – 8.3]								
Confirm results of investigation with HA/OA. [Std – 8.2]								
Complies with timing set out in Authority procedures? [CUSTOMISE]								
Complaint details on premises file [Std – 16.1]								
FSA contacted as appropriate. [CP – 1.7.6 & 2.4]								
*Any evidence of internal monitoring on files? [Std -19.2]								

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

NOTES
